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COLLEGE SEXUAL MISCONDUCT AND PRIVATE FOUNDATIONS: BETTER SAFE THAN SORRY

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Private foundations affiliated with colleges and universities face potential legal, regulatory and reputational risks due to the heightened attention given to sexual misconduct on campus. While private foundations may be legally separate from their affiliated colleges and universities, no federal court has squarely addressed whether an affiliate foundation is subject to Title IX of the Education Amendments Act of 1972 (Title IX)¹ or other relevant statutes. Nor has the Department of Education addressed this issue in its recent guidance on Title IX enforcement.

Given that employees at affiliate foundations often interact with students, the lack of legal clarity on their obligations to disclose, report or address allegations of sexual misconduct involving students creates significant risk.

In this article, we will briefly review the various federal statutes that govern how colleges and universities must respond to allegations of sexual misconduct and consider whether private foundations affiliated with a college or university that receives federal funds may fall under the scope of these provisions. We then recommend a number of best practices that private foundations can adopt to mitigate the risk of legal, regulatory or reputational consequences and ensure the protection of the students they serve.

¹ 20 U.S.C. §§ 1681–1688 (2012).

Federal and State Laws Governing Campus Sexual Assault

In this section, we will examine the various federal and state statutes that govern how colleges and universities must respond to allegations of sexual assault involving students. We also consider theories of common-law civil liability that may apply in these situations.

Title IX – Education Amendments of 1972

Enacted as a portion of the Education Amendments of 1972, Title IX states that “[n]o person in the United States shall, on the basis of sex, be excluded from participation in, be denied the benefits of, or be subjected to discrimination under any educational program or activity receiving Federal financial assistance”² This language has been broadly interpreted to apply to gender-based sexual misconduct. Pursuant to Title IX, any educational institution that receives federal funding must protect its students from sex-based harassment and violence.

Compliance with the broad mandate of Title IX has been informed by interpretative guidance published by the Office of Civil Rights within the United States Department of Education.³ Generally, the Department of Education requires colleges and universities that receive federal funds to have an impartial and prompt process for resolving allegations of sexual misconduct.⁴ This includes designating at least one employee to coordinate the institution’s efforts to carry out its responsibilities under Title IX.⁵

When an allegation of sexual misconduct is made, an institution must take steps to “understand what occurred and respond appropriately.”⁶ If appropriate, a school may take “interim

² 20 U.S.C. § 1681 (2012).

³ See, e.g., US Dep’t. of Educ., Office of Civil Rights, Dear Colleague Letter on Title IX Grievance Procedures, Postsecondary Education (Aug. 4, 2004). On September 22, 2017, the Department of Education issued new interim guidance on campus sexual misconduct. See <https://www.ed.gov/news/press-releases/departments-education-issues-new-interim-guidance-campus-sexual-misconduct>. The Department of Education simultaneously withdrew its “Dear Colleague” letter of April 4, 2011, as well as its “Questions and Answers on Title IX Sexual Violence”, dated April 29, 2014, and published a new “Q&A on Campus Sexual Misconduct”. *Id.* In its press release, the Department of Education announced its intention to engage in rulemaking on Title IX responsibilities arising from complaints of sexual assault. *Id.* In light of this regulatory uncertainty, we have omitted from this article reference to policies set forth in the April 4, 2011 Dear Colleague letter that have been expressly replaced by the most recent “Q&A on Campus Sexual Misconduct,” in particular, the mandate that colleges and universities use a “preponderance of the evidence” standard in adjudicating allegations of sexual misconduct. We encourage readers of this article, however, to review the “Dear Colleague” letter of April 4, 2011, in light of the possibility that certain policies contained therein may be resurrected by the rulemaking process.

⁴ U.S. Dep’t of Educ., Office of Civil Rights, Q&A on Campus Sexual Misconduct, September 22, 2017.

⁵ 34 C.F.R. § 106.8(a) (2017).

⁶ U.S. Dep’t of Educ., Office of Civil Rights, Q&A on Campus Sexual Misconduct, September 22, 2017, at 1.

measures” to address the complaint during the pendency of an investigation, including restrictions on contact between the parties involved, increased security on certain areas of campus, and changes in work and housing locations.⁷

In conducting an investigation, institutions should rely on grievance procedures that ensure a “prompt and equitable resolution” of complaints.⁸ Elements of a “prompt and equitable” grievance process include proper notice, an adequate, reliable, and impartial investigation, including the opportunity to present witnesses, and assurances that steps will be taken to prevent the recurrence of sexual misconduct.⁹ Other critical elements include the use of a “trained” investigator that is “free of actual or reasonably perceived conflicts of interest,” consideration of exculpatory and inculpatory evidence, and providing all parties with equal access to “rights or opportunities.”¹⁰

At the conclusion of an investigation, the adjudicator must make findings of fact regarding responsibility for violations of the institution’s sexual misconduct policy.¹¹ In making conclusions, the adjudicator must apply the same evidentiary standard used in all other institutional disciplinary proceedings, and must offer each party equal access to information used in the adjudication process.¹² The Department of Education recommends that each party be given simultaneous, written notice of the outcome of disciplinary proceedings, including a description of any sanctions imposed and the rationale for each sanction.¹³

Family Educational Rights and Privacy Act of 1974

The Family Educational Rights and Privacy Act of 1974 (FERPA) regulates the keeping and dissemination of educational records at all institutions that receive federal funds.¹⁴ FERPA gives parents or a student 18 years of age or older the right to inspect and review educational records maintained by the school.¹⁵ The parent or student can also request that a school correct records which he or she believes to be inaccurate or misleading.¹⁶ FERPA requires written permission from

⁷ *Id.* at 2.

⁸ *Id.* at 3.

⁹ *Id.* at 4.

¹⁰ *Id.*

¹¹ *Id.* at 5.

¹² *Id.* at 5.

¹³ *Id.*

¹⁴ 20 U.S.C. § 1232g (2012).

¹⁵ *Id.*

¹⁶ *Id.*

the parent or student prior to the release of any information from a student's educational record, although there are a number of exceptions to this privacy rule.¹⁷

FERPA intersects with Title IX in a number of ways. The Department of Education interprets FERPA to permit a school to disclose to a student-victim information about the sanction imposed upon a student when the sanction directly relates to the student-victim. However, disclosure of other information in the student's record, including information about unrelated sanctions, may violate FERPA. If there is a direct conflict between the requirements of FERPA and the requirements of Title IX, federal agencies have suggested that Title IX may override any conflicting FERPA provisions.¹⁸

Clery Act

The Clery Act requires universities to disclose "[s]tatistics concerning the occurrence on campus, in or on noncampus buildings or property, and on public property" concerning certain criminal offenses reported to campus security authorities or local police agencies, including "sex offenses, forcible and nonforcible."¹⁹ The act includes a timely warning provision, which states that universities must "immediately notify the campus community upon the confirmation of a significant emergency or dangerous situation involving an immediate threat to the health or safety of students or staff occurring on the campus ... unless issuing a notification will compromise efforts to contain the emergency."²⁰ Additionally, universities are required to report, among other things, incidents of dating violence, domestic violence and crimes where "the victim is intentionally selected because of the actual or perceived race, gender, religion, national origin, sexual orientation, gender identity...."²¹

Mandatory Reporting Statutes

Many states have mandatory reporting statutes which establish a legal obligation to report known or suspected child abuse. Knowing failure to comply with the mandatory reporting requirement may result in a criminal penalty. The mandatory reporting statutes apply beyond the

¹⁷ *Id.*

¹⁸ See U.S. Dep't of Educ., Revised Sexual Harassment Guidance: Harassment of Students by School Employees, Other Students, Or Third Parties, Title IX, January 19, 2001.

¹⁹ 20 U.S.C. § 1092(f) (2012).

²⁰ *Id.*

²¹ *Id.*

educational context and may cover any person or organization that has interaction with underage persons.

Some states also impose a mandatory duty to report sexual assault against any known victim. Virginia has established a mandatory reporting structure for sexual violence at public colleges and universities.²² Under Virginia law, all public universities must convene an incident review committee to receive and evaluate information related to acts of alleged sexual violence. This committee must include a representative from law enforcement, who has a duty to immediately disclose information to a law enforcement agency if the representative believes it necessary to protect the “health or safety” of the victim or other individuals. While Virginia’s statute applies only to public universities, other states could conceivably go further in enacting mandatory reporting requirements.

Common Law Remedies

Aside from federal and state statutes, affiliated organizations should be mindful of the potential risks they face with regard to common law and state civil remedies. For instance, almost every state recognizes a right to recover in tort for negligent infliction of emotional distress. Under this theory, a plaintiff asserts that the emotional distress of a traumatic event, such as being sexually assaulted, has caused them mental or physical harm. If a student is able to show that the university-affiliated foundation owed the student an independent duty of care, and breached that duty of care by failing to prevent the traumatic event, a foundation could be subject to civil liability.²³

Application of Federal Statutes to Private Foundations

The receipt of federal funds is an essential prerequisite to the application of Title IX, FERPA and the Clery Act. If a private foundation receives no federal funds, it is not bound by the requirements of these statutes. As discussed below, there may be exposure pursuant to other statutes or common law torts. It is clear, however, that a private foundation that receives no federal funds is not subject to the requirements of Title IX, FERPA or the Clery Act.

²² Va. Code Ann. §23.1-805–806 (2017).

²³ *Cf. Burrow By & Through Burrow v. Postville Cmty. Sch. Dist.*, 929 F. Supp. 1193, 1210–11 (N.D. Iowa 1996) (finding a genuine issue of material fact with respect to whether school was liable for negligent infliction of emotion distress on account of student’s suffering sexual harassment by fellow students).

If, however, a private foundation receives any federal money for any purpose or program, it may incur the obligation to comply with these three statutes. The federal funds received need not be devoted to the particular program impacted by the alleged misconduct. In 1987, Congress passed the Civil Rights Restoration Act, which explicitly expanded the definition of “program or activity” within Title IX to include “all of the operations of an institution ... any part of which” receives federal funding. This statute overruled *Grove City College v. Bell*, 465 U.S. 555 (1984), where the Supreme Court had more narrowly interpreted the federal funds requirement of Title IX. Whether a covered program or activity receives “federal financial assistance,”²⁴ is determined by reference to the “entire” entity or “whole” organization.²⁵

Assuming a foundation does receive federal funds, Title IX exposure will hinge upon an inquiry as to whether the particular program where the allegation of sexual misconduct arose furthered an “educational mission.” University-affiliated foundations are frequently in close contact with students. For many students, these foundations provide an additional layer of support and mentoring. Affiliated foundations that sponsor scholarship programs often host independent enrichment opportunities for students. Allegations of sexual misconduct at these student events or in these student programs will likely trigger Title IX exposure, as they fall within a foundation’s “educational mission.” Other foundation endeavors may be more distinct from direct student support or other programs that have an “educational mission.” For instance, an allegation of sexual misconduct between employees who perform functions distinct from student programs may not trigger the requirements of the federal statutes. A foundation’s Title IX exposure may consequently turn on whether the allegation involves a particular program or endeavor with an “educational mission”—a necessarily fact-specific inquiry.

A recent case from the United States Court of Appeals for the Third Circuit illustrates how a broad interpretation of “educational institutions” could potentially expand the applicability of Title IX. In *Doe v. Mercy Catholic Medical Center*, No. 16-1247, 850 F.3d 545 (3d Cir. Mar. 7, 2017), the court found that a medical resident working for a private hospital *affiliated* with a university could file a claim under Title IX because operation of a residency program gave the hospital, at least in part, an “educational” mission under Title IX. Since the private hospital received federal Medicaid funds, the court found Title IX liability despite the fact that the federal funds did not support the residency program. This ruling suggests that courts may broadly interpret the reach of Title IX and

²⁴ 20 U.S.C. § 1681(a).

²⁵ *Id.* § 1687.

extend it to organizations (like Mercy Catholic Medical Center) which are not in the regular business of providing educational services.

The other provisions of law mentioned above do not depend upon a foundation's receipt of federal funds. If a foundation operates in a state like Virginia with a mandatory reporting requirement, it must report information about sexual misconduct involving minors. Failure to do so is unlawful, regardless of a foundation's financial independence. If a private foundation has contact with students under the age of 18, it must be aware of and comply with the mandatory reporting laws that are broadly applicable.

Similarly, common-law tort theories are available to students and others who allege that a foundation did not sufficiently protect students from sexual misconduct or appropriately handle information regarding such misconduct when it came to light. A foundation that hosts enrichment activities for students could also be at risk for civil liability for sexual misconduct that occurs at such activities under a theory of negligent supervision. In these instances, a student may assert that a university-affiliated foundation had an independent duty to supervise and protect students during organization-sponsored events. If a student is sexually assaulted during an event sponsored by a university-affiliated foundation, the affected student could allege that the organization breached its duty by failing to properly supervise the event.²⁶ Moreover, the foundation's failure to appropriately counsel an affected student or refer information about alleged sexual misconduct to responsible decision makers may similarly trigger a negligence claim. The foundation's civil exposure may turn upon the specific language in its contracts with students and marketing materials, as such documents may create a reasonable expectation that the foundation will exercise a duty of care and supervision over the participants in its programs. As above, these are fact-specific inquiries that will turn upon the specific circumstances presented in a particular matter.

Foundations should be cognizant that universities have repeatedly faced liability in tort for failing to adequately supervise student activities. In *Furek v. University of Delaware*, a freshman fraternity pledge brought suit against his fraternity, fellow fraternity members and the University of Delaware after he was permanently scarred during an ill-fated hazing episode.²⁷ The plaintiff alleged that his injuries were caused in part by the university's awareness of prior hazing incidents and

²⁶ See *Collins v. Sch. Bd.*, 471 So. 2d 560, 566 (Fla. Dist. Ct. App. 1985) (finding a school board's liability for injuries suffered by a student who was sexually molested by two classmates, based on its negligent failure to properly supervise the students, was supportable).

²⁷ *Furek v. University of Delaware*, 594 A. 2d 506 (Del. 1991).

subsequent failure to control the fraternity's hazing practices.²⁸ In affirming a jury verdict in the plaintiff's favor, the Supreme Court of Delaware held that "established principles of tort law" and premises liability can require a university to use reasonable care to "protect resident students from the dangerous acts of third parties."²⁹

Similarly, the Florida state courts have found that universities have a "special relationship" with students sufficient to create a duty to warn students of unreasonably dangerous conditions creating an "unreasonable risk of harm."³⁰ In *Gross v. Family Medical Services Agency, Inc.*, a female student at Nova Southeastern University brought suit against the university after she was robbed and sexually assaulted while completing an off-campus internship at a local nonprofit.³¹ The student alleged that the university breached a duty of reasonable care by failing to warn her that the internship site, where similar crimes had occurred on multiple occasions, was unreasonably dangerous.³² In affirming a finding for the plaintiff, the District Court of Appeal reversed, finding that "a student can certainly be ... within the foreseeable zone of known risks" when a university assigns the student to a mandatory internship site, and that the university had a duty to "use ordinary care in providing educational services and programs to one of its adult students."³³

The duty of care owed by colleges and universities to students was recently recognized in a matter involving sexual misconduct by athletes at a major university.³⁴ A plaintiff alleged, *inter alia*, that the university knew that an alleged student perpetrator had a propensity for sexual assault, and failed to take any action to prevent further assaults against her or other female students.³⁵ When the university moved to dismiss these claims, the district court denied the motion, finding that in light of the facts as alleged by the plaintiff, a factfinder "could conclude that the risk, likelihood, and foreseeability that [the alleged perpetrator] might sexually assault another student should have been apparent ..." and that "the social utility of [the university's] alleged conduct in responding to this knowledge was minimal."³⁶

²⁸ *Id.*

²⁹ *Id.* at 510.

³⁰ *Gross v. Family Services Agency, Inc.*, 716 So.2d 337, 339 (Fla. 4th Dist. Ct. App. 1998).

³¹ *Id.* at 337.

³² *Id.*

³³ *Id.*

³⁴ *Hernandez v. Baylor University*, 2017 WL 132262 (W.D. TX. April 7, 2017).

³⁵ *Id.*

³⁶ *Id.* at *10.

While these cases all involve claims against universities, the negligence theories could apply to affiliated foundations as well. These cases illustrate that there is a plausible basis for students to assert tort claims against foundations, particularly for injuries suffered on foundation premises or while participating in activities sponsored by the foundation. Foundations should therefore carefully consider potential civil liability when developing risk management procedures, including policies

Best Practices for University-Affiliated Organizations

Private foundations that support colleges and universities face an uncertain landscape in the area of sexual misconduct. Given that uncertainty, every foundation should enact a policy to guide its approach to this difficult subject. These policies should contemplate effective coordination with university processes and officials. They should further the paramount goal of protecting students and providing due process and fair treatment of all people involved in a particular incident. In this section, we review several best practices that foundations may want to consider in enacting or improving a policy for handling information regarding sexual misconduct.

Best Practices for Internal Management

Tone at the Top – In any organization, effective compliance with applicable policies and regulations starts at the very top. Foundation executives should articulate a strong priority on the protection of student and staff well-being. That priority should include assuming responsibility for informing the staff of the possibility that students could report allegations of sexual assault, ensuring that the foundation adopts rigorous internal procedures to manage such reports and requiring employees to receive comprehensive training in these procedures.

Establish Internal Procedures – Foundations should develop written internal procedures for addressing sexual misconduct situations. While these policies will vary according to a foundation's specific focus and the existing systems at the affiliate university, they should include several basic provisions. Each policy should provide for the documentation of reports of sexual assault and other criminal conduct and define the circumstances when such reports will be shared with university officials and law enforcement. Foundations should distribute these policies to all stakeholders to provide fair notice and consider specific notification to parents in certain circumstances. To ensure the policies minimize the risk of civil liability, we recommend that foundations consult with internal or outside counsel in developing these procedures.

Use University Resources – In preparing written procedures, foundations should consider establishing a formal relationship with the Title IX coordinator for their affiliated college or university. Universities have increasingly adopted rigorous Title IX compliance procedures and provide ample resources to victims. Foundations should encourage student victims to use the university's Title IX process and access those services. To memorialize this coordination, foundations may consider preparing a Memorandum of Understanding with the Title IX office of the affiliated college or university. Regardless, foundations should ensure that both the educational institution and the foundation have clarity on the procedures the foundation will use in the event it receives information from a student about a sexual assault or other crime.

Designate a Title IX Liaison – Foundations should designate an internal Title IX point of contact for the organization. This staff member should be given sufficient training in Title IX and the foundation's internal procedures so that the staff member can properly advise foundation employees that receive information from a student about a sexual assault or other crime. Foundation staff members should also be instructed to report all potential allegations of sexual assault or other related issues to the foundation's liaison. The liaison should work with senior management to evaluate the reporting of allegations of sexual assault or child abuse to law enforcement or to the university's Title IX coordinator.

Train All Employees – Effective procedures are of no use if employees are unfamiliar with the procedures. Therefore, foundations should ensure that all foundation employees receive thorough training in the procedures for reporting and documenting information about sexual assault or other criminal conduct provided by students. Preferably, such training will be provided in coordination with the foundation's counsel and the Title IX liaison.

Best Practices for Managing Student Reporting

Protect – Staff members should always be conscious of the student's safety. If a staff member believes the student's physical or mental health may be in danger, the staff member should immediately notify the Title IX liaison and consider notifying law enforcement. In making this determination, foundations should consider whether they are bound by a mandatory reporting statute, or what additional notifications are necessary to protect the health and safety of impacted students or the community.

Educate – Foundations should also provide students with information about Title IX resources and encourage notification and participation in the Title IX process. Students may be unfamiliar with

the Title IX process and be reluctant to report information about possible victimization. Foundation staff should be available to help affected students navigate the issues involved in reporting and understand that the process is not the same as “pressing charges.” While informing students about the adjudicative process is important, staff members should also include information about services that the university provides to victims, including counseling and peer support.

Document – Staff members should always document their interactions with students regarding sexual misconduct. Staff members should carefully record all information gathered during any interaction, including the facts obtained from the student, the steps the staff member took and whether any resolution was reached. Creating a template ensures accurate and consistent recording of information. All information should be submitted to the organization’s Title IX point of contact. These records should always be kept confidential.

Conclusion

Foundations that work with college students and support an educational mission will almost assuredly encounter information about sexual misconduct on campus. Failure to anticipate this issue and approach it thoughtfully and prospectively subjects the foundation and its affiliate university to substantial risk of legal liability and reputational harm. Accordingly, affiliate foundations are well-advised to enact policies that guide decisions when these issues arise.

A SYSTEMS ANALYSIS OF HIRING WITHIN ACADEMIA

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Organizational behavior management (OBM) research discusses three levels of performance within businesses: (a) the organization level, (b) the process level, and (c) the job/performer level. The goals, design, and management of the organization across the three levels result in the overall performance of the organization. If an organization (a) meets the consumers' expectations of products, quality, quantity, timeliness, and cost (i.e., goals of the organization), (b) has the necessary steps in the structure of the organization in order to meet the goals efficiently (i.e., design of the organization), and (c) has management in place to make sure the current goals are being met (i.e., management of the organization) then an organization is considered to have optimal performance across all three levels. The organization level focuses on the relationship between the organization and its market. The process level refers to the steps needed to complete a task. Lastly, the job/performer level refers to the individual human performance in completing tasks (Rummler & Brache, 1995). If an organization experiences obstacles, or problems, it is imperative that each level of performance be analyzed in order to identify where the problem(s) lie and to determine how the components of the organization interact. This type of analysis is sometimes referred to as "systems analysis" (Brethower, 1997-2010).

The purpose of this paper is to argue that academic settings can benefit from systems analysis at the process level, which is typically conducted in business settings. This paper will also argue that the hiring process within academic settings is a critical process and one that often suffers from costly and time-consuming disconnects and redundancies, both of which can be identified and corrected using systems analysis at the process level.

Three Levels of Performance

Organization level. The first level of performance, the organization level, focuses on the organization's relationship with the market and shareholders. Performance at this level can be affected by the structure, goals, and measures of the organization, as well as, the distribution of resources (Rummler & Brache, 1995). Within an academic setting, the organization level would be the university's relationship with the community, alumni, government agencies, and both current and prospective students.

Process level. The second level of performance, the process level, focuses on the structure of the work flow within the organization. In other words, understanding the processes involved in completing tasks (Diener, McGee, & Miguel, 2009; Rummler & Brache, 1995). At the process level, work processes can be affected by production processes, sales processes, and billing processes. The processes of an organization must be effective and efficient in meeting the needs of the consumer (Rummler & Brache, 1995). Within an academic setting, the process level would include analyzing the series of steps the staff at the university take to complete a variety of tasks.

Job/ performer level. The last level of performance, the job/ performer level, focuses on the behavior(s) of the individuals who complete the various tasks within the organization (Rummler & Brache, 1995). Within an academic setting, the job/performer level would refer to the staff of the university receiving training, feedback, and consequences.

Analysis of the Three Levels of Performance

To further clarify the differences between the three levels of performance, an example will be provided of an organization hiring a consultant because of overall concerns with high costs associated with injuries and accidents occurring on the job. Analyzing safety concerns at the organization level includes how the injuries and accidents affect the company's profit margin, their standing amongst competitors in the market, and the quality of products customers are receiving. Analyzing safety concerns at the process level may identify a variety of limitations in the work flow or steps completed after an injury occurs in the work place. For example, if an organization has been fined because of the substantial latency between an incident and filing a worker's compensation claim, there is a chance that a problem at the process level may exist. Before this can be determined, one must ensure that performance at the job/performer level is maximized. The job/

performer level includes how safe each employee conducts his or her job, in other words, the behavior of the employee. If an analysis reveals that employees are not performing their jobs in a safe manner, then lack of training or consequences may be identified as an area for improvement. If an analysis reveals that employees are following the correct protocol/steps required to file a claim, and they are doing so in the most efficient manner possible, then no amount of contingency management can further decrease the amount of time necessary to file the claim. Therefore, the problem is likely due to redundancies and unnecessary steps created by the company at the process level. In summary, the protocol is inefficient. The process of reporting an incident to the insurance company is faulty. Identifying and rectifying these “faults” is known as process level improvements. Process level problems also include faulty equipment or lack of personal protective equipment available to employees.

A Focus on the Process Level

Among the three levels of performance, individuals focus the most on improving the job/performer level (Hyten, 2009) and the least on the process level (Rummler & Brache, 1995). Deming (1986), as seen in Lam and Schaubroeck (1999), indicated that 80% of the problems in performance are a result of the way processes are designed. Thus, a focus on the process level is necessary to make improvements within organizations. The allow workers to get the tasks to done efficiently, the processes need to be defined clearly and need to be managed (McGee & Diener, 2010). Furthermore, the processes need to work effectively to allow the workers to get the job done adequately, regardless of the contingencies or motivation procedures applied by an organization. It is the processes within the organization that determine how effective the organization will be (Rummler & Brache, 1995).

Hyten (2009) indicated that the process level consists of many deficiencies within organizations. Organizations may have steps that do not add value to the processes, rather they result in delays and unnecessary costs. Individuals should focus on the process level within organizations to identify and eliminate the steps that do not add value to the process (Harbour, 1993). Thus, the organization’s desired results can be met by having effective and efficient processes (Diener et al., 2009; Hyten, 2009). For these reasons, this paper will focus on the process level.

Systems Analysis at the Process Level

One way researchers have evaluated process level variables is through the use of systems analysis. Systems analysis is a tool that evaluates all components of an organization (i.e., a system) to determine how they interact and to identify areas for improvement (Brethower, 1997-2010). At the process level, systems analysis involves analyzing the components of a process within an organization that affects performance (Kriesen, 2011). Systems analysis can identify where disconnects in the processes are and what needs to be modified within the processes to minimize or eliminate those disconnects (Diener et al., 2009). Thus, making the processes more efficient (McGee & Diener, 2010).

There are a variety of terms people use to refer to systems analysis at the process level, the most commonly used term being process improvement. Although a variety of terms are used to refer to systems analysis, all of the terms refer to the same goals: reduce cost, decrease production time, and increase quality (Harbour, 1993; Sasson, Alvero, & Austin, 2006).

There are many methods used in systems analysis to achieve the goals of systems analysis. One common method is a process map. A process map identifies who is responsible in the completion of each step of the process and maps out every step within a process of an organization so that redundancies and disconnects within the workflow can be easily identified (Blasingame, Hale, & Ludwig, 2014; Kriesen, 2011). The initial map created from diagramming a process is often referred to as an “Is” map. An “Is” map is a map of the way the process is currently conducted within an organization. An organization consultant would convert the “Is” map to a “Should” map which would eliminate the redundancies and disconnects to depict the way a process should occur within an organization (Rummler and Brache, 1995).

Other common methods used in systems analysis are total quality improvement (TQM) (Lam & Schaubroeck), total performance system (TPS) (Diener et al., 2009; Kriesen, 2011), and behavioral systems analysis questionnaire (BSAQ) (Diener et al., 2009; Kriesen, 2011).

Systems Analysis at the Process Level

Researchers have demonstrated that systems analysis at the process level can be used effectively in laboratory and applied settings.

Laboratory settings. Sasson et al. (2006) conducted an experiment at a university's campus to evaluate the effects of improvement strategies on work processes (i.e., manual process and electronic process) and human performance. The researchers measured the amount of time the participants took to copy electronic image files into a document in MS Word and the number of errors they made in completing that task. The participants in the electronic process condition received the files via email and were required to e-mail their copy to another participant and the researcher upon completion. Whereas, the participants in the manual process condition went to the experimental room to obtain a copy of the file on a floppy disk and were required to save a copy of their document onto the floppy disk and return it to the experimental room upon completion. The researchers demonstrated that changing a work process (i.e., manual process and electronic process) positively affected performance on the task (i.e., time and number of errors).

Applied settings. Kriesen (2011) used multiple strategies that are commonly used in systems analysis, specifically TPS, BSAQ, and process mapping, to evaluate the three levels of performance of a print production management (PPM) system in a privately-owned training company. Although Kriesen (2011) identified ways to improve all three levels of performance within a printing company, he demonstrated the need to focus on the process level to improve the company's performance. After he made revisions to the processes by creating a TPS map and a process map, the employees reported they were more confident completing work tasks, the company's profit margin increased, and productivity increased.

Blasingame et al. (2014) conducted an experiment at a furniture company that evaluated only the process level of performance by creating new steps in the welding process to reduce the set-up times (i.e., reducing production time) to meet the customer demands. The researchers created two process maps. One map identified a problem within the welding process and the other map displayed the process redesign. Additionally, the employees and parts coordinator were given walkie-talkies to be easily accessible. The overall set-up times decreased, which would save approximately 79 hours a year, saving the organization \$1,168.92 a year.

Similar to Blasingame et al. (2014), Goomas (2012) evaluated only the process level of performance. The researchers changed the work procedures of an organization by replacing paper audits with wireless audits and evaluated its effects on performance. The results indicated that the number of items audited per week increased from using paper audits to using handheld computers. Thus, errors were being found and corrected. For each distribution center, these savings resulted in approximately \$400 a week, summing to approximately \$20,000.

The Use of Systems Analysis at the Process Level Within Higher Education

Although researchers have used systems analysis across laboratory and applied settings, work on the use of systems analysis at the process level in an academic setting has not been published. Universities and colleges are organizations that may benefit from systems analysis at the process level. The hiring process within higher education is one process that may suffer from costly and time-consuming disconnects and redundancies both of which can be identified and corrected using systems analysis at the process level. Glass and Minnotte (2010) and Sheridan, Fine, Pribbenow, Handelsman, and Carnes (2010) discussed the recruiting and hiring processes of two universities.

Glass and Minnotte (2010) provided a detailed description of the recruitment and hiring processes within an eastern university for a science, technology, engineering, and mathematics (STEM) tenure-track position. First, the department chair created a committee of approximately four tenured faculty members. Then, that committee created a description of the available position, which followed the guidelines given by the Human Resources Department, and required approval by the Provost before being posted. After the application deadline passed, the committee reviewed the applications and created a list of potential candidates. The potential candidates were interviewed at the campus and then were ranked. The rankings were given to the department for approval. Lastly, the department requested for the Provost's approval to offer the position to the highest ranked candidate.

A university in the mid-west conducted a similar hiring process as the university in the east that was described by Glass and Minnotte (2010). Sheridan et al. (2010) provided a detailed description of the recruitment and hiring processes of a faculty member within a medical university in the mid-west. First, the department chair created a search committee. Then, the dean chose faculty and staff members to serve on the search committees for the heads of the department. These committees recruited and reviewed the applications and chose the potential candidates to be interviewed at the campus. The committee could have chosen the potential candidates, ranked the candidates and gave the rankings to the department for approval, or recommend a specific candidate for the job. The departmental executive committee approved who would be hired.

In sum, Glass and Minnotte (2010) and Sheridan et al. (2010) indicate that the hiring and recruitment processes within universities involves advertisement of vacant position, a search

committee, interviews, and a job offer. Although these recruitment and hiring processes are specific to two universities, one eastern university and one mid-western university, other higher education institutions may use similar processes.

The steps described by Glass and Minnotte (2010) and Sheridan et al. (2010) illustrated the various people involved in the recruitment and hiring processes. Blasingame et al. (2014) stressed the importance of communication amongst departments within an organization so that the processes are performed more efficiently. Thus, the various individuals involved in the hiring process should facilitate communication just as other organizations should.

It is very likely that there are many processes within higher education settings that may have room for improvement, however, the hiring process, in particular, the hiring of faculty, may be a crucial process. It is important for colleges and universities to hire effective faculty for students' to obtain positive learning outcomes (Twombly & Townsend, 2008). However, there are various steps within the hiring and recruitment processes that may result in a loss of top-quality candidates from accepting the job offer. Twombly (2005) interviewed three community colleges of different sizes and locations and concluded that they all advertised the faculty positions internally, regionally, and nationally. However, he stated that the "focus of advertisement varied depending on the teaching field, the perceived depth of the potential applicant pool, and the timing of the vacancy (p.438)." Thus, where the positions are advertised can affect the number of top-quality applicants.

Another possible step in the process that may result in the loss of possible top-quality candidates is the amount of time it takes for the candidate to receive a reply in response to their application or a job offer. The search to fill vacant faculty positions took a median of 4.5 months in a study conducted by Leland and Nelson-Wernick (1983). If the college or university takes too long to offer the candidate the job offer, the candidate may have already accepted an offer from a different place. In other words, the less time it takes to offer the position to the top-quality candidate, the more likely that candidate will not have accepted a position elsewhere. Leland and Nelson-Wernick reported that 23% of faculty members stated that they did not receive a reply in response to their applications.

Lastly, the search committee should conduct effective steps during the interview process to determine whether or not the candidate would be a good match (i.e., "fit") for the vacant position. If the search committee does not have effective steps in making this determination, then resources and time are wasted (Basil & Basil, 2006; Murray, 1999).

If the hiring process consisted of gaps or disconnects, as seen in other processes within organizations, the amount of time in hiring people may be longer than if those gaps and disconnects were diminished. Furthermore, if the hiring process is lengthy, the top-quality candidate may withdraw from consideration. Thus, the hiring process within academic settings is a critical process that may be improved using systems analysis at the process level.

Summary and Conclusions

In summary, OBM research discusses three levels of performance within organizations: (a) the organization level, (b) the process level, and (c) the job/performer level. Among these three levels of performance, individuals focus the least on the process level even though 80% of performance problems are a result of poor processes within organizations (Lam & Schaubroeck, 1999). Furthermore, “an organization is only as good as its processes” (Rummler & Brache, 1995, p. 17). Therefore, this paper focused on the process level.

Systems analysis is a tool that evaluates all of the levels of performance to determine how they interact and where there are areas for improvement. Systems analysis at the process level involves analyzing the processes within the organization (Kriesen, 2011). The purpose of systems analysis at the process level is to reduce costs, decrease production time, and increase quality.

Researchers demonstrated the effective use of systems analysis in laboratory settings (Sasson et al., 2006) and applied settings (Blasingame et al., 2014; Goomas, 2012; Kriesen, 2011; Myers et al., 2010). However, the use of systems analysis at the process level within universities has not been published. Within universities, there are so many opportunities to analyze work processes. Although this paper chose to speak about the hiring process, there are so many other areas for potential research, such as the enrollment process, transfer student process, financial aid process, advisement process, purchasing process, etc.

This paper discussed the hiring process because it may be one of the most critical work processes within academia. It is important for universities to hire effective faculty for students’ to have positive learning outcomes (Twombly & Townsend, 2008). Faculty members who are highly qualified and have a focus on research impact the university significantly (Cornell University, 2010, as seen in, Klocko, Kirby, Hoffman, & Pehrsson, 2015). *US News* is a popular resource on college rankings that devotes 47.5% of the rankings to statistics about the institutions academic quality, which includes information regarding the faculty (Lindsay, 2015). In an attempt to increase their

rankings, leaders within universities have three goals, one being to hire and invest in qualified faculty members (Klocko et. al., 2015).

The hiring and recruitment processes may suffer from costly and time-consuming disconnects and redundancies. This may result in the loss of top-quality candidates. Furthermore, time and resources are wasted if the processes do not have effective steps (Basil & Basil, 2006; Murray, 1999). Systems analysis, which is typically conducted in business settings, can identify and correct process level problems within an academic setting, thus, improving the hiring and recruitment process.

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THE IMPORTANCE OF EXECUTIVE COACHING FOR ACADEMIC ADMINISTRATORS

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Being successful as an administrator in a college or university is a key goal for both the individuals involved and the institution. At a personal level, being successful carries multiple levels of meaning, such as competence, achievement, career development, and so forth. From an institutional perspective, success reflects equally broad meanings, including effective personnel selection, effective operations, and achievement of mission, among many others. These positive outcomes further indicate that from either perspective there has been a good return on investment, whether from the standpoint of toil or from financial or other institutional resources. Thus, ensuring success would appear to be in both the person's and the institution's best interest.

As important as success is, though, institutions do not always provide sufficient support to increase its likelihood. For example, individuals promoted into an administrative post may have limited background in budget and fiscal management, in personnel management and performance evaluation, or in conflict management. Similarly, individuals may be ill-prepared for the personal aspects of leadership positions, such as impacts on interpersonal relationships or personal considerations on one's own career path. Many institutions provide only rudimentary preparation, few ongoing professional development programs aimed with tactics targeted at administrative leadership issues, and often ignore the effects of leadership roles on the personal development side.

To address these shortcomings, institutions and individuals are increasingly turning to executive coaching as a way to support their leaders (Association of Governing Boards, 2015; Gander, Moyes, & Sabzalieva, 2014; Gmelch & Buller, 2015; Iordanou, Lech, & Barnes, 2016). Used extensively in healthcare (e.g., Rodriguez et al., 2016; Weinstock & Glasgow, 2017), executive

coaching is rapidly gaining popularity across a wide range of professions (Van Nieuwerburgh, 2016) and in corporations (Garvey, Stokes, & Megginson, 2018) as an approach of choice for personal and professional development.

As will be discussed in this paper, executive coaching provides opportunities for leaders to focus on areas for growth, which ideally result in higher performance and personal satisfaction. The remainder of this paper focuses on the role of executive coaching can play in the career development of administrators in colleges and universities.

What Is Executive Coaching?

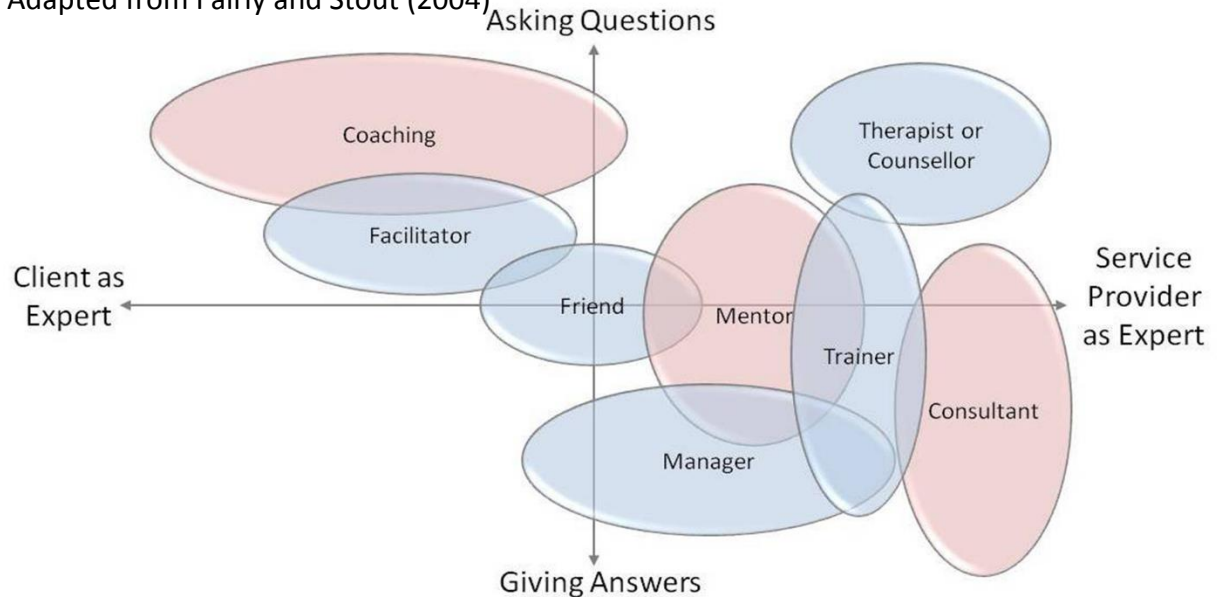
Executive coaching is fundamentally a partnership between the coach and the client in which a “thought-provoking and creative process inspires them to maximize their professional and personal potential” (International Coach Federation, 2018a). This approach is distinct from consultant, mentor, therapist, and other individuals who may provide assistance to an employee. Executive coaches view the client, not themselves, as the experts in the client’s life and work, and believe that every client is creative, resourceful, and whole. Executive coaches do not view the client as needing to be “fixed” or as somehow “broken” or “flawed.” Executive coaches ask questions rather than supply answers. Based on this view, it becomes the coach’s responsibility to:

- Discover, clarify, and align with what the client wants to achieve;
- Encourage client self-discovery;
- Elicit client-generated solutions and strategies;
- Hold the client accountable; and
- Help the client improve his/her outlook on life and work, improve leadership skills, and unlock potential.

The foundation of executive coaching is distinct from *mentoring*. In contrast, mentoring rests on a relationship between an experienced expert in the field who provides wisdom and guidance to a mentee based on the mentor’s own experiences. Thus, much of mentoring involves providing specific advice on how to address challenges, and counseling on specific job-related problems (Garvey, Stokes, & Megginson, 2018). Similarly, an executive coach differs from a *therapist* or *counselor* who may assist the client in dealing with a specific mental health or behavioral concern. These and related distinctions between executive coaches and other types of individuals who may provide support are graphically distinguished by Fairly & Stout (2004) in Figure 1.

Figure 1 – Distinctions between Executive Coaching and Other Service Providers

Adapted from Fairly and Stout (2004)



The foundational principles of executive coaching create a unique focus on the client that does not depend on the coach's deep knowledge of the client's specific professional discipline. Rather, because the client is considered the expert, the coach guides the process in terms set out by the client by asking insightful questions that require the client to thoughtfully reflect before responding. This means that the executive coach and the client co-create the experience in service to the client's needs and desires.

Are You Ready for Executive Coaching?

Determining whether one is ready to pursue executive coaching is typically the outcome of self-assessment and wonderings experienced by clients. Often, these self-questionings focus on a mix of work and life issues:

- Is there something urgent, compelling, or exciting at stake (e.g., challenges, stretch goals, a new opportunity perhaps)?
- Is there insight needed into one's core strengths and how to capitalize on them?
- Is there a gap in knowledge, skills, confidence, or resources and in knowing how to compensate for the gap(s)?

- Is there a desire to improve one's performance?
- Is there a lack of clarity with choices one needs to make?
- Is one's work and life out of balance, creating unwanted and uncomfortable consequences?
- Is there a need to understand one's story, purpose, and values?

Typically, these self-questionings are triggered by events or situations in one's work role. As noted at the beginning of this paper, it is too often the case that individuals encounter challenges in administrative roles due to a lack of systematic professional development in preparation to taking on new responsibilities. For example, administrators often experience challenges related to budget or fiscal management and personnel supervision in their initial administrative roles that can create personal doubt in one's competence that results in self-questioning. More experienced administrators may experience a different type of self-questioning resulting from dealing with countervailing pressures, seeming no-win scenarios, or ethical dilemmas.

It is for precisely these kinds of experiences that executive coaching can be the most opportune, effective, and satisfying process due to its focus on assisting the client in creating optional and an optimal path. Driven by the quest for personal growth and insight, individuals who choose executive coaching are willing to take the risk of delving into personal skills and gaps, to ask hard questions about their personal motivations, values, and ambition, and to sit with ambivalence, discomfort, and uncertainty as the keys to understanding the right next steps.

How Does Executive Coaching Work?

There is no mystery about the process; it starts with agreeing to work—on oneself. It is a developmental process that has both structured and unstructured aspects and can be represented as an upwardly-directed spiral. The unstructured aspects reflect the fundamental principle that the client determines the issues and direction of the coaching sessions while the coach asks probing and clarifying questions. The structured aspect reflects the use of certain assessment instruments that provide descriptions of various personal attributes (e.g., skills assessments, interpersonal style assessments, etc.). The notion of an upward spiral reflects the progress that clients make (the upward trajectory) and the fact that certain issues or concerns recur over time but that are confronted with progressively higher levels of understanding and skills (the spiral looping back at a higher level).

Executive coaching typically is a three-part process: an initial *personal interview* followed by *assessments*, followed by an iterative process of *coaching sessions* (that may be supplemented with additional resources). The personal interview is the initial substantive contact between client and coach, and focuses on identifying the priorities and specific anticipated outcomes of coaching as established by the client (and clarified by the coach). This interview works best when it is done face-to-face in the same space, face-to-face via real-time videoconference, or by telephone. The key is to ensure that there is real-time opportunity for engagement and negotiation.

The assessment aspects of executive coaching are tailored to the specific goals and outcomes identified in the personal interview. For example, in many executive coaching situations with administrators in colleges and universities, assessments tend to include both individual assessments (such as Clifton Strengths assessment, Hogan Leadership and Insights assessments, Myers-Briggs Type Indicator®, etc.) and workplace assessments (such as Center for Creative Leadership's 360 assessments as well as other providers). Results of these assessments provide deeper insight into the client's strengths as well as how they are perceived by key others (subordinates, peers, supervisors) in the workplace. Assessment results are provided to the client in confidential sessions to ensure one-on-one feedback and that the interpretation of the results are appropriate. From the assessment results come insights that inform the development of the subsequent goals and outcomes of the executive coaching sessions.

The assessments are chosen to provide objective information that enhances self-awareness of one's skills and gaps, awareness of others and their perceptions, and provide options for actionable strategies as personal growth occurs. Additionally, assessments can be used to create benchmarks for creating coaching goals, and as indicators to chart progress.

Coaching sessions are conducted in the real-time communication mode agreed upon by the client and coach. Sessions commence with agreement on the specific goals for the session, but otherwise may head in whatever direction via whatever mode the client desires most. From time to time, the coach or client may provide additional resources, such as articles, books, additional assessments, and so forth as aids in focusing sessions or clarifying developmental issues.

Three core questions guide effective coaching sessions: (a) What do you want? (b) What holds you back? and (c) What is yours to do? These questions clearly reflect the principle that the client is in charge, and that the coach, through insightful questions, helps the client discover the path for growth. These questions continue to guide the conversation and through an iterative process will continue to be addressed and reflected upon.

Although the framing questions transcend individual coaching sessions, how they are answered changes as part of the co-creative process (Kimsey-House, Kimsey-House, & Sandahl, 2011). For example, early in a coaching relationship, the client may believe she must be responsible for outcomes of her staff well beyond those over which she actually has control. Over time, she comes to realize this overextension, and eventually understands that what is hers to do is to actually delegate responsibility and establish an appropriate accountability system that is based on trust in the staff to perform well.

Through the three components (personal interview, assessments, coaching sessions), the executive coach forms a relationship with the client that becomes the force underlying the developmental spiral. Table 1 provides examples of this relationship in terms of the behaviors exhibited.

Table 1 – Typical Behaviors Exhibited in the Executive Coach-Client Relationship

Coach	Client
Listens carefully and uses inquiry techniques in exploring constructs, while noticing for new possibilities, different perspectives, and ways of implementing thoughtful planning and decision making	Creates the coaching agenda based on personally meaningful coaching goals. These include desires, priorities, challenges, and areas of focus and importance that are significant to the client
Provides objective assessments and observations that foster the individual's or team's self-awareness of others and their potential	Uses assessment data and observations to enhance self-awareness and awareness of others, and takes the tools, concepts, models, and principles provided by the coach and engages in effective actions
Challenges blind spots, illuminates new possibilities, and supports the co-creation of alternative scenarios	Acts in alignment with personal goals, values, and aspirations
Champions creativity and opportunities, encourages stretch goals, and affirms actions that use client's personal strengths and encourages aspirational growth	Envisions personal and/or organizational success and assumes full responsibility for decisions, actions, and outcomes

One thing that is clear from the table is that in order for them to be truly effective, coaching sessions must be *partnerships* with negotiations between the coach and client. A coach cannot simply ask good questions if the client is unwilling to provide thoughtful answers, or cannot be a sounding board if there is no input from the client to respond to. Without the relationship, executive coaching devolves into a series of monologues, with each person making idiosyncratic statements

and talking at and past each other. With a relationship, executive coaching becomes a transformative opportunity for both the coach and client.

This relationship itself depends critically on the active listening practiced by both coach and client, and the willingness to be creative in identifying and exploring new ways of being. In a sense, executive coaching may often be akin to learning to navigate rough whitewater—a skilled kayaking coach helps the student learn the skills necessary to read the water and find the smoother path through the rocks and turbulence that, to the inexperienced eye, does not exist. How might this work in practice in higher education?

Executive Coaching in Higher Education

Within the higher education sector, executive coaching has been limited yet largely offered to senior leaders and generally as part of the professional development option provided by the institution. In some cases, executive coaching services are being sought privately depending on the nature and the desires of the client. More recently, there has been a growing awareness of good management practices typically found within the private sector and encouraged by many external boards of trustees to provide key leadership and administrators with executive coaching in an effort to promote continuous performance improvement (Association of Governing Boards, 2015; Davis, 2015).

What brings academic administrators to executive coaching might revolve around issues such as: (1) developing their teams, (2) dealing with a difficult collegial relationship, (3) feeling professionally stuck, (4) aligning their values with the department/division/institutions, and (5) assessing their own strengths and areas for performance improvement just to name a few. Each of these areas present the administrator/client with opportunities to understand their own strengths as well as developing effective strategies to overcome blind-spots or gaps in their knowledge. Some tactics might include engaging others in communications, identifying the real issues behind the situation at hand, understanding the current environment, culture, and conditions that surround the issue, becoming aware of gaps of information and assumptions, and always looking for possibilities that can be created to move the situation forward.

Take the case of team building, which can be done in two distinct ways. First, a coach could have each member of the team complete individual assessments followed by individual coaching to identify and address strengths and derailers, and define performance metrics for improvement. A second approach would be to have the team conduct group sessions in which they all may take a

standard assessment (such as the MBTI or other team assessments inventories) with the intent to have collaborative sessions discussing the team's strengths and areas for improvement. This can be centered around the strategic plan for the institution, a set of goals for a division/department, or even to resolve issues around a dysfunctional team. Of course, the two approaches can be done together depending on the group dynamics and the needs of the team.

In some cases, dealing with difficult collegial relationship can bring academic administrators to executive coaching. When there is conflict, misunderstandings, or cultural barriers that are interfering with performance, tension and to some extent "burnt bridges" can result. Executive coaching can offer options to create awareness and identify possibilities and creative approaches to resolving these issues.

As part of many professional development and leadership workshops, the use of assessments, mentors, and executive coaches helps current administrators as well as those considering the administrative career path to identify their career aspirations. When discerning pathways to leadership and administrative posts, identifying what is important in terms of personal alignment with institutional mission, vision, and values helps people discern the steps they need to make. This can include working on how to best "tell their story" and create an effective presentation of their current skills, knowledge, and abilities, identify ways to gain new skills, acknowledge and deal with their derailers, and, if appropriate, guide them through the search process. Part of any coaching experience is to gain a better understanding of personal strengths, values, perceptions, potential, and aspirations and to be able to concisely articulate the values one can bring to a position. Coaching also involves gaining insight into what internal barriers people construct that block career progress, and how to deal with them effectively.

In conclusion, using various professional development tools and especially focusing on the benefits provided by mentors and coaches can offer academics and administrators new opportunities to explore possibilities, overcome fears and mis-conceptions, and reaffirm the value they can offer to the academy and the university. Most importantly is the understanding that coaching is more than "fixing" the person. Just like any coach of a sports team, the unique options and the various strategies that coaching can provide will bring out the best in each person.

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Other Resources

Center for Applications of Psychological Type (<https://www.capt.org>)

Center for Creative Leadership (<https://www.ccl.org/>)

Clifton Strength Finders (<https://www.gallupstrengthscenter.com/>)

Coach Training Institute (<http://www.coactive.com/>)

Hogan Assessments (<https://www.hoganassessments.com/>)

International Coach Federation (<https://coachfederation.org/>)

WAYS OF BE(COM)ING IN THE DEAN'S OFFICE: THE PROMISE OF A COLLABORATIVE ADMINISTRATIVE PHILOSOPHY

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A common feature of contemporary academic leadership guides is a section devoted to conceiving an administrative philosophy. Though not always framed in those terms, the section typically prompts new deans (provosts, chairs) to reflect on who they will be and what they will “stand for” as an administrator (Glotzbach 13). At the same time, new administrators are cautioned that they “can’t lead alone” (Buller 116), that, in order to succeed, especially in the long-term, they must “garner” the “necessary buy-in” (Braun 81) through collaboration, consultation, and shared decision-making with the people who will help them achieve their goals. Despite the recognition that both articulating an administrative philosophy and building community support are crucial to success, the two activities are rarely discussed together. In fact, they are often discussed in completely different sections of popular guides. Further, even in guides that disrupt the “great leader” mythos by promoting “shared” or “collective” leadership (e.g., Mosto and Dorland), the philosophy is typically presented as something arrived at individually, through self-assessments and “values inventories” (15), with little attention to how it will be communicated, let alone embraced, by those who will ultimately ensure administrative success. That is, there is no apparent recognition that the very people who will have much of the responsibility for enacting, or at least representing, an administrative philosophy (e.g., associate deans, vice provosts, key operations staff) might productively and appropriately be involved in the process of formulating it.

In the discussion that follows, we draw on our own recent experience as a dean (Amanda) and associate dean (Cindy) to make the case for a different approach to articulating an administrative philosophy—a collaborative approach that acknowledges the importance of a collective, office-wide commitment to the ways of being that shape successful administrative doing. Beyond the benefit of

potential buy-in among all of the people who will help enact a philosophy, what we have discovered is how a collaboratively produced document can be a means for unifying, empowering, and sustaining an administrative office and, ultimately, positioning that office to feel—and be regarded as—both high-functioning and healthy. Particularly when it is well-aligned with personal and professional values, referred to and revisited regularly, and allowed to organically evolve, such a document can be the source of discussions that inspire positive change in attitudes toward work and working relationships as well as enhanced sense of personal agency. Further, by moving the authority for a guiding philosophy from an individual leader to a collaborative team, possibilities are created for taking on new roles and developing new aptitudes, which can inspire a profound sense of professional growth—what we have come to think of as administrative “becoming.”

Coming Together: Drafting the “Ways of Being” Statement

The idea for a collective administrative philosophy first came to Amanda as she was planning for a summer retreat at which she, the three associate deans, and our budget and data analyst would discuss and prioritize goals for her second year as Dean. After an inaugural year spent mostly focused on improving operational processes, Amanda was looking forward to focusing on strategic initiatives that would position the College of Arts and Sciences to lead the University in implementing a new, soon-to-be-finalized five-year strategic plan. As she brainstormed potential strategic goals to use as a starting point for discussion, she realized that some of the items on her list were less about what the group would try to *do* over the next year and more about who they would want or need to *be* to meet big-picture goals—how they would earn the trust and respect of faculty and staff that are so critical for success.

Finding a way to talk about and agree on principles that would inform how our team would approach strategic opportunities and challenges seemed, to Amanda, especially important, given the wide diversity of disciplines represented by the College’s twenty departments. An office structure designed around academic divisions (Humanities, Natural and Applied Sciences, Social Sciences) meant that the associate deans worked with relatively like-minded chairs, whose perspectives on academic work differed from those of their colleagues in other divisions. As a result, when unity across divisions and among the associate deans was needed to move a college-wide initiative forward, disciplinary differences sometimes shone more brightly than was desired. Additionally, an ongoing university-wide curricular revision process, perceived by many faculty members as poorly implemented, had heightened tensions both across the faculty and between

faculty and upper-level administrators. Though the team had read together sections of two leadership guides during their first year together, a common framework for considering their work for the College had not emerged, as Amanda had hoped it might. As she worked on a preliminary set of strategic goals, then, it soon became clear to her that she would need two draft lists for the retreat: one dedicated to what we would need to try to accomplish over the coming year and another devoted to how we would go about doing it—what she had tentatively titled “Ways of Being.”

Prior to the retreat, Amanda circulated rough drafts of both lists, with a request that the rest of us bring revision ideas to the first of two half-day meetings. While we all appreciated the forward momentum represented by the first (strategic goals) list, the “Ways of Being” draft sparked particular enthusiasm, for its novelty but also for the opportunity it gave us to emphasize the personal and professional values each of us had relied on during the previous year, as we worked to revise—successfully, we thought—operational processes and procedures that hadn’t been examined closely for years. One of the best examples was the Dean’s Office’s approach to distributing supplemental faculty travel funds, which had evolved over time to allow individual faculty to submit requests for extra funding directly to the Dean if department travel budgets were depleted. Beyond being a record-keeping nightmare (requests were made, discussed, and honored via long e-mail exchanges that were then saved by an administrative assistant), such “one-off” opportunities were not publicized to faculty at large; nor were there any published criteria for funding them. Acknowledging, as a group, that such an approach was neither efficient nor fair, we revised a semi-annual process for funding non-research-related professional development opportunities (e.g., pedagogical conferences, assessment workshops) to include presentations at professional conferences; revised the funding criteria; and set a cap on both the per-proposal funding amount and the number of times a single faculty member could apply. We then detailed the new process, criteria, caps, and deadlines in a formalized call for proposals and announced that the process would be the only method for requesting extra travel support from the Dean. Though the small group of faculty who had benefitted from the old approach resisted the new process at first, the general response from faculty, appreciative of enhanced clarity, was overwhelmingly positive.

During our retreat discussion of the Ways of Being document, we referenced this and other operational efforts from the previous year, noting the principles that seemed to resonate for us personally but also with chairs and faculty. Amanda’s commitment to the values and vision of our Jesuit-university context was highlighted in references to diversity, inclusion, and empathy that she

had incorporated into her draft document. Cindy's preference for and experience with models of feminist administration showed up in recommendations for language that highlighted transparency and equity. Another associate dean, favoring administrative approaches that brought together, in his words, "authority, responsibility, and accountability," suggested an item that captured the benefits of localized decision-making. Recalling a book we had read together on servant leadership, our budget and data analyst offered phrasing that reflected the importance of recognizing and addressing the needs of chairs, faculty, and staff. All of us agreed that a subtitle should be used to remind us of the interconnectedness of how we do administration and who we want to be as administrators. What we ended up with was this:

Loyola College Leadership

Ways of Being

Ways of Being Shape our Ways of Doing

- Promote the Jesuit, Catholic mission, values, and vision of the University.
 - Assume the good of the other.³⁷
 - Be servant leaders by creating a supportive, mentoring environment that is responsive to the needs of departments and individuals, approaching others with empathy and understanding, helping them to achieve our agreed-upon shared goals and objectives.
- Promote equity, diversity and inclusion.
- Be as transparent as possible, always keeping private information confidential.
- Construct systems where decisions are made closest to those affected as possible.
- Have fun along the way!

Though our approach to operational challenges during our first year as an administrative team reflected a shared desire to act responsibly and ethically, composing a collective philosophy pushed us toward a common understanding of both who we wanted to be and how we wanted to describe our ethos. It was clear from our retreat conversation, for example, that the kind of responsibility we sought as a group included, or maybe even depended on, genuine responsiveness to others' needs.

³⁷"Assume the good of the other" is known as the Ignatian Presupposition (Annotation 22 from the Spiritual Exercises of St. Ignatius Loyola).

We didn't just want to work for, or on behalf of, chairs, faculty staff, and students; we wanted to work *with* them to solve problems. Similarly, while we might, every once in a while, wonder about the objective legal implications of a challenging situation, as a group, we were much more interested in embracing an "ethic of care," based on empathic connection with others (Gilligan xix). That is, while, as individuals, we were inclined toward the values that ended up being highlighted in our Ways of Being document, discussing and then committing those values to paper had a definite impact on who we became as a team. Both the nature of our conversations about our work and the spirit with which we approached it seemed to change. We now had both a common orientation and a common language that transcended differences in levels of administrative experience and disciplinary training.

Committing Together: Using Our Philosophy

As we moved toward the end of the previous year's operational "to do" list and began tackling strategic priorities, recalling our Ways of Being principles started to become a habit in our office meetings and in our individual work with department chairs and faculty members. For example, whereas, in the past, we might instinctively wonder how to involve chairs in a dean's-level policy decision, we began to consider out loud and explicitly which aspects of an issue chairs, along with their department colleagues, might handle themselves with support from us, i.e., how we might deliberately localize decision-making. Similarly, rather than assume that a new procedure would appear "transparent" to others, we started to ask how we might craft an e-mail announcement that would make both the procedure and the rationale for it clear. Perhaps most importantly, though, where once our conversations about externally oriented administrative challenges might veer into critiques of seemingly obstinate colleagues, we started to remind each other to "assume the good of the other," to resist assigning ill intent and, instead, reason that the resistance or anger was coming from a place of genuine concern for students, faculty, or the University as a whole.

The Ways of Being document influenced our individual work with chairs, faculty, and staff as well. At the most basic level, it changed the way we communicated decisions to those who were affected by them. It's one thing to provide a rationale for a decision based on one's personal administrative perspective; it's quite another to be able to frame decisions in terms of what "we are trying to do" and why. The changes to the travel funding process, which continued to be a source of concern among some faculty far into Amanda's second year, provide a good example. Without a collective administrative philosophy to frame our explanations to curious or confused faculty during

that first year, we had to rely on our own set of terms, defined in ways that reflected our own disciplinary or theoretical perspectives, and then check in with each other—or, more often, with Amanda—to make sure the five of us were essentially conveying the same message. Our Ways of Being allowed us to speak as a team, presenting not just a more united (and, thus, more compelling) office front, but a more consistent and coherent message about how, when there are no clear processes and published criteria for allocating supplemental funds, there can be no real equity. Many faculty members will either not know that they can submit a request or will assume that the unpublished criteria are such that their request would not be supported.

Subsequent discussions, informed by our agreed-upon principles, worked in the same way—allowing us to use a common language with one another and with the colleagues we supported. A good example from our second year together was our effort to fine-tune our annual process for allocating non-tenure-track positions to departments. Many chairs had indicated in the past that they didn't understand how we determined the number of such positions each department received. This concern was generally expressed as some version of “Why, when clearly we need ___ positions, did we only get ___?” or “Why did the ___ department get ___ positions, when we only got ___?” What the associate deans began to realize is that the process wasn't clear to the chairs because it had never been entirely clear to us. In the past, the associate deans would get together with the Dean, look at requests, advocate for needs of our individual departments and, at most, consider full-time coverage to get a general sense of where need was greatest. Our new collective commitment to equity and transparency helped us to see that we needed a process that was informed by more data—a process that we could explain with more numbers and percentages to chairs as a group but also individually. Guided by our talented budget and data analyst and the most mathematically adept associate dean among us, we came up with a process that drew on a range of current data and could be easily explained to department chairs. Additionally, mindful that a commitment to a “supportive environment” should start at home, so to speak, the associate deans began to talk more about what the college as a whole needed, in terms of faculty resources, and less about what our individual areas/departments needed.

Beyond offering a common way of discussing the work we did as a group, our Ways of Being began to inform how we handled individual administrative assignments, thus providing a chance to more directly model the approach we were using as a team. In situations where the Dean had traditionally been the decision-maker, for instance, Amanda began to intentionally seek opportunities for decisions to be made as close to the ground as possible. As one example, she

transferred more money from her discretionary budget to the associate deans' budgets so that they could entertain and prioritize small funding requests from their departments that fell outside the parameters of the Dean's supplemental faculty-development fund. Further, instead of immediately offering solutions to problems brought to her attention, she began to assume the role of consultant whenever possible, asking if the associate dean, department chair, or faculty member would like to discuss possible options, but allowing them to make the decisions. Early in her second year as Dean, for instance, a senior faculty member was chosen by a University committee to lead an exciting initiative that would take her away from her department for two years. Her chair, however, felt that he could not spare her, as she coordinated an important department program that no one else was prepared to run. Though it was technically up to Amanda to determine whether the faculty member could be released for the University initiative, she discussed possible options with the Chair, including asking the faculty member to devise a plan for coordinating the program in her absence. Provided with the options, the faculty member, in consultation with the Chair, made the final decision herself. Though it would have been easier and more efficient for Amanda to have the final say, both the Chair and the faculty member appreciated being trusted to talk-through and resolve the situation on their own.

For her part, in light of the Ways of Being discussion, Cindy sought opportunities to enhance the transparency of college-wide decision-making processes. Shortly after the summer retreat, she helped coordinate the efforts of a small group of former chairs to revise the Arts and Sciences faculty update form, which faculty use to report accomplishments of the previous year for annual evaluation and merit awards. Beyond clarifying her role as facilitator of a process that the former chairs should "own," she took pains to ensure that the process was as visible to all involved as possible. She collected the group's ideas, incorporated them into drafts, circulated the drafts for feedback and asked the group to make sure she had incorporated all of their suggestions and addressed all of their questions and concerns. She then did the same when the revised form was shared with chairs at a monthly all-chairs meeting. She explained what the group had decided and why, opened the floor to concerns and questions, took notes, and then asked the chairs to send further feedback which informed additional revisions. When the final versions were presented at the next college chairs' meeting, with all of the changes inspired by feedback highlighted, she explained the reasons for making some changes and not making others. There was only a single question from 1 of 20 chairs—just to clarify terminology.

From Collaboration to Connection/Being to Becoming

At the same time that our collective philosophy was bringing us together as a team in ways that seemed to enhance our relationships with faculty and staff within the College, it began to help us see new possibilities for collaborations with other offices across campus. Our commitment to responsiveness, in particular, started to extend beyond the College. While, individually, we all enjoyed good rapport with individuals in other offices and divisions, we began to appreciate how our office might serve as a nexus where the efforts of a variety of offices could intersect toward a common end.

Faced with enrollment challenges similar to those of other private liberal arts schools, for instance, Amanda saw opportunities to bring leaders in Admissions, Marketing and Communications, Advancement, Alumni Relations, and the Career Center to chairs' meetings to discuss how to best work together on various initiatives that would help departments and the University, as a whole, attract more students. In ways we had not done in recent memory, the Dean and associate deans began to serve as liaisons between other divisions and department chairs by, for example, collaborating with the new Assistant VP of the Career Center on a dedicated program of business-oriented credentialing activities for liberal arts majors (Amanda) and with the Interim Director of Admissions on a strategy for ensuring faculty participation in a range of recruitment events (Cindy). For the first time ever, dedicated point-people in Marketing and Advancement were provided with offices in our administrative hallway and invited to our leadership meetings to encourage regular information sharing along with strategizing about how to better support and involve chairs and faculty. The simple fact of their visibility in our wing of the old Victorian Jesuit-residence building symbolized our increasing commitment to responding to the needs of the faculty we served but also the needs of the University.

Just as we began to see new roles for our office, we started to envision new possibilities for ourselves as administrators. Working to establish truly collaborative relationships across university divisions resulted in our recognizing how each one of us could make a difference outside of the College. Whereas in previous years, the Dean and associate deans would offer operational support to the Admissions Office by, for example, reminding chairs to assign faculty to recruiting events, collaboration with Admissions to enhance University enrollments inspired us to see ourselves as recruiters. All of us committed to taking turns attending weekend recruiting events, where we made ourselves available to talk to parents and prospective students, answer questions, and provide directions to events across campus. Amanda even participated in a week-long recruitment trip with

the enrollment-management team at a time of year that was so busy for her, she found it difficult to put away her iPhone. Similarly, where our traditional relationship with Marketing and Communication had been more about relaying complaints from department chairs about events publicity and website design to the PR staff, we began working together with the staff to design marketing plans and PR materials for our departments. Collaborations with Advancement, as an office, prompted all of us to see opportunities for the associate deans to learn more about fundraising and attend prospective-donor events as a way of complementing Amanda's efforts in this area.

Not surprisingly, through collaborating more closely with administrators and staff across campus, we also began to appreciate perspectives on educational issues that differed from ours. Getting to know people outside of the College, and of Academic Affairs more generally, made it easier for us to listen, to understand, and to "assume the good of the other." In turn, working more closely with us helped non-academic administrators better understand faculty perspectives on teaching and learning and how those might translate into different ways of approaching activities related to recruitment, marketing, and advancement. That we began to be invited to help interview candidates for positions in other divisions, to a degree we hadn't in the past, said a lot about the mutuality of the relationships we were forging outside of our office.

Staying the Course: Re-visioning Ways of Being for Sustainability

Along with the benefits of a collective philosophy, including enhanced regard for the office among faculty and improved relationships with colleagues across campus, came some unanticipated challenges. Though our Ways of Being worked to unify us, offering more clarity and confidence in our decision-making processes, it also highlighted some uncomfortable differences between our administrative ideals, on the one hand, and both personal and professional realities, on the other. These differences, we realized, would need to be understood and addressed in order to sustain our philosophical commitment for the long-term.

On an individual level, some of us struggled to reconcile our stated professional values with our individual personality-based inclinations. As a self-described problem-solver, for example, Amanda's professional desire to encourage decision-making as close to those affected as possible was often in competition with her personal preference for decisions to be made quickly, especially during particularly busy weeks. Similarly, though Cindy was intellectually committed to decision-making processes that were inclusive and transparent, she often grew impatient with the time it

took to engage in mutually satisfying collaboration. All of us, as an administrative team, experienced tension between how we were trying to approach our work and how others (other administrators, faculty, staff) seemed to be approaching theirs, which made it very difficult at times to be as professionally generous as we were trying to be. How to thoughtfully consider the feedback of administrative colleagues who seemed not to respect our experience and perspectives? How to be supportive and empathetic with faculty whose concern about a policy decision was expressed in an angry public outburst that verged on personal critique? How to “assume the good of” a staff member who, after years of patient instruction, continued to submit late or incomplete hiring and budget paperwork? (And were we having “fun” yet?)

What we began to realize was that, while our Ways of Being helped remind us of who we could be at our administrative best, as with any philosophy, its underlying values are easiest to uphold when the decision-making environment is calm, the issues are straightforward, the stakes are low, and those we are trying to serve are on the same philosophical page that we’re on. To sustain our commitment during particularly trying times, though, we would need to attend to the personal habits of body, mind, and, for some, spirit that would allow us to be patient, present, and forgiving of others’ shortcomings as well as our own. That is, we would need to address the seeming disconnect between the first three other-oriented tenets in our philosophy and the final reminder to enjoy ourselves, to “have fun along the way.”

The two of us began to recognize the gap in our philosophy as we sought ways to minimize work-related stresses that affected our ability to listen, reflect, and respond with generosity. We knew that our administrative doing—what we could accomplish and how efficiently during any given day—was influenced by the amount of sleep, exercise, and nutrients we were getting. It took us a while, though, to appreciate how important these activities and others were to our administrative *being*. Cindy first recognized the connection at a mindfulness-for-educators institute at Harvard, which she enrolled in to help her develop strategies for minimizing work-related stress, beyond the 8 hours of sleep, daily 25-minute walks, and low-fat, low-sugar diet that was part of her daily routine. As she anticipated, having read books on mindfulness and taken a course on the subject at a nearby yoga studio, the three-day institute focused on various professional stressors; “mindful” practices for relieving them like deep breathing, meditation, and restorative yoga; presentations on the research-supported health benefits of the practices; and exercises in reframing problems. What she hadn’t expected was that a large segment of the final day would be devoted to “self-compassion” as a means of sustaining the ability to connect with and understand others—and that

the session would culminate in an invitation to write a personal Ways of Being statement. This activity, based on the premise that “treating oneself with care and concern” increased the “emotional resources available to give to others” (Warren, Smeets, Neff 19), inspired Cindy to more fully commit herself to exercise, yoga, and meditation and to wonder how our leadership team’s Ways of Being could be revised to incorporate attention to our own physical and mental health.

Around the same time, Amanda was developing strategies of her own to manage the mental and emotional demands of leading the University’s largest school in an era when the value of the liberal arts—the heart of the College—was no longer obvious to prospective students and their families. Beyond trying to sneak in a quick walk around campus during busy days and pencil-in twenty minutes for lunch, she started to look for ways to schedule more downtime because without scheduling it, it wasn’t going to happen. As she did so, she began to see that others in the office were not doing the same. To give herself more space during the week to participate in church activities, read, and watch a show or two on Netflix, for instance, Amanda started reserving a few hours over the weekend to catch-up on e-mail, including correspondence with the associate deans and budget coordinator. Assuming that others were using weekends to relax, she was surprised when they not only read and responded to her e-mails but did so immediately, as if they were carrying their phones around, waiting to see if she needed anything. Similarly, when she began to schedule short vacations in order to have something fun to look forward to, she noticed that others were not taking—or even planning—days off. Because we had not considered, as a group, the personal “ways of being” that might allow us to do our work patiently and with “good will” for the long-term, Amanda realized that she needed to explain why she sent messages on the weekends, clarify that she did not expect answers until the work week began, and emphasize the importance of taking vacation days. Encouraging others to prioritize downtime prompted her to plan a spiritual retreat, something that has to be reserved months in advance, and some other travel for the less-busy summer months.

At least for the two of us, the Ways of Being document became a means—if not a reason—for further developing the personal habits that would help sustain us professionally, including, perhaps most importantly, self-awareness. And it gave us a space to talk about the connections. Regular walks to “make sure we get enough exercise,” for example, often became long talks about difficult situations with no clear “right” solutions, only opportunities for us to try to act in the right way. We noticed the new discursive space that the Ways of Being opened up for our leadership team as a whole, too. It provided a legitimate means for all of us to talk about things that academics,

especially academics who are also administrators, aren't socialized to talk about in that context, but can have a tremendous impact on our work: feelings. Our collaborative philosophy gave us a language we could use as we sorted through complex problems whose solutions seemed to require the freedom to name, with each other, what we were feeling and how that might combine with administrative experience and disciplinary expertise to affect how we were perceiving a situation. The opportunity to bring both intellect and emotion into our discussions itself became a way of sustaining the patience and generosity to which we were all committed. One of the most vivid examples of this type of affirming discussion was our recognizing together that some of our frustrations (with situations, colleagues, ourselves) came from neglecting to distinguish between what we could control (our own thoughts, attitudes, and responses) and what we could not (the thoughts, attitudes and responses of others)--and to agree that, as long as we were doing our best with what we were handed at any given moment, that's all we could expect of ourselves. Some problems simply could not be solved by us. Such discussions worked to deepen trust among us and, thus, also became a way of further developing the aptitudes essential for supporting others, such as being present enough to truly listen. Unlike "technical skills," such as budgeting and planning and even "cognitive skills" like "big-picture thinking and long-term vision[ing]" (Goleman 3), these aptitudes are difficult to teach through administrative guides, institutes, and workshops and, for some, difficult to learn. They can be developed, though, with the right kind of motivation as well as "practice and feedback from others" (5), which is what our meetings often offered.

We also noticed how this sense of personal trust and growing ability to listen to and appreciate one another resulted in a greater appreciation of the diversity of our disciplinary backgrounds and administrative experience. We started to see how perspectives that, in the past, had seemed at times to conflict, were highly complementary, even necessary for making the best decision possible, when viewed more generously. In this way, the philosophy did what Amanda had originally intended it to do for the chairs we represented: bridge disciplinary differences. A conversation about achieving equity in staffing, for instance, might be looked at mathematically, ethically, and rhetorically, given the varied backgrounds of the group. When, during our second year, we set about to further-improve the process of requesting full-time non-tenure-track lines on behalf of our departments, instead of just relying on a surface-level, intuitive scan of the staffing scene, we began to consider more and more real-time data, including full-time coverage statistics, as well as faculty advising loads and degree of participation in the University's first-year living/learning program. We discussed the relative ethics of a conservative approach to full-time

staffing, which might result in last-minute part-time hires with less experience and more mentoring needs, versus a more liberal approach which might satisfy chairs in the short-term, but, depending on final enrollments, might force them to cancel classes that had been promised to part-time faculty. And, in terms of communicating to chairs our manner of decision-making, we talked strategically about the message we would send about how many positions we approved, the criteria we used, and why. It was almost as if collaborating on a philosophy helped us look for new ways to be collaborative.

Conclusion: Administrative Philosophy in Context

At our most recent leadership retreat, we revised our Ways of Being to make it even more helpful, which, of course, offered another means for sustaining our philosophical commitment. We added the word *collaborative* to clarify the mutuality we had been seeking in professional relationships; incorporated aptitudes necessary for empathizing with others, like listening and awareness; and addressed the importance of work/life balance. Most interesting, because it was unexpected, we decided, at the suggestion of one of the other associate deans, to expand the idea of “responsiveness” to include the local Baltimore community, in order to reflect the University’s stated commitment to the city. Here is the revision:

Ways of Being Shape our Ways of Doing

- Promote the Jesuit, Catholic mission, values, and vision of the University.
 - Assume the good of the other.
 - Be servant leaders by creating a supportive, mentoring environment that is responsive to the needs of individuals and departments both within the College and across the University. Such support requires being with others, listening and responding with empathy and understanding, and helping them to achieve our agreed-upon shared goals and objectives.
 - Promote equity, diversity and inclusion.
 - Make a habit of expressing gratitude to others.
 - Share the riches of the College by promoting the welfare of the whole university as well as the city of Baltimore.
- Be as transparent as possible, always keeping private information confidential.
- Construct systems where decisions are made collaboratively to the extent possible, and closest to those affected as possible.

- Nurture relationships within the office; encourage one another to practice habits of self-care.
- Celebrate successes.
- Have fun along the way!

One important difference this year was that the membership of our team unexpectedly changed a few weeks before the retreat. As a result of the unanticipated resignation of our Vice President of Academic Affairs, Amanda agreed to serve as an interim VPAA, and a long-serving department chair agreed to temporarily take her place as Dean. The incumbent dean attended the retreat and participated in our Ways of Being revision discussion—as did our Marketing and Advancement liaisons, who had been invited to update us on initiatives in their areas. Consequently, though some of the revisions to our document were expected, given leadership-team conversations over the previous year, others were clearly a product of a new leadership dynamic. The idea for incorporating gratitude into our Ways of Being was offered by the incoming dean, for example, who was trying to help the rest of us figure out how we could maintain the positive attitude necessary for consistently being generous. Amanda facilitated the discussion, but didn't participate as much as before because of her transitional role.

What the two of us understood clearly after this retreat was something we had only wondered about before: context matters. Any truly meaningful collective philosophy will differ depending on the people who write it and the institutional environment in which it is written. The level of interest in both composing and committing to a Ways of Being among our administrative team that first year clearly was enhanced by the fact that we had quite literally chosen to work together. In previous roles at the University, for example, Amanda had helped hire one associate dean, when he was a candidate for a faculty position in her home department, and another associate dean (Cindy) when she applied for a position with a former dean. Cindy had worked with previous deans to bring the other two associate deans to the Office, and Amanda and all three associate deans had hired our budget and data analyst. What's more, all three associate deans made it clear to administrators above them that, of the three candidates for Dean at the time of her hire, Amanda was their first, if not their only, choice. Part of the reason for choosing to work with each other in the first place—and to continue to work together as we took on new roles—was a sense of shared professional values, which many administrative teams may not have initially.

In terms of the impact of institutional context, a specific university political landscape will prompt consideration of certain leadership models and aptitudes before others. If, for example, faculty feel that there has been too much top-down decision-making on campus, as our faculty felt at the time, an administrative team might more readily consider reflecting consultative models in their philosophy. If they feel they, their chairs, or faculty are not being listened to or understood, they will be more apt to incorporate elements of self-awareness. Finally, if the institution itself emphasizes certain values, as ours emphasizes service to others, for instance, then those values will likely be reflected in a divisional philosophy.

As Amanda has begun to introduce the idea of a Ways of Being to members of her Academic Affairs administrative team, she has seen how a shift from just one office to another, from one team to another, on the same campus can make a difference in the final shape of an administrative philosophy as well as how a dean (or vice president) approaches the collective composing process. In fact, in her particular new environment, with a team that is new for her and, to some extent, new to each other, she has found that the process of composing a Ways of Being is at least as important as the end result. Allowing time and nonjudgmental space for honest preliminary give-and-take as well as drafting and revision is where the trust needed to work together is nurtured, the bond to honor the concept of common means to achieve common ends is fostered.

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HIRING STAFF IN HIGHER EDUCATION WITH DISABILITIES: IMPLICATIONS OF THE AMERICANS WITH DISABILITIES ACT AMENDMENTS ACT OF 2008

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An estimated 56.7 million people in the United States report having some type of disability. Among people aged 21 to 64, approximately 41% reported to be employed (U. S. Census Bureau, 2017). Of the people with disabilities aged 18 to 64, only 21% work full- or part-time. Forty-three percent of people with disabilities say they have experienced some form of discrimination in employment (Kessler Foundation/NOD, 2010).

The Americans with Disabilities Act (ADA) was passed in 1990, and the Americans with Disabilities Act Amendments Act of 2008 (ADAAA) was later passed. This revised act, “emphasizes that the definition of disability should be construed in favor of broad coverage of individuals for maximum extent permitted by the terms of the ADA and generally still shall not require extensive analysis” (U.S. Equal Employment Opportunity Commission (EEOC), 2017, para. 1).

The Americans with Disabilities Act Amendments Act of 2008 (ADAAA) re-established the purpose of the original act, the Americans with Disabilities Act (ADA) of 1990, which was to protect individuals with disabilities from discrimination in all aspects of society, including employment, and broaden definitions of key terms which the courts had strictly applied. Since the ADA’s inception, judicial rulings of the law had created an environment of *prove the disability*, where the greatest question addressed by the courts was whether a person had a disability that gave him or her protection under the ADA (Bowman, 2011). Many court decisions favored the defendants.

The courts’ narrow interpretation of who was disabled under the ADA precluded many people who appeared to be covered from pressing their claims of discrimination. According to one

study, in the first seven years after its passage, defendant employers won 94% of cases at the trial court level and 84% of cases appealed by losing plaintiffs. (Valenti, 2014, p. 89)

ADA advocates argued that the courts had taken away the protection intended by the law by focusing on whether or not a person was disabled. “Unlike the plaintiffs claiming discrimination based on empirical status such as age, race, or gender, persons claiming discrimination against them based on disability bear a high burden to prove that they are even within the protected class” (Coustan & Gettleman, 2009, p. 35).

All employers are impacted by the ADA, even those responsible for hiring at colleges and universities. Hiring managers and professionals in higher education will likely have some contact with applicants with some type of disability, regardless of which type of position they are hiring for: student worker, clerical, custodial staff, professional staff, or administration staff. Those with the authority to hire have a responsibility to the applicants and their institutions to fully understand the requirements under the ADA, as well as legal implications in the event an applicant’s legal rights have been violated.

Therefore, the purpose of this article is to address the ADA and ADAAA and its impact on hiring staff in higher education. It outlines the hiring process, in an effort to reduce concerns and apprehension of hiring managers when applicants may present with a disability. The article also provides resources to assist in understanding the law, as well as positive implications for colleges and universities as they expand the number of campus staff with disabilities.

The Americans with Disabilities Act and Amendments

The ADA was signed into law on July 26, 1990. The overall rationale of the ADA was to strip away the barriers that had restricted individuals with disabilities from not only reaching their fullest potential in employment, but also participating in the richness of activities offered by the community (Simpkins & Kaplan, 1991). The ADA consists of five titles: Title I addresses employment; Title II prohibits discrimination in public services; Title III offers protection in public accommodations and services operated by private entities; Title IV requires telecommunication systems to be accessible; and Title V is a miscellaneous category and gives individuals with disabilities choices when receiving accommodations.

Designed to protect individuals against discrimination in employment for public or private employers with 25 or more employees, Title I applies to almost all public and private colleges and

universities. This section of the law addresses employment needs and requires employers to provide reasonable accommodations that will enable a person with a disability, who is otherwise qualified, to perform essential job functions (Rumrill, Gordon, & Roessler, 1993).

While the ADA was designed to decrease discrimination for employees with disabilities, the judicial decisions favored the defendants, with the critical issue focusing on whether or not the complainant had a disability, and thus was protected under the ADA. The ADAAA was enacted to restore the protection lost in the courts and increase protection of people with disabilities.

The (Amendments) Act makes important changes to the definition of the term 'disability' by rejecting the holdings in several Supreme Court decisions and portions of EEOC's ADA regulations. The effect of these changes is to make it easier for an individual seeking protection under the ADA to establish that he or she has a disability within the meaning of the ADA. (Notice Concerning the Americans With Disabilities Act (ADA) Amendments Act of 2008, 2017, para. 2)

The ADAAA made significant changes to the original law, with the most important including: increasing the number of people protected, redefining the terms *substantially limits* and *regarded as*, disregarding mitigating measures, expanding the list of *major life activities*, and adding protection for relapsing and remitting disabilities (Bowman, 2011). Both laws define a person with a disability as someone with "a physical or mental impairment that substantially limits one or more major life activity" (Bleau, 2008, p. 278). Disabilities include, but are not limited to, cancer, smoke sensitivity, epilepsy, emotional disturbances, heart disease, diabetes, cerebral palsy, muscular dystrophy, multiple sclerosis, specific learning disabilities, and low IQ (Linthicum, Cole, & D'Alonzo, 1991; Rumrill et al., 1993).

The ADAAA specifically addresses the definition of disability and extended its reach, adversarial to the courts' rulings under the ADA. The ADAAA emphasizes "a broad coverage of individuals to the maximum extent permitted by the terms of the ADA and generally shall not require extensive analysis" (Notice Concerning the Americans With Disabilities Act (ADA) Amendments Act of 2008, 2017, para. 1). Other terminology, seen as being too stringently applied by the courts under the original law, was redefined in the ADAAA: *substantially limits* and *regarded as*.

The interpretation of the term *substantially limits*, which the courts were applying as severely restricts, was broadened. Additionally, the ADAAA includes impairments in remission, or relapsing and remitting impairments, which would substantially limit a major life activity when active. Under

the new act, an individual is regarded as having a disability if the employer believed the employee had an impairment. However, the impairment cannot be temporary, lasting six months or less, and does not substantially limit a major life activity (Smith & Cherry, 2012).

The Amendments also expanded what constitutes a major life activity. The original act did not define major life activity, but judicial rulings leaned on the EEOC list, which included caring for oneself, performing manual tasks, walking, seeing, hearing, speaking, breathing, learning, and working (Smith & Cherry, 2012). The ADAAA specified the EEOC list was to be included, as well as, but not limited to, “eating, sleeping, standing, lifting, bending, reading, concentrating, thinking, communicating, and any impairment that limits a major bodily function and functions of the immune system, normal cell growth, digestive, bowel, bladder, neurological, brain, respiratory, circulatory, endocrine, and reproductive functions” (Smith & Cherry, 2012, p. 34).

Under the ADA, court rulings considered mitigating measures when determining judgments. A mitigating measure is a medical treatment or assistive technology a person utilizes to decrease the symptoms of their disability, such as medication, a prosthesis, or hearing aid (U.S. Department of Labor, 2017). The ADAAA states that these mitigating measures are not to be considered when determining a person’s eligibility under the law, with the exception of eye glasses or contacts (Smith & Cherry, 2012).

As in the original law, the ADAAA holds employers responsible for providing reasonable accommodations to individuals with disabilities.

Individuals requesting reasonable accommodations for their disability must provide appropriate documentation and work with their employer for the provision of the requested accommodations. Employers are expected and required to provide reasonable accommodations which will enable people with disabilities to participate on par with colleagues without disabilities. (Stewart & Collins, 2014, p. 21)

A reasonable accommodation is a modification that an employer makes to a job or the work environment that helps the applicant or employee perform the essential job functions (Rumrill et al., 1993).

Hiring Process

When beginning the hiring process for any position in a college or university, there are some basic issues that should be first considered, such as selecting and training the search committee,

pre-employment testing, developing the job description and determining essential functions of the position, designing legal interview questions, and anticipating what reasonable accommodations can be provided.

First of all, prospective employers should not inquire about any possible accommodations needed by an applicant until after a job offer is made. However, if the applicant has an obvious disability, and the employer reasonably believes the disability would require an accommodation, the employer may ask about a possibly needed accommodation (Hlavac & Easterly, 2014).

The use of search committees is a common practice in higher education. Therefore, committee members must understand the essential functions of the position for which they are considering applicants. They must also be familiar with appropriate interview questions to ask of a person with a disability. All interview questions should be reviewed with committee members or the committee chair prior to the interview. "Training search committees in the intricacies of the law is of utmost importance and should be addressed at the departmental and university levels" (Gehring, Osfield, Wald, 1994, p. 5).

Pre-Employment Testing

Tests prior to employment and physical examinations are other areas where many employers are unclear as they relate to the ADA and ADAAA. Requiring testing of applicants is legal only if all applicants are expected to complete the same assessment. A good general guideline is to only include pre-employment tests that are related to the specific job and measure the skills that are necessary to effectively conduct the job (U.S. Department of Justice, 2017). For those applicants with a disability, testing accommodations must be offered in order to ensure the test accurately reflects the applicant's abilities.

Pre-employment physical examinations can only be required after a job offer is made. The examination must be the same for all applicants who receive job offers within the same classification (Postol, 1996). This approach will prevent an employer from eliminating an applicant from a position due to a diagnosed disability or other medical condition.

Position Descriptions and Advertisement

A job description should be written for each position and should include statements of tasks, duties, and responsibilities of the position. In order to comply with ADA (and now ADAAA) regulations, the description should include job specification information as well as a description of both job duties and the skills and qualifications needed to perform the duties (Vernon-Oehmke, 1994). Some position descriptions might not clearly specify the difference between the duties and

skills. The essential functions of the position must be plainly stated in the description. The essential functions are the main job tasks of the position and based on the amount of time the person in the position engages in those tasks (Valenti, 2014). The employer must also show they have *engaged in the interactive process*, to reasonably accommodate the employee. The employer should also consider some alternative ways in which essential functions can be performed (Fish, 1997). Ultimately, the employer must make employment decisions based on the essential functions of the position. Therefore, it is imperative that these functions be clearly defined in the job description.

The ADA established criteria to assist employers in determining essential job functions. While developing job descriptions for higher education, an affirmative answer to any of the following questions will help indicate that a job function is essential:

1. Does the position exist to perform the function?
2. How much time does the employee spend performing the function?
3. Are there a limited number of other employees available to perform the function or among whom to distribute the function?
4. Are there peak work periods that would prevent the transfer of responsibilities to others in the department?
5. Is the function so highly specialized that the person is hired for his or her special expertise or ability to perform the function?
6. Would there be serious consequences if the employee is not required to perform the function?
7. Does the current collective bargaining agreement require that a particular job function be performed only by the incumbent in this position? (Vernon-Oehmke, 1994, pp. 29-31)

As stated earlier, it is the responsibility of the applicant to request an accommodation when applying for a position. The procedure for requesting an accommodation should be included in the actual advertisement. During the application process, reasonable accommodations might include an audio or computer form of the application, or a sign language interpreter (Daddona, 2001). However, the employer has the legal right to require that the request be made within a certain number of days in order to have sufficient time to meet the request (Fish, 1997). Regardless of when the accommodation is requested during the selection process, the employer has the legal right to request written documentation of the disability (Rumrill et al., 1993). Employers and applicants should be aware that these protections apply before an applicant even walks into an interview (Hlavac & Easterly, 2014).

The advertisement should also “actively welcome applications from all candidates, including candidates with disabilities” (Modern Language Association, 2016, para. 3). Although this might sound obvious, taking the extra step to add an inclusive hiring statement may possibly increase the number of applicants from individuals with disabilities.

Finally, a job application should not ask information concerning any existing or former disability (Fish, 1997). Questions attempting to gather information about workers' compensation, number of days absent from work, or reasons for absence cannot be asked on the job application (Vernon-Oehmke, 1994).

While an individual is not required to accept an offered accommodation necessary to enable him/her to perform the essential functions of the job, if as a result of that rejection he/she cannot perform these functions, then the person will not be considered qualified. (Berkowitz, Downes, Ericsson, and Patullo, 2014, p.8)

Interviewing

Under the ADA and ADAAA, an employer cannot legally ask an applicant about the existence, nature, or severity of a disability (Cabot & Slogoff, 1995; Fish, 1997). However, questions may be framed around the applicant's abilities to perform job-related functions (Simpkins & Kaplan, 1991).

It is important to note that an increasing number of people with disabilities have a *hidden* disability, such as a learning disability or psychiatric disability.

State and federal laws do not require that individuals with disabilities disclose the existence or nature of the disability during the application process, nor upon the acceptance of an offer of employment or admission. However, requesting an accommodation complicates disclosure since providing documentation of the disability is required to access accommodations. (Stewart & Collins, 2014, p. 22)

Even if the hiring administrator suspects an individual has a disability, it is illegal to elicit information about a disability (Cabot & Slogoff, 1995). Again, the previously identified essential job functions for the position should be discussed from the perspective of whether or not the applicant has the ability to perform them. Examples of questions that are illegal include:

- Do you have any disabilities?
- Do you have AIDS or are you HIV-positive?
- Do you need an accommodation for this job?
- How many days were you out sick last year?

- Have you ever filed for workers' compensation? (Cabot & Slogoff, 1995; Fish, 1997; Kaplan, 1998; Vernon-Oehmke, 1994)

Legal questions that can be asked in an interview include:

- Looking at the list of job functions, will you be able to perform these functions?
- In an emergency, how are you going to get to a student in the residence hall?
- Please describe how you will perform the functions of this job.
- Tell me how you counsel students who often send nonverbal messages to their therapist.
- Can you type 30 words per minute? (Cabot & Slogoff, 1995; Daddona, 2001; Fish, 1997; Kaplan, 1998; Vernon-Oehmke, 1994)

Interviewing an applicant with a known disability may be intimidating and worrisome to an interviewer in higher education who might be concerned about doing something inappropriate or saying something that might not be legal under the ADA and ADAAA. Williams (1998) provides the following guidelines for interviewing a person with a disability:

- Focus on the person, not the disability.
- Stay calm and remember to be interested in the person's ability.
- Do not be overwhelmed by the disability.
- Ask the same job-related questions used for non-disabled candidates.
- Treat the applicant with respect.

In addition, there are other simple things the interviewer(s) can do to make a candidate with a disability feel more comfortable. According to the Modern Language Association (2016), these include:

- Clearly enunciate, instead of shouting, when candidates have difficulty understanding.
- Do not lean on a wheelchair when talking with a candidate, as it is part of their personal space.
- Do not touch service animals without permission.
- Offering assistance is appropriate, but the offer may be declined.

Finally, the interviewer should be consistent by asking each candidate the same questions and should not explore personal information beyond what is volunteered by the applicant (Vernon-Oehmke, 1994). As interviewers gain practice in conducting disability-neutral interviews, they will become more comfortable focusing on the applicant instead of worrying about the process (Daddona, 2001).

Reasonable Accommodations

The next step in the hiring process after the applicant discloses a disability is to discuss what constitutes a reasonable accommodation. Again, the applicant must request an accommodation and should not assume the employer will automatically know what accommodations are needed. “This should be a joint decision as the [person with a disability] can provide insight into how he or she can effectively conduct the functions of the job” (Daddona, 2001, pp. 78-79).

Examples of reasonable accommodations include:

- (a) job restructuring or reassignment,
- (b) modified work schedules,
- (c) modification of policies, examinations, training materials, and methods,
- (d) providing additional staff,
- (e) placing amplifiers on telephones or providing headsets,
- (f) computer modifications,
- (g) installation of ramps, rails, lifts, etc.,
- (h) modifying desks, tables, and counters, and
- (i) providing interpreters (Simpkins & Kaplan, 1991).

The individual is required to cooperate with the employer to determine reasonable accommodations (Postol, 1996).

The main reason why some employers avoid hiring employees with disabilities is due to inaccurate or false myths about what is expected of them as employers. One of these myths is the high cost of accommodations. However, 81% of accommodations cost less than \$100, and many employees don’t even require accommodations. Employers are also concerned they will be sued by employees. Fewer disability claims are filed than claims based on race, gender, or age. Ability to perform the functions of the job is another concern of employers. Yet, people with disabilities were found to be average or above average in performance, attendance, and safety (Wittmer & Wilson, 2010).

An undue hardship for the employer occurs when the cost of a reasonable accommodation becomes excessive or prohibitive. Accommodations are often considered on a case by case basis, since accommodations may be reasonable in one work setting, yet the same request may be unreasonable in another. Criteria for determining a reasonable accommodation include:

- (a) the nature and cost of the accommodation,

- (b) the overall financial resources of the facility, including the number of employees and the effect it will have on operations of the facility,
- (c) the overall financial resources of the employer, including size, number of employees, number and types of other locations, and
- (d) the employer's type of operation, including composition, structure, and functions of the workplace (Rumrill et al., 1993; U. S. Department of Justice, 2017).

The Job Accommodation Network (JAN) reported that approximately 58% of accommodations did not cost the employer anything, and the remaining typically cost \$500 for the employer to make (Cordingly, 2014). Another survey of over 1,000 employers, sponsored by JAN, discovered that many employers reported a return on their investment (Nelton, 1998). These benefits related to retaining and hiring qualified employees, savings on insurance and workers' compensation costs, and increased productivity. Employees with disabilities have higher retention rates than the average employees as well as loyalty to the organization (Wittmer & Wilson, 2010).

Types of reasonable and low-cost accommodations that employers might consider making include some of the following:

- Allow employees with lower back problems to exercise their back by taking additional breaks and/or provide adjustable chairs, if needed.
- Place flashing light system on phones or at doorways for employees with hearing impairments.
- Purchase computer screen magnifiers for visually impaired employees.
- Allow flexible work schedules for those needing time off for dialysis or other medical treatments.
- Provide screen readers designed for employees who are blind.

(Sotoa & Kleiner, 2013)

The new requirements of the ADAAA were included throughout this section, but are worth reiterating and reminding higher education employers again. Job descriptions should be clearly written and should include all requirements of the job. Applicants can now request accommodations during the interview process. Previously reported illegal questions still apply, and managers, department heads, and adult educators must be trained to be proactive about providing accommodations (Bowman, 2011). Finally, since the ADAAA has expanded the interpretation of what constitutes a disability and how individuals must provide documentation of their disability,

employers must be cognizant of these changes to ensure they are not dismissive of a job applicant's request for a reasonable accommodation at any time during the application process.

Discrimination

A study comparing cases related to hiring discrimination that were filed with the U.S. Equal Employment Opportunity Commission (EEOC) under Title I of the Americans with Disabilities Act found cases that held merit, referred to as merit resolution, were 26% when compared to cases for current employees where 20.6% of the cases resulted in merit resolution. These findings suggest that employers might think they can avoid hiring a qualified candidate with a disability, and the actual reason for not selecting the candidate will not be challenged or proven (McMahon et al., 2008). Another study, based on the same data set, compared the different factors that resulted in merit and non-merit complaint resolutions (McMahon, Hurley, Chan, Rumrill Jr., & Roessler, 2008). Age was the most significant predictor in merit resolutions, with individuals in the 16-34-year age group most successful with physical, neurological, or sensory impairments.

McMahon and Hurley (2008) reported that the majority of discrimination was related to employee job retention or the quality of their work. Of the 40 areas where discrimination was found, 76% of the allegations were reported from the following issues listed in order of number of allegations: discharge and constructive discharge, reasonable accommodations, terms and conditions of employment, disability harassment and intimidation, and hiring.

Assistance in Understanding the Law

The need to hire new staff members in higher education can occur at any time, and often there is little spare time to engage in the process, which can be quite lengthy. Incorporating the need to understand the requirements of the ADA and the Amendments Act can add an additional layer of work and responsibility. Higher education managers will likely have different levels of comfort and experience with ADA and the ADAAA. There may also be the fear of violating the law without knowing it, which could result in legal action brought against an institution. However, hiring supervisors are not alone in this process. There are a variety of free resources available to assist employers in understanding the ADA and the ADAAA.

The college or university human resources office is a good starting point for assistance. They will likely require positions to be posted on their web site and may even require their approval prior to posting a position. Review the human resources web site for general hiring guidelines and for specific guidelines for applicants with disabilities including sample interview questions. Contact the human resources officer with specific questions and concerns you might have.

In addition to campus support, there are a number of excellent government web sites with valuable information to assist hiring managers. Some of these sites are discussed below.

- U.S. Department of Justice, Civil Rights Division, Information and Technical Assistance on the Americans with Disabilities Act web site: www.ada.gov (U.S. Department of Justice, 2017).
- U.S. Equal Employment Opportunity Commission (EEOC) web site: www.eeoc.gov. The EEOC can also be reached at 1-800-669-4000. (U.S. Equal Employment Opportunity Commission, 2017).
- Job Accommodation Network (JAN) is a comprehensive information web site with a toll-free telephone resource. It is a service of the Office of Disability Employment Policy, U.S. Department of Labor. Consultants are available to provide information and answer questions about the employment section of ADA and ADAAA including reasonable accommodations. The site also provides an overview of and accommodation ideas for over 100 disabilities. JAN can be reached at 1-800-526-7234. The web site for JAN and the Office of Disability Employment Policy is askjan.org (Job Accommodation Network, 2017).
- The Employer Assistance and Resource Network (EARN) provides resources to help employers recruit, hire, retain, and advance individuals with disabilities. EARN is funded by the U.S. Department of Labor's Office of Disability Employment Policy and can be reached at Askearn.org (Employer Assistance and Resource Network, 2017).

Implications for Higher Education

Once again, the main purpose of this article was to assist higher education administrators in understanding the requirements of the ADA and the ADAAA, in an effort to ensure compliance with the law and to demystify the hiring process as it relates to applicants and employees with disabilities.

However, the commitment to hiring staff with disabilities serves more purposes than simply following the guidelines of the law. In addition to benefits for the individual being hired, the institution can also reap the benefits of expanding the diversity of campus employees. Individuals with disabilities are significantly underrepresented in higher education (Modern Language Association, 2017).

Institutions of higher education should provide a safe and comfortable environment for employees with disabilities, especially those with a physical disability. This can result in an increased number of applicants seeking employment on college campuses. As the number of employees with disabilities increase, others [with disabilities] may also seek employment (Daddona, 2001, p. 80).

If the institution adopts disability-inclusive hiring practices, it may also lead to expanding the number of staff employed with disabilities. A survey of human resource professionals was conducted to determine disability-inclusive employer practices that would increase the likelihood of employers hiring individuals with disabilities. Findings indicated the most important practices were a strong commitment to disability recruitment and hiring from the senior management level, having internships available for people with disabilities, reviewing online applications to determine their accessibility, including individuals with disabilities in their diversity and inclusion plans, and having explicit organizational goals that relate to recruitment or hiring of individuals with disabilities (Erickson, von Schrader, Bruye're, VanLooy, & Matteson, 2014).

Students with disabilities also benefit when they can interact with campus staff who have disabilities. There is an increase in the number of students with disabilities on college campuses. Approximately 11.1% of college students have some kind of disability, and this number continues to increase (National Center for Education Statistics, 2013).

Students with disabilities may feel more comfortable knowing that others with whom they come into contact are knowledgeable about and accepting of persons with disabilities. These employees can serve as mentors and role models for students with disabilities who may be unsure about career options. Students may also simply seek out such employees as safe persons with whom to talk casually, possibly providing the opportunity for recruitment into the profession (Daddona, 2001, p. 80).

The number of Americans with disabilities continues to grow as more and more soldiers return from the Middle East with disabilities (Wittmer & Wilson, 2010). Over one million student veterans were using their GI benefits in 2013 in order to pursue advanced educational

opportunities. Over the next few years, it is estimated that the number will increase by 20% (U. S. Department of Veterans Affairs, 2017). With the increased numbers of veterans pursuing advanced degrees on our college campuses, hiring other veterans with disabilities can show support for this emergent student group.

One goal of higher education is to expose students to a variety of individuals who are different from themselves and to prepare them for a diverse workforce. The more opportunities students have to interact with campus staff with disabilities, the more likely they will hopefully accept these individuals and see beyond their disability. This may lead to the opportunity to change attitudes and develop a deeper appreciation of those with disabilities, which may transfer to the world of work. The cycle will hopefully continue as students graduate from college, become working professionals, and then later are in positions to hire staff themselves.

Finally, employees with disabilities can serve as good campus stewards to recognize and become aware of areas on campus that are not accessible for students, faculty, or staff with disabilities. Since they may be viewing accessibility from a different lens than other employees, they might more easily notice access problems and issues that others unintentionally missed such as sidewalks or building entrances that are challenging to someone with a mobility issue, print material posted on campus or on institution web pages that are difficult for someone with a visual impairment to read, limited dining option for those with dietary needs, or long distances to restrooms for those who may need quick access.

Conclusion

The ADA was signed into law in 1990 to help prevent discrimination against Americans who have disabilities. In 2008, the ADAAA updated the original ADA and further protected individuals with disabilities. While the law may appear confusing and even intimidating, there are many resources available to assist the higher education community. It is the responsibility of all higher education employees who have responsibility for hiring or even serving on a search committee to understand the law to then offer a level playing field for all applicants. The commitment should extend beyond what employers must do, but should include the many benefits to the entire campus community, and especially the students, when there is an increase in campus staff with a variety of different disabilities.

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EVALUATION OF COLLEGE DEPARTMENT CHAIRS BY THE ACADEMIC LEADERSHIP INDEX (ALI)

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A central dilemma facing academic department chairs has been characterized as role conflict between administrative control and faculty autonomy (Brown & Moshavi, 2002; Gmelch, 2004; 2016). This image of balancing the needs of two groups can be insightful, but as the job of chair has become more complex, the analogy disintegrates into many roles, needs, and priorities to be balanced.

The chair must deal with the expectations and desires of the students in the department, the personal and professional hopes and fears for the faculty, the goals and priorities of the college dean, the often perplexing priorities of the central administration, the sometimes naive and sometimes jaundiced views of the alumni, and the bureaucratic procedures of the accrediting agencies. (Hecht, Higgerson, Gmelch, & Tucker, 1999, p. 23)

Added to the complexity are new responsibilities to gain funding and establish off-campus partnerships, evaluate and communicate program effectiveness, and manage distance educational programs (Franklin & Hart, 2006; Hancock, 2007; Hunt, 2012).

Background

Traditional evaluation of a department chair often used a model based upon administrative roles, rather than that of leadership—perhaps because the chair had teaching responsibilities and the job was regularly rotated among department members (Garcia Mitchell & Eddy, 2015). The four roles that comprised the typical expectations for a department chair (Carroll & Gmelch, 1994) are found in survey items of chair evaluation:

- *Faculty developer* Items center around listening to faculty and mentoring new teachers and researchers. “The Chair provides active help so individual department members improve their teaching.”
- *Manager* Often the majority of the items are clerical, including meetings, reports, communication, and planning. “The Chair is efficient in handling administrative duties such as course scheduling and budget submissions.”
- *Leader* Usually these items center on efficient running of the department. “The Chair demonstrates knowledge of district, college, and contractual requirements in scheduling, staffing, revising programs, and developing new programs and courses as appropriate.”
- *Scholar* Items of the scholar role were difficult to find on a survey. Scholarship is implied in advocating for the purpose of a college department, but is not articulated as in faculty reviews—perhaps because chairs continue to have faculty teaching and research responsibilities outside of the role of department chair (Taggart, 2015).

Department Chair’s Leadership

Rather than a manager ‘balancing’ between administration and faculty, a leadership lens suggests the experience of academic department chair as a ‘tug of war.’ In other words, as demands for one priority strengthens, the other priorities give ground (Deal & Peterson, 2000). This internal stress has been identified as the pull between high task focus and high people focus. These two dimensions were established by the 1950’s and 1960’s Ohio State Studies, that divided leadership into the dimension of initiating structure (goals, communication, problem-solving) and consideration (trust, friendship, respect) (Yukl, 2012). While adding attention to task may negatively impact relationships, and vice versa, Blake & Mouton’s Leadership Grid (1981) uses the component named Team Leadership to indicate a leadership style which is difficult to attain and maintain-- simultaneous high task and high people focus. While combining academic expertise and managerial competence is expected of academic administrators, blending the two is particularly challenging (de Boer & Goedegeburre, 2009).

If Team Leadership is at the center of the tug of war academic chairs face, then insight and savvy actions need both the interpersonal skills of building people and the strategic skills for accomplishing tasks. The Academic Leadership Index (ALI) (Keiser & Williams, 2017) grouped indicators of department chair leadership into three factors. These factors are loosely connected to leadership dimensions: resourceful (task focus), supportive (people focus), and intentional leadership (both people and task).

• **Intentional leadership.** Leadership that is intentional springs from a deep sense of personal and professional principles, or an ethical, moral purpose “acting with the intention of making a positive difference in the lives of employees, customers, and society as a whole.” (Fullan, 2001, p. 3). These are universal principles, cross-cutting culture, for “good leaders, no matter what their style or personality,...don’t make up their values as they go along; they listen carefully to the call of moral values that already lie within all of us” (Lennic & Kiel, 2008, p. 20). Buller (2015) points out that the difference between an authentic academic chair and an ordinary one is the ability to reflect and be intentional in the approach to being chair.

Intentional leadership also is the strategic shared vision that moves the group forward. Senge (2012) suggests, “The discipline of shared vision is the set of tools and techniques for bringing all of these disparate aspirations into alignment around the things people have in common...the future we want to create together” (p. 72). Inherent in the tools is clear focus on the core purpose of the department, college, and university and the goals that the group strives to attain together.

• **Supportive leadership.** Building upon the relationships of internal and external members of the department, supportive leadership is an “enabling and facilitating rather than a directing and controlling role. A gentle blend of nudging people in the right direction, ideally agreed beforehand with those involved, and the provision of help...when needed” (Smith, 2004, p. 25). While supportive leadership blends with servant leadership in higher education (Wheeler, 2012), there is an added initiative to guide, coach, and even direct when needed (Hershey, Blanchard, & Johnson, 2012). Supportive leadership can be heightened through empathy and social skills.

• **Resourceful leadership.** “I not only use all of the brains that I have, but all that I can borrow,” was first said by Woodrow Wilson, but symbolizes the stance of resourceful leadership. Embracing a systems approach to organizational theory, resourceful leaders, “focus on the whole organization, the relationships between its technical...parameters and its behavioral, social or human element, and its relationship with the environment (Brooks, 2009, p. 131). The primary goal is the growth of the group and of the individuals, collaborating and communicating with all parts and people to problem solve (Green, 2012).

Resourceful leadership also implies wise acquisition and allocation of resources, but not in a ‘beat the competition to grab the biggest slice of the pie’ manner. Leaders who are truly resourceful do not see life as a finite game of winners and losers—instead they ‘bake a bigger pie’ (Thaler & Koval, 2006). Collaboration, negotiation, and creativity all combine to improve the resourcefulness of a department chair.

Evaluation of Department Chairs

In education as in business, the ongoing loop of improvement contains the critical element of evaluation. Drucker said that what is measured gets improved, or, what is inspected becomes respected—and expected (Anderson & Feltenstein, 2007). While evaluation does not lead automatically to improvement, lack of meaningful evaluation guarantees that improvement is random and unpredictable. It can, however, be difficult for department chairs to assess their own leadership as separate from the success of the department. Most department chairs had no formal training or preparation in leadership (Gmelch, 2004), and the most common preparation technique of academic administrators is talking to other administrators and reading about leadership (Morris & Laipple, 2015). Using only prior experience, virtual experience from literature, and peer models can be limiting in creating purposeful criteria to reflect and evaluate one's own performance and opportunities to grow.

The traditional review of performance of a department chair has been completed by the dean, and included a questionnaire for faculty (Booth, 1982). While this method provides quick feedback, it presents only fragmented answers to the individual questions, and insights are limited by the types of questions asked of chair roles and skills. Recently 360 degree reviews have been conducted that yield detailed narrative insights, but time-taking efforts of compiling and making sense of the data can outweigh the benefits (Weigelt, Brasel, Bragg, & Simpson, 2004).

The role of university department chair is one of the most misunderstood positions in higher education; yet, it is also one of the most under-researched (Gmelch, 2004; de Boer & Goedegebuure, 2009). If it is difficult for those closest to the role to define it, it becomes more convoluted for those who do not hold the role to evaluate it. Useful evaluation is dependent upon the idea that “valid and clear criteria for evaluating chairpersons’ roles are required. Such criteria can help these individuals assess their own strengths and weaknesses.” (Alkarni, 1995, p. 56).

The relationship of the evaluator to the chair may also alter judgment. Bass & Riggio (2006) speculate that leaders may need to be transactional when the followers have the power and information, and that transformational, or inspirational and intellectually stimulating leadership, emerges when the leader has the power and information. This complexity is compounded in evaluation as the view of leadership is not coming from the leader, but filtered through the followers’ perceptions. Both power and information varies widely between roles where a chair is

sitting among peers and university administrators and the roles of working with faculty who value academic freedom. In a hierarchical or vertical role (leading staff and faculty), legitimate power and decision making impact the follower's view, while horizontal leadership roles usually comprise the shared leadership with other administrators (Thylesfors & Persson, 2014). It may be valuable for chairs to investigate how they are viewed from both horizontal and vertical leadership perspectives, and also how aligned the responses are in creating a composite whole.

Therefore, the purpose of this study is to explore the factors of intentional, supportive, and resourceful academic leadership, and to compare the perspective of peers and direct reports in evaluating department chairs. Research questions included:

1. How positive are perceptions of department chairs' academic leadership?
2. How do perceptions of intentional, supportive, and resourceful leadership compare?
3. Is there a significant difference between perceptions of faculty/staff and leadership peers?

Methods

To answer these questions and to explore the evaluation of department chairs, the researchers developed a tool to measure the factors of intentional, supportive, and resourceful leadership, the Academic Leadership Index (ALI). The ALI was piloted during the 2015-2106 academic year in the College of Education at the research institution and used to inform chair and director evaluations in the spring of 2017.

The Academic Leadership Index

The Academic Leadership Index (ALI) was developed and validated to provide meaningful data aligned with the leadership expectations of today's college chairs and directors (Keiser & Williams, 2017). The ALI addresses the complex role of a college chair and the implementation of leadership and management skills.

The framework of the ALI was adapted from the Interstate School Leaders Licensure Consortium (ISLLC) Standards (CCSSO, 2008). The Standards are a comprehensive set of expectations that guide the quality work of K-12 school principals. Like a school principal, a college department chair is a role positioned right in the middle of daily implementation duties, community relationships, and supporting the larger organization structure. Thus, the similarities between school principalship and the role of college chair support the use of ISLLC Standards as our framework. The 36 item instrument measures responses on a 5 point Likert scale (1 = strongly agree to 5 = strongly

disagree), and was tested for content and construct validity. Additionally, an open-ended question is at the end for further comments. Factor analysis indicated that 3 factors best fit the data:

Factor 1. Intentional Leadership

Factor 2. Supportive Leadership

Factor 3. Resourceful Leadership

Reliability analysis (Cronbach's alpha) was conducted with .995 for Intentional Leadership, .994 for Supportive Leadership, and .986 for Resourceful Leadership (Keiser & Williams, 2017).

The 37-item ALI was designed specifically to provide feedback about their department chair or director. However, in the development of items, it was clear that survey items were dependent on responder's role. That is, some survey items were best answered by subordinate team members of the chair's department while other survey items could be answered with equal accuracy by peer chairs. Thus, an abbreviated version was created by the team and approved by the dean's office. The resulting 11-item Academic Leadership Index by Leadership Peers (ALI_{LP}) was given to peer chairs and directors and other members of the college leadership team in order to receive colleague-level feedback. To support efficiency, the ALI_{LP} 11-item does not contain an open-ended question.

Data Collection and Analysis

Both the 37-item ALI and the 11-item ALI_{LP} were administered to the appropriate stakeholders. The participants were 103 faculty and staff in the College of Education in a Midwestern metropolitan university, 9 chairs and directors and other members of the college leadership team, and 67 other leadership peers in the university system. All faculty, staff, chairs, directors, and leadership peers were full-time employees at the at the research university.

Like all feedback and evaluation tools, it is important that the management of administration is handled in an efficient and confidential manner. At our Midwestern metropolitan university, the ALI and ALI_{LP} were distributed from the College of Education dean's office using survey software that tracks completion and submission credentials from reports. One week after the initial distribution, the survey software sent reminder emails to any recipient with an incomplete response.

As part of annual evaluations, faculty and staff are asked to provide feedback to the dean's office regarding their chair's leadership. This feedback is summarized and used in each chair's annual spring evaluation.

All 103 faculty and staff in the college of education in a Midwestern metropolitan university received the ALI. Usable responses were received from 60 faculty and staff (58% response rate.) A

total of 139 ALI_{LP} surveys were sent to college of education chairs, directors, and other members of the college leadership team as well as university leadership peers to seek feedback about the 9 college of education chairs and other members of the college leadership team. In addition to other university leadership peers, the 9 college of education leaders completed the ALI_{LP} survey about each other. Usable responses were received from 103 leadership peers (74% response rate).

Limitations

The research was delimited to one college of education at one Midwest metropolitan university. This study considered the difference between faculty/staff and leadership peers. It did not clarify the many roles of leadership peers or include the feedback to chairs by other stakeholder groups such as community partners, donors, or students.

Results

Perceptions of Department Chairs' Academic Leadership

How positive are perceptions of department chairs' academic leadership? Perception of chairs' leadership was indicated to be positive by respondents. Table 1 lists the means and standard deviations of the ALI and ALI_{LP}. The items were scored on a 5 point Likert scale (1 = strongly agree to 5 = strongly disagree). The lower the score, the more favorable the result. All three ALI factors had positive results: Intentional Leadership ($M = 1.85$, $SD = 1.20$), Supportive Leadership ($M = 1.74$, $SD = 1.10$), and Resourceful Leadership ($M = 1.79$, $SD = 1.13$). A score less than 2 indicates ratings of agree or better.

The variability of the 60 faculty and staff responses was greater ($1.48 \leq SD \leq 2.12$) than the variability of the 103 leadership peer responses ($.75 \leq SD \leq 1.53$). The perception of the chairs and directors by other leadership peers was more consistent than the perception of the chairs and directors by their subordinates.

Table 1 – *ALI Intentional Leadership Factor*

	Faculty/Staff		Leadership Peers	
	<u>M</u>	<u>SD</u>	<u>M</u>	<u>SD</u>
The chair/director provides a "big picture" for success and solicits ideas to make it happen.*	1.87	1.26	1.36	0.59

The chair/director is resourceful in dealing with problems.*	1.97	1.26	1.32	0.61
The chair/director facilitates and encourages the connection to the community beyond the University.*	1.75	0.99	1.41	0.59
The chair/director analyzes decisions in terms of established ethical standards.*	1.65	1.05	1.22	0.53
The chair/director is an informed advocate in best practices for student success.	1.78	1.15	--	--
The chair/director shows others professional respect.*	1.78	1.24	1.19	0.48
The chair/director handles sensitive matters discreetly and effectively.	1.87	1.31	--	--
The chair/director is effective in verbal and face-to-face communication.*	2.05	1.40	1.21	0.50
The chair/director creates a culturally inviting environment for staff and faculty.*	1.93	1.25	1.30	0.63
The chair/director facilitates department/team collaborative projects.	1.77	1.13	--	--
The chair/director uses appropriate strategies to collect, analyze, and interpret pertinent data.	1.95	1.23	--	--
TOTAL Factor 1 Intentional Leadership	1.85	1.20	--	--

ALI - Supportive Leadership Factor

	Faculty/Staff		Leadership Peers	
	<u>M</u>	<u>SD</u>	<u>M</u>	<u>SD</u>
The chair/director is receptive to feedback.*	1.85	1.19	1.31	0.61
The chair/director supports student diversity.	1.48	0.83	--	--

The chair/director serves as a role model for effective management and leadership.*	2.12	1.53	1.46	0.73
The chair/director meets deadlines.	1.62	1.14	--	--
Through the leadership of my chair/director, I know the required assessments for students in our program.	2.00	1.31	--	--
Through the leadership of my chair/director, the team understands what a successful graduate of our program should know and be able to do.	2.05	1.27	--	--
My chair/director encourages me to be accessible for students.	1.52	0.77	--	--
My chair/director promotes the use of technology and information systems to meet the needs of our students.	1.50	0.75	--	--
My chair/director supports innovative instructional practice.	1.57	0.87	--	--
My chair/director engages faculty in the overall betterment of our programs and department/school.	1.70	1.03	--	--
My chair/director ensures our department/school incorporates diversity in programs, curriculum, and instructional practices.	1.80	1.05	--	--
My chair/director authentically involves faculty and staff in decision making	1.85	1.18	--	--
My chair/director aligns resources with department priorities.	1.75	1.04	--	--
I know how to access University support to meet the diverse needs of all students.	1.53	0.79	--	--
My chair/director helps me grow professionally.	1.88	1.30	--	--
My chair/director is sensitive to the time commitments of faculty and sets realistic deadlines.	1.85	1.13	--	--
My chair/director recognizes staff and faculty for their contributions.	1.65	1.05	--	--

My chair/director provides opportunities for staff and faculty understand the requirements to advance their careers.	1.68	1.10	--	--
TOTAL Factor 2 Supportive Leadership	1.74	1.10	--	--

ALI - Resourceful Leadership Factor

	Faculty/Staff		Leadership Peers	
	<u>M</u>	<u>SD</u>	<u>M</u>	<u>SD</u>
The chair/director develops plans to implement and achieve goals.	1.75	1.10	--	--
The chair/director is an informed practitioner of current research.*	1.78	1.09	1.22	0.48
The chair/director advocates for the department/school policies within the College and University.*	1.72	1.04	1.12	0.35
The chair/director facilitates understanding of University Strategic Plan and Goals.	1.77	1.11	--	--
The chair/director knows and communicates the department enrollment and recruitment data.	1.93	1.31	--	--
The chair/director works to increase department and college resources.	1.67	1.10	--	--
My chair/director provides leadership experiences for faculty.	1.90	1.20	--	--
TOTAL Factor 3 Resourceful Leadership	1.79	1.13	--	--

** indicates matched item from ALI used on the ALI_{LP}*

Intentional, Supportive, and Resourceful Leadership

How do perceptions of intentional, supportive, and resourceful leadership compare? The single classification Analysis of Variance (ANOVA) to determine the main effect between the three ALI factors indicated there was not a statistically significant different between the three. ALI factors are

displayed in Table 1. As seen in Table 2, the ALI factors for Intentional Leadership ($M = 1.85$, $SD = 1.20$), Supportive Leadership ($M = 1.74$, $SD = 1.10$), and Resourceful Leadership ($M = 1.79$, $SD = 1.13$) were not statistically significant, $F(2, 33) = 1.55$, $p = 0.23$.

Table 2 – *Analysis of Variance for ALI by factors of Intentional Leadership, Supportive Leadership, and Resourceful Leadership*

Source of Variation	Sum of Squares	Mean Square	<i>df</i>	<i>F</i>	<i>p</i>
Between Groups	0.08	0.04	2	1.55	0.23
Within Groups	0.83	0.03	33		

Perceptions of Faculty/Staff and Leadership Peers

Is there a significant difference between perceptions of faculty/staff and leadership peers? As indicated in Table 1, for every matched item of the ALI and ALI_{LP}, the ALI_{LP} scored higher. That is, leadership peers scored the chairs and directors more favorably than the chair's and director's subordinates. An independent-samples *t*-test (included in Table 3) was conducted to compare the matched 11-items of ALI and ALI_{LP} between faculty/staff and leadership peers. There was a significant difference in the scores for faculty/staff ($M = 1.86$, $SD = 1.22$) and leadership peers ($M = 1.28$, $SD = 0.57$); $t(10) = -8.86$, $p < .001$; $d = 0.61$. The effect size for this analysis ($d = 0.61$) was found to be within Cohen's (1988) convention for a medium effect ($d = 0.5$).

Table 3 – *ALI_{LP} Faculty and Staff Compared to Leadership Peers*

	Faculty/Staff		Leadership Peers		Effect Size	<i>t</i>	<i>p</i>
	<i>M</i>	<i>SD</i>	<i>M</i>	<i>SD</i>			
ALI _{LP} Score	1.86	1.22	1.28	0.57	0.61	-8.86	≤ .001

Discussion

The ALI and ALI_{LP} has potential to impact the professional development of the college chair. Like a school principal, the college chair has responsibilities that leverage many diverse skills such as support for students, support for faculty, connecting community and university resources, program innovation, and so on. Thus, the ALI is a useful tool to provide chair's insights on their leadership strengths and opportunities of growth in many areas.

Using ALI Results

The ALI provides leadership feedback for department chairs in three factors: intentional leadership, supportive leadership, and resourceful leadership. The individual Likert items taken separately represent the daily implementation duties in the role as chair. These items organized into three factors, however, provides a clearer and manageable target for professional development and improvement.

Reviewing individual results from the ALI and ALI_{LP} can open discussions and avenues of thinking for a department chair. Jim Collins (2001) states that great "leaders look out the window to apportion credit to factors outside themselves when things go well....At the same time, they look in the mirror to apportion responsibility" (p. 35). This blend of professional will and personal humility evolves in self-reflection and conscious personal development. The humility of looking in the mirror for honest self-evaluation comes from reflection of past actions and decisions and the regular planning for the future.

Personal development begins with identifying fundamental principles that guide the chair's decisions as a person, academic, and administrator (Buller, 2015). Articulating, prioritizing, and constant commitment to core values allows a chair to decide when to give ground, and when to dig in the heels, under the conflicting pressures that tug in opposing directions. An intentional leader, a supportive leader, and a resourceful leader builds a reputation of integrity by being grounded in positive principles upon which others may rely.

In addition to the ALI guiding individual reflection, professional improvement also occurs through annual evaluation and mentoring. Annual evaluation is one measure of chair leadership development and growth. Annual measures are important. These organized evaluation measures allow supervisors and individuals to observe trends and have structured opportunities for annual goal setting and coaching conversations. Professional improvement also occurs with others through formal and informal mentoring. Formal mentoring occurs through trainings, professional learning

circles, and assigned partnerships. Informal mentoring occurs through professional friendships, conversations at meetings, and chats at the water cooler

Factors Unique and Interdependent

The indicators of intentional, supportive, and resourceful leadership are all strengths of a department chair that also overlap extensively. The foundations of these three leadership factors can be seen as interwoven in recommendations for successful university leaders:

1. be vigilant
2. remain calm
3. value relationships and others' achievements
4. be strategic
5. provide guidance and coaching
6. plan ahead
7. seek help and learn from others
8. solve problems creatively
9. follow through
10. set limits
11. trust in yourself
12. persist
13. be prepared to deal with the consequences of difficult decisions
14. don't assume (Wepner, Hank, and Lovell, 2015, p. 58)

Whether annual evaluation or mentoring, the best accelerator for professional conversations is a common vocabulary. Each individual brings their own prior experience, and virtual experience from literature into the conversation. Using a shared language, such as ALI's intentional leadership, supportive leadership, and resourceful leadership, helps structure the conversation for efficiency and allows for sharing across multiple contexts. Alignment of evaluation instrument with shared vocabulary leads to meaningful feedback, (Wilcoxon, 2017).

Leading a learning organization

Results from the ALI and ALI_{Lp} can also assist in helping departments and colleges to grow and improve through setting a common language for leadership teams. The idea of being intentional, supportive, and resourceful are not new, but having a clear and common set of criteria for positive leadership can aid in dispassionate discussion at a unit level. This may assist in planning professional development for current and prospective department chairs, as well as informal leaders.

Many Facets of Evaluators and Priorities

The interdependency of professional roles is defined by the relationships between them (Bess, 2007). A department chair, thus, leads the faculty of the department and the faculty of the department contribute to the success of the department chair. The faculty, however, are not the only stakeholders who influence the behaviors of the department chair. The chair also is responsive to community partners, peer chairs, donors, deans, university and system administrators, and students. Each of these stakeholders relies on the department chair for specific duties and the department chair responds to each of these groups by leveraging different leadership strengths. In any given context, the chair's intentional, supportive, or resourceful leadership will be most useful. "Truly adept leaders know not only how to identify the context they're working in but also how to change their behavior to match," (Snowden, & Boone, 2007, p. 74). It would not be unusual, as seen in this study, for different stakeholders to have different perspectives on the chair's leadership strengths.

Further Study

This research explored the evaluation of the chairs through factors of intentional, supportive, and resourceful leadership as perceived by faculty/staff and leadership peers. In this study, significant difference was found between the perceptions of faculty/staff of chair's leadership skills compared to the perceptions of leadership peers. Future study is needed in multiple sites to check for consistency of results as well as aggregate results by multiple stakeholder groups including community partners, donors, or students. Also, a longitudinal study could provide additional insight into department chair leadership development. Lastly, with increased use of the ALI and comparison across campuses, other factors such as years of experience, tenure status, department size, and future aspirations could be correlated with the leadership factor scores.

Conclusion

Evaluation of academic department chairs by an instrument such as the ALI can be efficient, as it can take snapshots of individual items combined into measurable factors. Regular, encompassing review can also be effective as many voices can be heard, and narrative response is included. As colleges and universities

use quality improvement tools, as they empower others to participate in decision making, and as they develop procedures to measure performance, they have the opportunity to engage

more actively in reflection. Taking the time to formally reflect during these processes is the key to whether the processes become mechanisms to unearth new and important meaning or simply the latest in a series of new management gimmicks. (Wood Daudelin, 1996, p. 38).

Those who have undertaken the role of department chair in higher education have successfully navigated the intricacies and rigors of teaching, research, and service. It will be a continuing *service* to our institutions, our disciplines, and ourselves to deepen and broaden our *research* on the roles and evaluation of chairs, and continue *teaching* not only current administrators, but also prospective chairs and the university environment, on findings that will help define and refine the position and the opportunities and challenges to be master.

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CHARACTERIZATION OF OPTIMAL FACULTY ALLOCATION SUBJECT TO A BUDGET CONSTRAINT

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In tight budgeting environments, universities have placed heightened attention to effective budgeting and resource allocation. Indeed, a simple online search for “University budgeting models” returns extensive discussion of the relative merits of Responsibility Centered Management, incremental budgeting, zero-based budgeting models, and so on. Such a search also returns a plethora of colleges and universities explaining their new budgeting process.

Within each of these budgeting methods lies the more focused and more immediate problem of effectively allocating faculty resources across different programs and curricular areas, all while staying within the budget constraint of the organizational unit at hand. This problem is relevant regardless of whether the intent is zero-based resource allocation, or incremental allocation of available funds relative to current staffing, and regardless of the method by which the quantity of funds available to the allocating entity is determined.

This paper thus addresses effective allocation of faculty FTE across a given set of departments or programs, subject to a constraint on total funds available. The intent is not to develop a suitably realistic and complex model that would be used to prescribe a fully defined solution. Rather, the intent is to demonstrate some basic principles that should help to inform practical decision-making, by demonstrating the characteristics of optimal policies in terms of two commonly used metrics. In the interest of demonstrating generalizable results, the analysis uses a very simple model implicitly reflecting a number of “all else constant” assumptions.

The model addresses a situation in which a given instructional budget is to be allocated across a number of departments or curricular areas. Each area generates a number of student credit hours (SCH) annually. The SCH requirements are assumed given, as determined by the curricular

structure, student interest levels, and/or program enrollment caps relevant to the analysis. As such, the model addresses what might be termed the “budget allocation problem”, as opposed to a broader “program array analysis”. The latter problem would evaluate FTE allocation in conjunction with intentional changes in SCH generation, as a function of efforts to expand, contract, or possibly even eliminate certain programs. (The budget allocation problem addressed here might appear as a sub-problem within a broader program array analysis, optimizing staffing levels in a “what if” manner with reference to alternative SCH patterns implied by alternative program array solutions. The narrower and more immediate budget allocation problem nonetheless remains a relevant exercise in its own right.)

Beyond the given annual SCH requirement in each area, the model assumes a given cost per full-time equivalent (\$/FTE) faculty member. Again, in the interest of simplification and clarity of results, the model assumes that the cost of faculty FTE varies across the different areas that need to be staffed, but is uniform within each area. The basic problem then becomes one of allocating FTE across the different areas, subject to an overall budget constraint.

In practice, decisions of this nature are often monitored via two key metrics, i.e. the SCH/FTE ratio across departments, and the relative cost (\$/SCH) ratio. All else constant, increasing the FTE relative to a given SCH workload (a) decreases the SCH/FTE ratio and (b) increases the \$/SCH ratio. The conventional mindset typically brought to FTE allocation is that increasing the FTE in a particular area allows that area to provide better student outcomes. This result is implicitly realized via smaller class sizes, greater potential for student-faculty interaction, etc. In a budget-constrained environment, of course, increasing the FTE in one area necessarily implies reducing the FTE in some other(s), leading us to the fundamental trade-off examined here.

Complicating the analysis is the nearly universal, real or perceived notion that increasing the FTE allocation relative to SCH is “more beneficial” within some areas than others. This may take the form of a belief that knowledge in a particular discipline is inherently more valuable (to the student, to the institution, to society) than others. Another frequently made argument is that a particular discipline inherently (or historically) requires smaller class sizes in order for instruction to be effective. In other cases, it might be argued that developing a reputation in one particular area may be more effective than in others, with respect to attracting students to the institution.

Accepting these and similar arguments at face value; the analysis should then recognize greater marginal benefit from decreasing the SCH/FTE ratio (via larger FTE allocation) in some areas than others. Equivalently, with reference to how the model is structured, the model should

recognize greater penalty or opportunity cost from larger SCH/FTE ratios in those areas. Toward this end, the model applies a variable “relative penalty” multiplier B to the detrimental impact of larger SCH/FTE ratio across different departments. Returning to the caveat that the model is presented to demonstrate general characteristics rather than specific solutions to be implemented, we fully recognize that such a multiplier would be difficult, if not impossible to measure in practice. It is nonetheless instructive to demonstrate how an optimal resource allocation responds to changes in such a parameter.

Comparable Literature

Optimal allocation of resources subject to an overall budget constraint is a frequently recurring theme within the mathematical optimization literature. Not surprisingly, allocation of resources within higher education is no exception. As early as the 1970’s, Lee and Clayton (1972) and Schroeder (1973) presented goal programming models evaluating the mix of alternative types of staffing available, while attending to goals related to desired student-to-faculty ratios, overall budget constraints, and so on. Dijkman (1985) address allocation of teaching and nonteaching staff across departments, recognizing time allocations for research and administration as well as teaching. Hackman (1985) investigates the role of power and centrality in explaining resource allocation, and suggests that these constructs interact in their effect on internal resource allocation.

Casper and Henry (2001) investigate performance-oriented models for university resource allocation. Interestingly, in relation to the framework used in this paper, the performance measures applied to current expense budgeting are student enrollments, student/faculty ratios, and sponsored program activity. The role other possible performance measures in allocation of instructional resources is discussed later in this paper.

Johnson and Turner (2009) investigate discrepancy between numbers of declared majors vs. faculty allocation across a number of institutions, while noting, “number of majors may misrepresent student demand for courses”. As such, it is worth noting that the current model addresses total student credit hour production by area, regardless of whether those SCH represent departmental major coursework, general education, “service” courses, and so on. This issue is also discussed later in the paper.

Robertson and Germov (2015) investigate the complementary problem of academic work allocation. Whereas the current analysis takes student SCH requirements as an input, and solves for

an appropriate allocation of faculty FTE, the academic work allocation problem takes current staffing levels as the input, and determines the amount of work (with SCH generation being one component) to be expected. In practice, both frameworks may be simultaneously relevant, albeit at different levels of decision-making granularity.

Model Formulation

The considerations discussed above are formalized into the following problem statement: An institution must allocate faculty resources across n different (internally homogenous) departments, or other appropriately defined curricular and staffing subsets identified for the purpose of resource allocation. (For simplicity of presentation, the term “department” will be used henceforth.)

Problem parameters are defined as follows:

- SCH_i : The annual credit-hour production in department i , $i = 1, 2, 3, \dots, n$.
- C_i : The annual cost (\$ per FTE) of faculty in department i , $i = 1, 2, 3, \dots, n$.
- B_i : A “relative penalty” multiplier, reflecting the relative magnitude of the detrimental effect (per SCH taught) of maintaining larger SCH/FTE ratio in department i , $i = 1, 2, 3, \dots, n$.

Given these parameters, the problem is to determine optimal department FTE allocations $\{FTE_i, i = 1, 2, 3, \dots, n\}$, subject to an overall budget constraint of M dollars per year. The problem is then stated as follows:

$$\text{Minimize } \sum_{i=1}^n \left(\frac{SCH_i}{FTE_i} \right) SCH_i B_i \quad (1)$$

$$\text{Subject to } \sum_{i=1}^n C_i FTE_i \leq M \quad (2)$$

$$FTE_i \geq 0, i = 1, 2, 3, \dots, n.$$

In essence, the objective function (1) recognizes that each department will generate a given number of student credit hours SCH_i , under a staffing level FTE_i to be determined by solving the constrained optimization problem. That staffing level will determine the ratio SCH_i/FTE_i , with larger SCH/FTE ratio in some general sense reflecting a less desirable situation for delivering those credits. B_i reflects the relative importance (beyond recognition of the SCH quantity that will be affected) of decreasing the SCH/FTE in that department.

Analysis

As our intent is to demonstrate general characteristics of the optimal solution, in the interest of solution stability we will treat the FTE_i as continuous rather than discrete variables. For the purpose of illustration, the problem is easily solved by implementing the model in a Microsoft Excel worksheet, and using Generalized Reduced Gradient (GRG) non-linear optimization algorithm in Excel Solver.

The demonstration addresses a simple hypothetical case in which we have $n = 7$ departments to be staffed. The total budget to be allocated is $M = \$6,000,000$. Given that the objective function value can always be improved by increasing any of the continuous FTE_i decision variables, and the model has a single constraint that restricts total spending, the budget constraint will be “tight” under any parameter set. In short, the optimal solution under the current model naturally spends all available dollars in every case that will be presented.

Table 1 displays parameters and corresponding optimal solution for a base case scenario in which all departments are identical. All seven departments have the same credit hour requirements ($SCH_i = 5000$ credits per year), the same faculty cost (\$75,000 annual cost per FTE), and equal relative penalty multiplier ($B_i = 1$). As would be expected under these conditions, the model assigns the same FTE to each department. The solution is therefore characterized by each department having the same SCH/FTE ratio (SCH_i/FTE_i), as well as the same resulting \$/SCH ($C_i \times FTE_i / SCH_i$) ratio.

Table 1. Optimal solution for base case scenario, all departments identical

Parameters	Department						
	A	B	C	D	E	F	G
SCH_i	5000	5000	5000	5000	5000	5000	5000
$C_i = \$ / FTE$	\$75,000	\$75,000	\$75,000	\$75,000	\$75,000	\$75,000	\$75,000
B_i	1	1	1	1	1	1	1
Solution:	A	B	C	D	E	F	G
FTE_i	11.43	11.43	11.43	11.43	11.43	11.43	11.43
SCH_i / FTE_i	437.5	437.5	437.5	437.5	437.5	437.5	437.5
\$/SCH	\$171.43	\$171.43	\$171.43	\$171.43	\$171.43	\$171.43	\$171.43

Table 2 displays the effect of doubling the SCH requirement in Department B, leaving all other parameters unchanged. Accordingly, the optimal solution adjusts to one in which Department B has twice the FTE as the other departments. Note that this solution has adjusted to maintain an equalized SCH/FTE ratio across all departments, as well as an equalized \$/SCH expenditure ratio. Thus, *all else constant* (including the myriad of complicating factors not addressed in the simple model used here), the optimal solution awards FTE in proportion to the SCH requirements of the department. While this result is intuitive, it helps to support the face validity of the model in use.

Table 2. Doubling the SCH requirement in Department B, all else constant

Parameters	Department						
	A	B	C	D	E	F	G
SCH_i	5000	10000	5000	5000	5000	5000	5000
$C_i = \$ / FTE$	\$75,000	\$75,000	\$75,000	\$75,000	\$75,000	\$75,000	\$75,000
B_i	1	1	1	1	1	1	1
Solution:	A	B	C	D	E	F	G
FTE_i	10.00	20.00	10.00	10.00	10.00	10.00	10.00
SCH_i / FTE_i	500.0	500.0	500.0	500.0	500.0	500.0	500.0
\$/SCH	\$150.00	\$150.00	\$150.00	\$150.00	\$150.00	\$150.00	\$150.00

Table 3 returns to the case of each department having the same SCH requirement, and investigates the effect of increasing the cost (\$/FTE) of faculty in Department B. To simplify the comparison the cost has been doubled, from \$75,000 per year to \$150,000 per year. Under such conditions, maintaining equal SCH/FTE across all departments would result in Department B having twice the \$/SCH ratio. Conversely, maintaining equal \$/SCH across departments would result in Department B having twice the SCH/FTE ratio (by virtue of having half as large an FTE allocation) of other departments. Both of these approaches are sub-optimal under the present model, while the optimal solution falls between these two extremes.

The optimal solution displayed in Table 3 awards fewer FTE to department B, but the quantity awarded is more than half the amount awarded to the other departments. The solution is therefore characterized by Department B having both a larger SCH/FTE ratio *and* a larger \$/SCH ratio than the other departments, but in neither case is the ratio twice as large. Thus (again qualified with “all else

constant”), larger faculty salaries in a given area is justifiably characterized by a relatively larger SCH/FTE ratio, and a larger \$/SCH ratio. The response of these measures is less than proportional to the relative difference in faculty salaries.

Table 3. Doubling the cost per FTE in Department B, all else constant

Parameters	Department						
	A	B	C	D	E	F	G
SCH_i	5000	5000	5000	5000	5000	5000	5000
$C_i = \$ / FTE$	\$75,000	\$150,000	\$75,000	\$75,000	\$75,000	\$75,000	\$75,000
B_i	1	1	1	1	1	1	1
Solution:	A	B	C	D	E	F	G
FTE_i	10.79	7.63	10.79	10.79	10.79	10.79	10.79
SCH_i / FTE_i	463.4	655.3	463.4	463.4	463.4	463.4	463.4
\$/SCH	\$161.85	\$228.89	\$161.85	\$161.85	\$161.85	\$161.85	\$161.85

Continuing the analysis of model sensitivity to changes in the parameters, Table 4 demonstrates the effect of assigning Department B with twice the inherent benefit of smaller SCH/FTE ratio ($B_2 = 2$) as compared to the other departments. As might be expected, the optimal solution awards Department B a relatively larger share of the FTE allocation. Department B thus enjoys a relatively smaller SCH/FTE ratio, and generates a larger cost per credit hour (\$/SCH). Again, the response is less than proportional, e.g. Department B has not been awarded twice as many faculty as are allocated to the other departments.

It is also interesting to note that the \$/SCH ratios in Table 4 (in which we doubled the relative penalty multiplier in Department B) are identical to those in Table 3 (in which we doubled the cost per faculty FTE for Department B). In Table 3 this is achieved by awarding Department B with relatively fewer faculty and a larger SCH/FTE ratio, while in Table 4 this is achieved by awarding Department B with relatively more faculty and a smaller SCH/FTE ratio. As far as the \$/SCH metric goes, these two changes have had identical results.

This observation prompts an interest into the effects of simultaneously doubling the cost per FTE (C_i) and the relative penalty multiplier (B_i) in department B. The parameters and optimal solution for this scenario are presented in Table 5. Note that the optimal solution now awards the

Table 4. Doubling the penalty multiplier in Department B, all else constant

Parameters	Department						
	A	B	C	D	E	F	G
SCH_i	5000	5000	5000	5000	5000	5000	5000
$C_i = \$ / FTE$	\$75,000	\$75,000	\$75,000	\$75,000	\$75,000	\$75,000	\$75,000
B_i	1	2	1	1	1	1	1
Solution:	A	B	C	D	E	F	G
FTE_i	10.79	15.26	10.79	10.79	10.79	10.79	10.79
SCH_i / FTE_i	463.4	327.7	463.4	463.4	463.4	463.4	463.4
$\$/SCH$	\$161.85	\$228.89	\$161.85	\$161.85	\$161.85	\$161.85	\$161.85

same FTE to each department, resulting in equalized SCH/FTE ratios. Thus, doubling the penalty multiplier has exactly offset a doubling of the cost per FTE (or vice versa) in terms of Department B's FTE allocation relative to the other departments. The Department B cost per credit hour ($\$/SCH$) is then twice that realized in the other departments.

Table 5. Simultaneously doubling the cost per FTE and the penalty multiplier in Department B, all else constant

Parameters	Department						
	A	B	C	D	E	F	G
SCH_i	5000	5000	5000	5000	5000	5000	5000
$C_i = \$ / FTE$	\$75,000	\$150,000	\$75,000	\$75,000	\$75,000	\$75,000	\$75,000
B_i	1	2	1	1	1	1	1
Solution:	A	B	C	D	E	F	G
FTE_i	10.00	10.00	10.00	10.00	10.00	10.00	10.00
SCH_i / FTE_i	500.0	500.0	500.0	500.0	500.0	500.0	500.0
$\$/SCH$	\$150.00	\$300.00	\$150.00	\$150.00	\$150.00	\$150.00	\$150.00

The preceding analyses have focused on one-parameter-at-a-time experimentation, in the interest of maximizing clarity of results. The model is of course capable of finding the optimal solution for any combination of problem parameters representing a variety of departmental

characteristics. The basic principles demonstrated above will still influence the solution, but they would be harder to uniquely identify as they simultaneously impact the relative FTE allocation across departments.

Table 6 demonstrates the effect of modifying the base case (seven identical departments) by (a) doubling the SCH requirement in Department A, (b) doubling the cost per FTE in Department B, (c) doubling the penalty multiplier in Department C, and (d) simultaneously doubling both the cost per FTE and the penalty multiplier in Department D. Departments E through G are left in the base case (identical) configuration, to provide a basis for comparison relative to Departments A, B, C, and D.

Here we see the same principles demonstrated. Department A (with twice the SCH as the other departments but otherwise identical to departments E through G) has been allocated twice as many faculty as Departments E through G. Department A has the same SCH/FTE ratio as E through G, and the same \$/SCH as E through G.

Department B (with twice the cost per FTE as the other departments) has been awarded fewer FTE than departments E through G, but in a manner that results in relatively larger SCH/FTE ratio and relatively larger \$/SCH ratio as compared to Departments E through G. Department C (with twice as large a penalty multiplier) has been awarded more FTE than departments E through G, in a manner that results in relatively smaller SCH/FTE ratio and larger \$/SCH as compared to Departments E through G. Note also that departments B and C have the same \$/SCH ratio.

Finally, Department D (with offsetting doubling of both the cost per FTE and the penalty multiplier) has been awarded the same FTE as Departments E through G, resulting in the same SCH/FTE ratio but twice the \$/SCH as Departments E through G. All of these effects replicate those observed previously under one-at-a-time changes in problem parameters.

Summary and Discussion

In summary, the preceding analysis provides insight into appropriate response to some fairly universal concerns regarding FTE allocation. This insight takes the form of understanding the effect on two commonly used metrics, the SCH/FTE ratio and the cost per credit (\$/SCH) ratio.

All else constant, the optimal policy allocates FTE in direct proportion to SCH. Higher cost faculty (\$/FTE) should appropriately result in both a larger SCH/FTE ratio *and* larger \$/SCH than

Table 6. Simultaneously doubling SCH in Department A, cost per FTE in Department B, and relative penalty multiplier in Department C, all else constant

Parameters	Department						
	A	B	C	D	E	F	G
SCH_i	10000	5000	5000	5000	5000	5000	5000
$C_i = \$ / FTE$	\$75,000	\$150,000	\$75,000	\$150,000	\$75,000	\$75,000	\$75,000
B_i	1	1	2	2	1	1	1
Solution:	A	B	C	D	E	F	G
FTE_i	16.28	5.76	11.51	8.14	8.14	8.14	8.14
SCH_i / FTE_i	614.3	868.7	434.4	614.3	614.3	614.3	614.3
$\$/SCH$	\$122.09	\$172.67	\$172.67	\$244.19	\$122.09	\$122.09	\$122.09

would otherwise result in the concerned area. This implies we should hire fewer faculty (per SCH) in the higher-cost area, but not so many fewer as to completely offset the higher cost per FTE.

Other variations in staffing patterns can be explained by the (very real, if not nebulous) “relative penalty” multiplier that assigns greater importance to preserving small SCH/FTE in some areas than others. In terms of number of faculty allocated, doubling the relative cost (\$/FTE) in a particular department would be exactly offset by doubling the penalty term (B_i) in that department.

The model used in the preceding analysis could be extended in any number of ways. A first enhancement that readily comes to mind would recognize greater variety in the types of personnel that could be hired within the departments. Rather than have a single FTE_i variable for the number of faculty hired in area i , an enhanced model might have variables for each of the different types of personnel (adjunct instructors, clinical faculty, graduate assistants, tenure-track faculty, etc.) that might be hired within a department. Each personnel type would then have a different \$/FTE parameter. Such a model would most likely require constraints on the mixture of personnel types hired within departments and/or across the institution.

Another model enhancement would apply a more refined workload measure, implicitly recognizing that not all SCH are equal in terms of faculty workload. Rather, a “unit workload” measure could be used in place of SCH, with different types of instructional activity (lecture class, lab sessions, mass lecture, clinical, etc.) assigned different workload values independent of the SCH generated.

These and other model enhancements could potentially make the model more “realistic”, which does not necessarily imply they would make the model more “useful” with regard to the current purpose. For the purpose of demonstrating these basic principles, the SCH workload measurement is equally as effective as a more refined measurement that might be desired in practice. Multiple faculty types, moreover, would simply complicate the demonstration of changes in staffing levels in response to the parameters explored here. (A model providing for different faculty types would naturally utilize the cheapest form of staffing to the greatest extent possible, within the limits of model constraints externally imposed to prevent inappropriate solutions.)

A few allocation criteria that have not been utilized within the current model also merit some discussion. As noted above, a more *refined* measure of departmental workload could be used in place of the simple SCH metric. In contrast, replacing SCH with an *incomplete* or *distorted* measure of faculty workload would obviously degrade the fundamental relevance of the analysis. In particular, attempting to allocate resources with explicit reference to number of students majoring within the department, number of students accepted into and/or graduating from the program, number of general education courses taught, and so on presents an unnecessarily complex and inherently flawed approach to workload measurement. (What portion of our majors’ coursework lies outside our department, and where does it fall? How many students use our GE course to satisfy institutional as well as program-level graduation requirements? How many students have to retake the course in question? How many students transfer in the course in question? How many students take these courses prior to changing to some other major? How many students are taking this course as an elective from some other major?) A direct workload measurement reflecting how many students are taking each course, (*without regard to why*), is more directly relevant to faculty allocation than an attempt to sum enrollment components across the variety of reasons students take each course.

Finally, one possible interpretation or use of the B_i (penalty multiplier) parameter is to reflect the potential benefit of building a highly successful, highly visible program that would help to attract students to the institution. Assuming the relationship between program reputation and future enrollment actually exists, (as well as the relationship between FTE allocation and program reputation), building program reputation is conceivably a valid consideration in resource allocation embedded within a broader program array analysis.

In contrast, note that “performance incentive” (*beyond that implicitly reflected in rewarding a larger workload measurement with more faculty*) is notably and intentionally absent in the faculty

allocation model presented here. Proper design and ultimate effectiveness of incentive and reward systems is a complex question that goes far beyond the scope of this paper. We can nonetheless recognize that performance measures may exist, such that higher performance does not necessarily correlate with or generate greater student interest and/or faculty workload. It may seem plausible to reward such measures with greater faculty allocation, with the intent of (a) incentivizing and improving departmental performance on such measures across the board, or (b) expanding those programs demonstrating certain desired characteristics and contracting those that do not. Doing so, however, moves the resource allocation away from that directed at maximizing the overall quality of the student experience, and calls into question the organizational validity of the measures themselves.

Certainly, incentive and reward systems have their place in higher education. The issue at hand is whether that place is found in faculty allocation, beyond that properly motivated by student demand and faculty workload patterns. Indeed, the possibility exists that higher departmental performance on a particular metric may be the result of that department being relatively overstaffed. Increasing faculty allocation in response to such a metric would only prompt a further spiral of resource misallocation.

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EMPLOYER PERSPECTIVES ON HIGHER EDUCATION ACCOUNTABILITY: EVIDENCE OF BROAD CONSENSUS OR NUANCED DISSENT?

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Two nationally visible reports provide historical bookends on the persistent and commanding call for accountability in higher education. In 1986, the National Governor’s Association released a report entitled *Time for Results*, outlining a plan to reform education in the United States. One of the report’s major foci called for nationwide commitment on the part of institutional leaders to improve educational quality and to produce credible evidence of student learning (National Governor’s Association, 1986). Twenty years later, the *Spellings Commission* (2006) released “*A test of leadership: Charting the future of U.S. higher education*” that once again expressed the concerns of stakeholders in government, industry, and other major constituencies to improve performance and accountability.

Historically American higher education systems have been caught in swinging pendulum of autonomy vs. accountability. Stakeholder viewpoints regarding the purpose of higher education fluctuate between reserving higher education as a ‘privilege’ by favoring higher education autonomy and asserting that higher education should be an American ‘right’. This latter viewpoint lends itself to increased conversations and buzz about accessibility, accountability, and educational outcomes (Alexander, 2000; Mora & Nugent, 1998). Indeed, the call for accountability and outcomes driven assessment is the norm for all areas of the public sector, including corporate companies (Peters, 1992). This societal driven influence towards performance measures has led to the resurgence of multiple states adopting standardized metrics for state funded higher education which include financial incentives for short and long-term goals and outcomes (McKeown-Moak, 2013). To this end, a growing body of literature has begun to examine the impact of performance funding models

on higher education (Dougherty & Reddy, 2013; Hillman, Tandberg, & Fryar, 2015; Rabovsky, 2012). For instance, in their examination of Washington State's 2007 adoption of performance funding model, Hillman and his colleagues found the policy change had little effect on community college associate degree production or retention rates, but increased the certificate production. In another related study, Rabovsky (2012) found that performance funding reform had a direct impact on university spending.

Though stakeholders seem to broadly agree on the need for improved accountability in higher education, a building body of evidence points to a lack of consensus among stakeholders on the best approach to do so (Bogue & Hall, 2012; Morse, 2013). Through a six-state survey of employers, college and university executives and senior faculty, and elected state legislators, Bogue and Hall (2012) demonstrated points of difference between these major stakeholder groups on the purpose, instruments, and indicators of accountability. In a follow-up study to examine partisan (Republican and Democrat) differences among state-elected political leaders, Morse (2013) found a lack of agreement among policymakers on preferences for indicators of fiscal stewardship, student learning outcomes, constituent (i.e. employer, student) satisfaction, and faculty productivity.

Although an emerging line of inquiry has begun to explore stakeholder perspectives on higher education accountability, little is known about the extent to which employers share consensus or hold points of difference on a credible approach to demonstrate the attainment of performance expectations. Therefore, this study sought to examine whether employers differ on the purpose and indicators of accountability for institutions of higher education. Examining potential differences between employers by level of degree attainment and company size, the following research questions guided the study:

- To what extent do employers differ on the purpose of higher education?
- To what extent do employers differ on the purpose of accountability?
- To what extent do employers' attitudes toward accountability differ?
- To what extent do employers differ on indicators of accountability?

In today's educational landscape higher education leaders have a responsibility to answer to the calls of accountability from society which are largely driven by leaders both in the corporate and political sectors. However, it is still unclear the evidence that such stakeholders deem as acceptable to demonstrate higher education outcomes. This study explores this question and helps us to understand how higher education leaders may demonstrate their institutional effectiveness.

Contextual and Conceptual Background

The *political frame* of Bolman and Deal's (2004) *Organizational Frames Model* served as this study's conceptual perspective. Bolman and Deal explain each of their four frames as a way of understanding and negotiating terms within an organization. They describe the political frame as the facet of an organization in which members advocate for their goals and interests, thereby leading to conflict where goals and interests do not align. In other words, from the *political frame* the authors posit that organizations are a product of the many thoughts and ideas that arise from a number of diverse people with various perspectives; and, these differences inevitably lead to conflict which must be managed appropriately. This process occurs via bargaining and negotiation, where the most powerful organizations are those whose members successfully leverage and broker favorable deals from various stakeholders.

The present study examines institutions of higher education as organizations which seek to build relationships with corporate stakeholders. To this end, representing their personal and/or organizational interests, employers have broadly advocated for evidence of higher education accountability that is credible and informative. Given the wide array of industries served by colleges and universities across the United States, institutions of higher education and corporate America are linked together in a high-stakes investment and thus serve as important reciprocal stakeholders to one another. Through Bolman and Deal's political frame lens, we assert that for employee stakeholders to effectively negotiate with institutions of higher education, it is necessary to establish consensus on acceptable evidences of accountability for higher education.

Research Design and Methods

This quantitative survey study examined whether employers differ on the purpose and indicators of accountability for institutions of higher education. Examining potential differences between employers by level of degree attainment and company size, the following research questions guided the study:

- To what extent do employers differ on the purpose of higher education?
- To what extent do employers differ on the purpose of accountability?
- To what extent do employers' attitudes toward accountability differ?
- To what extent do employers differ on indicators of accountability?

We hypothesize that both the size of company affiliation and highest degree earned by the result in categorical differences between business leaders on their attitudes and perceptions of accountability measures in higher education.

Participants

Participants were employers in business from six states: Tennessee, Connecticut, Georgia, Michigan, Colorado, and Oregon. These six states were selected to represent diversity within the United States on levels such as geographical, economical, and higher education landscape. The study included 186 total respondents, 34.9% were female and 65.1% were male. The majority of participants reported having more than 20 years of experience (66.1%) while an additional 14.5% reported 16-20 years of experience; 8.6% had 11-15 years, 7.0% served 6-10 years, and 3.8% had 0-5 years of experience. Of the six states, the largest number of respondents were in Tennessee (27.4%), followed by Michigan (19.4%), Connecticut (17.2%), Oregon (14.5%), Georgia (12.4%), and Colorado (7.5%). Employers were solicited by purposive sampling of the local chambers of commerce within the six states examined. Chambers of commerce were targeted as a means to obtain a variety of business leaders who represent every county within their state and whose leadership extends beyond their organization to the broader community.

Instrumentation

Use of a quantitative survey design allowed the researchers to collect and compare relevant information regarding perceptions and attitudes of employers (Creswell, 2009). The instrument was created by the researchers and utilized single-response 4-point Likert scale answers to gain insights into employer perceptions on accountability policy in higher education. Several measures were taken to ensure reliability and validity. The survey was submitted to an expert panel comprised of faculty, administrators, and policy scholars nation-wide to provide feedback and establish content and face validity. Survey reliability was checked by utilizing the Cronbach Alpha Coefficient test (.89). The survey consisted of two parts: the first part collected demographic information (e.g. gender, years of experience, and highest degree earned), and the second part inquired about attitudes and perceptions regarding accountability in higher education.

Measures and Data Analysis

The independent (i.e. grouping) variables for this study were company size and highest academic degree earned. That is, the researchers sought to determine if employer perceptions of accountability variability existed based on differences in the a) highest degree earned by the individual and b) the size of the company where the individual was employed. The variable *company size* initially consisted of six categories, but given the number of respondents in each category, was recoded into two categories for analysis, (a) 500 or fewer and (b) 500 or more employees. Similarly, the variable *highest degree earned* included six original categories, but was condensed into three categories (a) less than a bachelor's degree (b) bachelor's degree and (c) graduate or professional degree to ensure statistical reliability across each category.

Initial analyses revealed that, for several of the variables, expected values fell below the recommended five percent threshold for appropriate use of chi square analysis (Muijs, 2011). Therefore, researchers combined the initial four-point scales into two categories. The first question, *to what extent do employers differ on the purpose of higher education*, was measured by asking participants to indicate how important they felt various stated purposes were to the mission of higher education. Some purpose items included, *to develop economic/workforce development* and *to encourage student discovery of talents, interests and values*. Values were combined into two categories, 'not important' and 'important'. The second research question, *to what extent do employers differ on the purpose of accountability*, was answered by asking participants to rate the appropriateness of items as measures of accountability in higher education. Responses were re-coded into two categories, 'not appropriate' and 'appropriate'. Some sample items included, *institution achieves established goals* and *institution demonstrates fiscal and management integrity*. The third question, *to what extent do employers' attitudes toward accountability differ*, was answered by two questions asking participants about their attitudes towards accountability. Answers were re-coded into two categories, 'disagree' and 'agree'. Some sample items included, *accountability data submitted by higher education institutions can be trusted*, and *an effective accountability policy will improve student academic performance*. Finally, the fourth research question, *to what extent do employers differ on indicators of accountability*, was answered by four questions pertaining to the desirability of different forms of evidence to demonstrate higher education accountability. Three areas of accountability outcomes were assessed, (a) higher education enrollment profiles, (b) student learning outcomes, and (c) fiscal policy. Values were

indicated as 'not desirable' and 'desirable'. Sample outcomes included, *student retention and graduation rates* and *graduating students have knowledge about and appreciate other cultures*.

Data analysis proceeded in two steps. Frequencies were run on all variables to understand the general characteristics of the data and ensure enough variation across response rates. Second, although T-tests and Anova are typically used to measure group differences, the authors determined the four points on the dependent variable scales did not represent enough variety to appropriately be treated as continuous level variables. Considering the T-test and Anova assume continuous level dependent variables and ours were categorical in nature consisting of two or more independent groups, Pearson's chi square statistics were deemed the most appropriate approach to describe the relationships between variables and answer the research questions (Muijis, 2011; Vogt, 2007). Utilization of the chi square still allowed us to determine if there were significant differences in perspectives and attitudes of business leaders on higher education accountability measures among our grouping categories, company size and academic degree level.

Findings

Examining responses among employers based on their highest degree earned and their company size, the researchers found points of difference on participants' perspectives on and preferences for accountability in higher education. These differences are presented here.

Accountability perspective differences by company size

Significant differences between participants from small as compared to large companies were observed in four variables on perspectives of higher education accountability. For instance, chi-square analyses revealed that those employed in small companies were more likely to consider contribution to economic or workforce development to be an important mission of higher education as compared to their counterparts employed in large companies $\chi^2 (1, N = 170) = 3.98, p < .05$. On the other hand, those in large companies were significantly more likely than those in small companies to agree that institutions that offer public evidence on education and fiscal performance provide an appropriate definition of higher education accountability $\chi^2 (1, N = 170) = 4.28, p < .05$. Similarly, employers from small companies were less likely than those from large companies to consider entering academic ability (e.g. ACT/SAT scores, etc.) to be a desirable form of accountability evidence $\chi^2 (1, N = 170) = 4.29, p < .05$. Finally, those from small companies were less

likely than those from large companies to view knowledge and appreciation of other cultures to be a desirable student learning outcome $\chi^2 (1, N = 170) = 3.96, p < .05$.

Accountability perspective differences by highest degree earned

Chi-square analyses were conducted to determine if any differences existed on employer perspectives of higher education accountability according to the highest degree earned. Participants were grouped into those who had earned less than a bachelor's degree, earned a bachelor's degree, or earned a graduate or professional degree. Significant differences were observed on five variables. For example, those who earned a graduate degree were more likely than those with a bachelor's or less to agree that an effective accountability policy would improve public and/or government confidence $\chi^2 (2, N = 186) = 6.21, p < .05$. Additionally, those with a bachelor's degree were less likely than their comparison groups to suggest that an effective accountability policy would improve transparency and candor on purpose and performance $\chi^2 (2, N = 186) = 6.31, p < .05$. Those with graduate degrees were also more likely than those with a bachelor's or less to agree that a public poll (similar to Gallup poll) should be commissioned to gauge public confidence in higher education $\chi^2 (2, N = 186) = 11.75, p < .05$, and were less likely to agree than their comparison groups that a student's entering academic ability was a desirable evidence of accountability $\chi^2 (2, N = 186) = 7.18, p < .05$. Finally, graduate degree earners were more likely to find proficiency in analytical and critical thinking a desirable student learning outcome than other participants $\chi^2 (2, N = 186) = 6.24, p < .05$.

Discussion

We examined corporate perspectives on higher education accountability through the lens of Bolman and Deal's political frame, which posits that given unique backgrounds and perspectives, conflict within organizations and among stakeholders is inevitable and must be resolved via negotiations and bargaining tactics. From this point of view, the corporate sector must successfully negotiate with institutions of higher education and influence learning outcomes. To this end, it is necessary to understand and address areas of dissent regarding acceptable evidence of accountability. This study sought to identify areas where there was a lack of consensus among employers based on their company size and highest degree earned. Indeed, numerous points of difference on accountability preferences and perspectives were noted; these findings and implications are discussed here.

Differences between large and small companies on higher education accountability perspectives

It is well recognized that the size of an organization shapes and influences organizational culture. In this study four differences in higher education accountability perspectives were observed between leaders who belonged to a small company as compared to those who worked for a large company. First, those at small companies were less likely than their large company counterparts to view the incoming academic ability (as measured by admissions tests such as the ACT or SAT) as an appropriate measure of accountability in higher education. One explanation for this finding may consider that leaders in small companies often wear multiple hats and are asked to tackle a wider variety of tasks than those in large companies. Perhaps, then, small company leaders are more interested than those in large companies in the variety of skills potential employees learned in college as opposed their ability to score well on a singular admissions test. In support of this notion, a report by the Business Roundtable (2001) reported that large business leaders supported standardized testing at the K-12 levels as a means to identify problem areas. Those demonstrating favorable attitudes towards standardized testing at K-12 levels are likely to denote favorable attitudes towards standardized testing at higher levels of education as well. It is possible also, that for large company employees, standardization exists as part of the organizational culture. Small company culture, on the other hand, may place larger emphasis on developing individual talents vs. standardizing and norming the work force.

We also noted that large company employees were more likely than those in small companies to consider the ability to offer public evidence on educational and fiscal performance to be acceptable accountability measures. We suspect that this finding may be demonstrative of a 'big business' led societal charge to demand discrete measures of attainment of stated goals from all areas of the public sector. As large corporations tend to be profitable and powerful, their leaders are often in positions to advance these ideas, contributing to what some have termed 'the corporatization of higher education'.

In our analysis, large company leaders were also more likely than small company leaders to consider knowledge and appreciation of those from other cultures to be a desirable outcome of higher education. On the other hand, those in large companies were less likely their their small company counterparts to consider contribution to the workforce an important mission of higher education institutions. It is plausible that these findings speak to the impact of globalization on our corporate sector. Large companies may be more affected by globalization by virtue of their size. To this end, employees in large companies may develop working business relationships with a culturally

diverse populations, particularly if their business demands that they are interconnected with people outside of the United States. The ability to foster and maintain relationships with culturally diverse populations would be viewed as valuable to the company and thus explains why those in large companies would deem it an important higher education outcome. By the same logic, small companies are more likely to be more localized, and less likely to be able to recruit internationally. Dependence on American higher education graduates to staff their organizations may explain why those in small companies were more likely to view contribution to the workforce an important mission for intuitions of higher education.

Differences between employee accountability perspectives by highest degree earned

As people's personal experiences shape their perspectives, we examined how corporate employee perspectives of accountability differ based on their own educational experience as measured by their highest degree earned. We expected that those with higher levels of education may hold different views from those with lower levels. Indeed we observed significant differences between these groups on five variables. To begin, there is some evidence to support the idea that bachelor degree only recipients tend to be more skeptical of higher education than their counterparts. For instance, this group was less likely to agree that effective accountability policy would improve the transparency and candor of higher education on purpose and performance. It is unclear, however, if this finding is consequence of lack of confidence in higher education institutions in general or rather lack of confidence the policies designed to have an impact on higher education. Graduate degree holders, on the other hand, seemed to be more inclined to trust systematic methods of improving higher education. For example, graduate degree holders were significantly more likely to agree that a public poll, similar to the Gallup Poll, should be produced examining the public confidence in higher education. Similarly, grad degree holders were more likely to agree that effective accountability policy would improve public and governmental confidence. Taken together, perhaps these findings are demonstrative of the graduate degree holders overall confidence in the mechanisms in place to assess success. Bachelor degree holders, then, perhaps lack confidence in our collective ability to assess and fix issues with higher education.

Conclusions and Implications: Evidence of Nuanced Dissent

Stakeholders will no doubt continue to demand that institutions of higher education demonstrate accountability. And, while there is a general perception that accountability is necessary, our study points to a number of differences on perceptions and attitudes of higher education accountability even within stakeholder groups. It stands to reason, then, that this lack of consensus as demonstrated by obvious differences regarding acceptable forms of evidence of accountability among and within stakeholder groups, make a difficult task of meeting accountability standards near impossible. Findings from this study have important implications for institutions of higher education and for educational stakeholders. That is, the observed differences presented here point to the need for college and university leaders to engage in dialogue with stakeholders to build awareness of the challenges to consensus on accountability that need to be addressed before acceptable practices and policies regarding higher education accountability are achievable. Our findings, which show there are considerable differences among what corporate stakeholders view as acceptable evidence of higher education outcomes and accountability, point to the critical need for university administrators to engage in further conversations with stakeholders to establish policy that accurately reflects their perceptions of evidence of accountability for institutions of higher education.

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HIGHER EDUCATION LEADERSHIP IN THE MIDDLE EAST: CHALLENGES & PRACTICE

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Higher education is fundamental to the overall success of any nation, through the production and dissemination of knowledge and the engagement of colleges and universities in addressing societal needs. These institutions perform an essential role in serving the greater good by educating students and by furthering the advancement of important research and development (Lagemann & Lewis, 2011). Today, colleges and universities throughout the world face significant challenges in the areas of economics, demographics, and global competition, which underscores the importance of effective leadership in higher education. By better understanding the role that effective university leaders play in guiding institutional development, these senior leaders may be better equipped in meeting and overcoming the challenges and opportunities facing higher education.

Challenges Facing Higher Education

For some time, institutions of higher education around the world have faced the pressure of increasing numbers of students demanding equitable access, funding and other resource constraints, calls for greater transparency in accountability, changes in demographics, and the impact of emerging technologies, among others (Altbach & Davis, 1999). On a global scale, access to higher education has become increasingly important in meeting the demands of populaces and developing markets (Lenn, 2000). That increase in demand and enrollments has in turn put greater pressure on funding, as resources have not kept pace. Pressures from funding sources has led to greater demands to measure resource allocations and productivity, sometimes beyond the

capabilities of existing governance systems (MacGregor, 2010). And in the developing world, higher education remains largely limited to urban centers, and gender, ethnicity, and social class remain issues impacting access. Finally, advances in technology have served to advance access to higher education, but carry important implications to quality assurance (Altbach & Peterson, 1999).

Within the Middle East region, resource disparities, internal conflicts, and the negative influences associated with the ebb and flow of foreign interventions have over time, diverted critical attention from advancing the cause of higher education and have served to diminish the intellectual leadership so critical to redressing these important issues. Concerns over human security in particular have drawn the attention and resources of governments away from higher education, especially when viewed as accruing private returns to individuals (El-Ghali, Chen, & Yeager, 2010).

The expanding demand for knowledge and human capital in the Middle East and North Africa, where there are over 100 million youth under the age of 25, representing 60 percent of the region's population, has outpaced the abilities of the higher education establishment. The past 15 years has seen a dramatic growth in the number of institutions, overall enrollment (inclusive of female participants), yet these institutions continue to fall short of addressing the needs of students, employers, and the broader society. While institutions and governments in the region have made good faith efforts to educate this populace, the results have fallen short in adequately insuring that these students have the marketable skills they need to compete (Masri & Wilkens, 2011). Amongst the challenges facing institutions of higher education in the Middle East, three major issues stand out: quality, governance, and outcomes.

Increases in the demand for higher education across the region have placed significant pressures on the capacity of higher education institutions. Combine those factors with a less-than-adequately prepared pool of undergraduate applicants, overcrowding, and resource shortages, have had a consequent negative impact on the major determinants of quality: effective pedagogy, curriculum, academic support services, and faculty (Lenn, 2000). Due to weaknesses in academic preparedness in the form of language, science, math, and critical thinking skills at admission, institutions must spend sorely needed resources to address these deficiencies, relying heavily on public resources (UNESCO, 2011).

Governance is often an issue at many public institutions where government-led bureaucracies may be slow in responding to needed changes, and where policies and laws that facilitate autonomy and transparency are less than evident. Governmental bureaucracies largely control curriculum design, standards for approval of new degrees, and regulations for faculty certification – a system

that is less than ideal for nimbly implementing needed reforms in a rapidly changing environment. Given the dynamic nature of the higher education sector, speed and transparency play important factors in instilling or reinforcing confidence in the accountability of higher education systems (Masri & Wilkens, 2011). According to the Organization for Economic Cooperation and Development, many institutions are also recognizing the need to move away from a focus on purely national needs, as they become more aware of the impact of global issues (MacGregor, 2010).

The relationship between institutions of higher education and regional labor markets in supporting societal goals, creating knowledge, and advancing research is critically important to insuring sustainable economic development. In certain markets, colleges and universities in the region have fallen short in providing students with the skills and experience they require to effectively compete in regional economies in transition to more globally oriented, knowledge-based economies. Colleges and universities play a critical role as creators of this knowledge and as producers of the human capital aligned to societal needs, as closer interactions between the higher education sector and business become increasingly important (International Labor Organization, 2014).

Importance of Effective Leadership in Higher Education

While largely collaborative in their organizational culture, colleges and universities are often places of highly distributed opinions where change is frequently resisted and where authority cannot be universally assumed (Brown, 2000), which presents an environment with unique challenges and opportunities for higher education leadership. According to Yelder and Codling (2004), the senior leadership at colleges and universities play a critical role in advancing the mission and values of their respective institutions and are expected to influence and enable a diverse set of internal and external stakeholders (e.g., students, faculty, administrators), to enhance their institution's mission inclusive of student learning, knowledge generation, and service to the community.

Senior leaders in higher education are also charged with effecting positive organizational change by developing a vision and strategy for the future of the institution, communicating that vision and then motivating, and inspiring the institution's employees to attaining the vision (Yukl, 2009). Mead-Fox (2009) found that colleges and universities require senior leaders who provide clear vision, imbue a sense of collaboration and trust, motivate and encourage others to act, achieve

that which sometimes seems unreachable, and are adept at introducing an entrepreneurial spirit and effecting needed change. Mead-Fox also noted that executive leadership is perhaps the single most essential competency needed to move colleges and universities forward.

According to Friedman (2005), the 21st century will present challenges in the way educators address changes in population, access to technology and information, and economic integration between the developed and developing world, with implications for governance and conflict. Friedman framed the associated educational leadership opportunity as the means to help develop students to compete, foster research and development to guide resource management and economic integration, and assist the global community in realizing greater societal benefits. Higher education leaders have a responsibility to students and to the broader society to ensure that the solutions to these important issues are addressed in an ethical and responsible manner (Knapp, 2007).

Much of the research concerning the ethical responsibilities of higher education leadership (Johnson, 2011; Shapiro & Stefkovich, 2010) reflects a set of common leadership principles: increasing access to higher education, supporting research that benefits society, encouraging service to address societal issues, introducing approaches to learning that stress global connectedness, and encouraging the capacity for moral reasoning.

Leaders of higher educational institutions hold highly responsible and complex positions. Nohria (2010) noted that higher education leaders must analyze and be fully aware of a broad and diverse set of contexts and environments in which their institutions function; balance many tasks to get things done; build relationships that ensure collaboration in achieving their objectives; understand their organizations, problems and people; and build effective teams by distributing leadership that empowers others across their institutions.

Luthans, Norman, and Hughes (2006) stated that effective leaders are also aware of how their actions are perceived and recognize that, by demonstrating positive behaviors, their people will be motivated to follow. Herold, Fedor, Caldwell, and Liu (2008) contributed that the ability to inspire loyalty cultivates an environment of innovation and an entrepreneurial spirit, observing that implicit in such an environment is leadership that understands and respects that followers sometimes fail and that failure often leads to learning and innovation.

Simon (2009) noted that, to excel in an increasingly global, technologically advanced, intergenerational, and multicultural society, college and university leaders must possess certain broad skill sets. They will need well-developed abilities in encouraging innovation, organizational

strategy, resources management, communication and collaboration, advocacy, and professionalism. Additionally, they will need to easily articulate the value that their institution provides to a diverse set of internal and external constituencies, while at the same time being effective in developing, attracting and recruiting capable leaders to their institutions.

Higher education leaders must operate in a collaborative environment that consists of many different stakeholders where effecting change is often resisted. Pasque (2010) found that a willingness to change is not a widely held aspiration in colleges and universities, as status quo-oriented positions are frequently endowed with a sense of weight and legitimacy, while models that advocate change are sometimes marginalized. Pasque argues that an absence of collaboration can have the effect of marginalizing alternative perspectives, thus undermining higher education's ability to introduce positive change for the betterment of society.

The Study

The purpose of this study was to measure and analyze the senior leadership practices at colleges and universities in the region to identify potential relationships between these practices and the effectiveness of senior leadership in addressing those challenges. The study focused on five predictive variables of exemplary leadership: behaviors that clarify values and set an example for others, behaviors that envision the future for an organization and that are able to enlist others to shared or common aspirations, behaviors that seek opportunities for change, innovation and growth, behaviors that foster collaboration and sharing of power, and behaviors that recognize the contributions of others through rewards. The findings for this quantitative research project were derived from a survey distributed to 190 university presidents and provosts. The study focused on the effectiveness of the senior leadership practices of the participants as they related to addressing the major challenges facing their institutions. Additional research questions sought to identify the major challenges facing institutions of higher education in the region.

Conceptual Framework

The conceptual framework for this study was derived from Kouzes and Posner's (2008) leadership model, *The Leadership Challenge*. Supported by 30 years of original research and data from over 3 million leader respondents, Kouzes and Posner approached leadership as a measurable,

learnable, and teachable set of behaviors. The resultant conceptual framework is undergirded by five distinct leadership practices that leaders use to affect organizational performance, as discussed below.

- Challenging the process involves leadership that seeks out and excels at managing change, growth, and innovation. These leaders seek out opportunities to improve their organizations, are willing to take risks, and see mistakes as learning opportunities (Kouzes & Posner, 2008).
- Inspiring a shared vision involves leaders who are focused on, and believe in the possibilities of the future. These leaders motivate their followers by appealing to their values, interests, hopes and dreams (Kouzes & Posner, 2008).
- Enabling others to act involves leadership that fosters the development of collaborative teams, along with the instillation of a sense of partnership, mutual trust, and respect. These leaders empower their followers by providing choice, developing competence, assigning critical tasks, and giving visible support (Kouzes & Posner, 2008).
- Modeling the way entails leadership that sets an example of consistently living the values, philosophies, and principles that the leaders espouse. These leaders reflect a high degree of personal integrity (Kouzes & Posner, 2008).
- Encouraging the heart reflects leadership that seeks out ways to recognize and celebrate the contributions and accomplishments of individuals and teams. These leaders recognize the successes of their followers and regularly celebrate their accomplishments (Kouzes & Posner, 2008).

Findings & Implications

Of the 190 presidents and provosts who received invitations to participate in the study, 88 (46%) responded, 77% of whom were male and 23% female and predominantly between the ages of 40-59 years (68%) (see Table 1).

As illustrated in Table 2, responses were strongest from the Mediterranean nations (Gaza, Jordan, Lebanon, Syria, West Bank) at 41%, the Gulf nations (Bahrain, Kuwait, Oman, Qatar, Yemen, U.A.E.) at 23%, followed by Iran (14%), Egypt and Saudi Arabia at 9% each and Iraq at 4%.

The years of experience of the respondents centered between 15-29 years and were roughly evenly distributed between public and private institutions (Table 3).

The survey then looked at the relationship between the five distinct leadership practices and variables such as gender, age, region, and years of experience (Table 4). Of these correlations, gender was significant with males rating highest in leadership that sets an example of consistently living certain values, philosophies, and principles (Model the Way), while females most frequently

Table 1
Gender and Age of Respondents (n = 88)

Variable	N	%
Male	68	77.0
Female	20	23.0
20 – 39 Years of Age	12	14.0
40 – 59 Years of Age	60	68.0
60+ Years of Age ¹⁶	16	18.0

Table 2
Geographic Distribution of Respondents (n = 88)

Variable	N	%
Egypt	8	9.0
Gaza, Jordan, Lebanon, Syria, West Bank	35	41.0
Iran	12	14.0
Iraq	4	4.0
Bahrain, Kuwait, Oman, Qatar, Yemen, U.A.E.	20	23.0
Saudi Arabia	8	9.0

Table 3
Years of Experience & Institutional Affiliation (n=88)

Variable	N	%
1-14 Years of Experience	33	36.0o
15-29 Years of Experience	44	50.0
30+ Years of Experience	12	14.0
Public Institution Affiliation	48	55.0
Bahrain, Kuwait, Oman, Qatar, Yemen, U.A.E.	20	23.0
Private Institution Affiliation	40	45.0

Table 4
Results of *t* Tests: Leadership Practices by Gender

Leadership Practice	Male (<i>n</i> = 68)		Female (<i>n</i> = 20)		<i>t</i>	<i>p</i>	<i>df</i>
	<i>M</i>	<i>SD</i>	<i>M</i>	<i>SD</i>			
Model the Way	4.25	.81	4.08	.56	.32	.41	101
Inspire a Shared Vision	3.85	.79	4.28	.68	-.03	.48	101
Challenge the Process	3.95	.85	4.04	.57	-.30	.31	101
Enable Others to Act	3.24	.64	3.56	.41	-.38	.20	101
Encourage the Heart	4.07	.84	4.40	.55	-.40	.25	101

reported traits associated with leadership that seeks out ways to recognize and celebrate the contributions and accomplishments of individuals and teams that the leaders espouse (Encourage the Heart).

Past research on public and private leadership from the Middle East North Africa region was historically focused on authoritarian styles and models of leadership (Hammoud, 2011). The variation in responses to this study is worth noting in light of previous research that supported a proclivity towards in-group collectivism across the Middle East North Africa region, coupled with

similar findings from the Global Leadership and Organizational Effectiveness research project suggesting a more autonomous, self-preserving leadership philosophy (Northouse, 2015). These findings from this study suggest an emergence of a more individualistic and contextual approach to leadership philosophy and practice.

With respect to how these leaders perceived their effectiveness in addressing the major challenges facing their institutions, insuring academic quality was the highest rated, insuring affordability of education the lowest, with insuring accountability and preparing students to compete globally being reported somewhere in between (Table 5).

Table 5
Effectiveness in Addressing Major Institutional Challenges (n=88)

	Academic Quality	Institutional Accountability	Institutional Affordability	Global Preparation
Mean	4.05	3.91	3.32	3.90
Standard Deviation	.90	.88	1.07	1.08

An interpretation of these findings suggests that while matters of academic quality are largely within the span of control of these individual leaders, issues related to institutional accountability, affordability and student preparedness may be more directly tied to external factors. Based upon these findings, one gets the sense these senior leaders are committed to improving their institutions, but feel inhibited within current structures. Limitations in governmental efficiency, effectiveness, transparency may be contributing factors that limit leaders' ability to make a difference in addressing institutional accountability and affordability (Newell, Reeher, & Ronayne, 2012).

It is ironic that despite the many quality and regulatory bodies throughout the region, graduates' lack of skills required of employers has remained a consistent challenge, reflective of the overall quality of many institutions in the region. An absence of market connectivity, along with a desire in many countries to maintain traditional cultural values (i.e. acceptance of women in leadership roles), are influencing factors in setting priorities, focusing resources, and building trust in improving student preparedness and career success (Ashour, 2016). Effective leadership is the key to addressing these challenges.

Finally, the survey asked the respondents if they were very satisfied that their overall contributions were making a meaningful difference at their institutions. Gender, age, years of experience, and institutional affiliation appeared to have a significant impact on level of satisfaction (Table 6).

Table 6
Overall Satisfaction in Making a Meaningful Difference (n=88)

Variable	Mean	SD
Male	4.2	.95
Female	3.6	1.54
20-39 Years of Age	3.0	1.71
40-59	4.4	.81
60+ Years of Age	3.8	1.13
1-14 Years of Experience	3.8	1.32
15-29 Years of Experience	4.5	.79
30+ Years of Experience	3.3	.98
Public Institution Affiliation	3.9	1.33
Private Institution Affiliation	4.3	.79

These findings suggest that many respondents felt more confident in their ability to make a difference in their institutions, despite the fact that many serve in countries that have promised higher education to more students while not providing the institutions these students study at the necessary resources to keep that promise. Many institutions within the region are now taking important steps to measure whether they are fulfilling their missions and making a difference in the lives of their students. According to a recent study on quality assurance in the Middle East higher education sector, as a result of national education reforms in the region, a significant majority of institutions are now monitoring learning outcomes, regularly evaluating academic staff, assessing the impact of faculty research, and checking student evaluations (El Hassan, 2015). These initiatives are having a positive impact on teaching methods and in improving academic quality.

Conclusion: Why Effective Higher Education Leadership Matters

In general terms, effective senior higher education leadership requires an individual to possess certain attitudes, learned behaviors, and experience that can only be acquired through exposing oneself to different and oftentimes challenging situations. These leaders must have a certain degree of intellectual intelligence involving both acumen and the skills to be able to cognitively process complex and paradoxical problems, and emotional intelligence, which is comprised of cultural self-awareness, cross-cultural adaptability, and cross-cultural understanding and effectiveness (Rhinesmith, 2003). Together, these forms of intelligence equip leaders with a high level of cognitive ability to process sometimes unfamiliar and frequently contradictory sources of information and make effective decisions.

Senior leaders must possess a strong character that enables the leader to connect emotionally with different cultures in establishing and reinforcing trustworthiness, by consistently demonstrating a high degree of personal integrity across a diversity of ethical conflicts (Caligiuri & Tarique, 2012). A strong and consistent reputation for acting with integrity can serve to help influence the views of followers, while those lacking in integrity will fail to earn the respect they require from stakeholders within and outside their organizations.

Developing a strategic mindset requires leaders who possess, or acquire over time, the intellectual capital to grasp the complexities of global environments and associated risks of operating in different parts of the world, along with the cognitive capacity to connect complex elements in alignment to the organization's strategy. These leaders further possess an interest in other cultures and socio-economic and political systems, and the mental flexibility, openness and respect for different and diverse perspectives and values. Finally, these leaders project the ability to build consensus and influence through authentic, trust-based interactions and are able to do so in a diplomatic manner (Javidan, Hough, & Bullough, 2010).

Undergirding these experiences are the leader's inner values that guide the individual's behavior in deciding on moral or ethical matters. Experience can, in turn, intensify certain differences in culturally-relative values as dissimilar peoples interact. Considering how one's personal and moral values may be different from one's follower's, and how the leader's behavior can affect their follower's mores, can stimulate a greater degree of openness, acceptance and humility as elements of a powerful personal learning experience (George, Sims, McLean, & Mayer, 2007).

Senior leaders make a difference in the lives of their followers and in contributing to the greater good of their organizations and society. They foster the development of others through setting and inspiring a shared vision towards common goals, by setting an example through their values and ethical behavior, by taking risks and challenging the accepted, through collaboration and empowerment, and by encouraging their followers to aspire to greater things (Kouzes & Posner, 2008).

Effective senior leaders recognize the concept that leadership can and should be seen as a social responsibility, wherein the leader's and follower's activities go beyond serving self-interests and seek to benefit the collective society. Acquiring a willingness to contribute to and build social capital requires connecting with, and bonding with other people who may hold different perspectives. Effective senior leaders transcend parochial interests in establishing trust-based relationships with others who are often from different backgrounds, in order to contribute to a community's social capital (Putnum & Feldstein, 2003).

The future of higher education in the Middle East must be undergirded in the values of accountability, transparency, and ethical competence. Leadership that helps guide institutions and government to being more open, engaged, and inclusive is essential to developing effective policies, supporting inspired institutional management, and in securing the public's trust is essential to meeting the rising challenges and opportunities of an increasingly global market while contributing to the furtherance of a better functioning and just society.

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SMARTPHONES IN THE CLASSROOM AND STUDENTS' MISPERCEPTIONS: FACULTY DEVELOPMENT

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The need for people to stay connected today is manifest (Turkle, 2006). Students use smartphones to listen to music, check the time, text others, surf the Web, and visit social sites (e.g., Facebook), shop, watch television, view movies, search for information, and so forth. However, students' dependence on their smartphones causes problems in higher education instructional settings. Tardiness is a problem for some students. They are late for classes due to using their phones and miss instruction (Massimini & Peterson, 2009). This dependence does not stop at the classroom door (Campbell, 2006; Clayson & Hayley, 2012; Froese et al., 2012; Synnott, 2013a, in press; Tindell & Bohlander, 2012; Turkle, 2012).

Students' need to stay connected during class time causes distractions and interrupts the learning experience. Students cannot pay attention because of these distractions and do not do well academically (Clayson & Hayley, 2012; Christian, Worthman, Mathews, & Wetterau, 2010; End, Worthman, Matthews, & Wetterau, 2010). Another serious problem is some students use their smartphones during examinations (Jans-Thomas, 2005; Tindell & Bohlander, 2012).

Some professors are annoyed when students use their smartphones during lectures (Jenkins, 2011, Synnott, 2013a). Professors indicated that campus-wide policies might restrain the use of smartphones (Synnott, 2013a). However, this approach is not likely to succeed in the technological age (Halaweh, 2014; Synnott, 2013b). Proactive practices that incorporate smartphones into the learning process are necessary. This involves reducing students' use of smartphones for personal use during class time.

Previous research has shown that students have misperceptions regarding their peers' consumption of alcohol. Students inaccurately perceive that hat their peers

consume more alcohol than they do themselves (Haines and Spears, 1996; Perkins & Berkowitz, 1986; Perkins & Wechsler, 1996; Prentice & Miller, 1993; Synnott, 2000). University and college administrators have engaged in clarifying these misperceptions for decades.

Students also have misperceptions regarding their peers' social loafing on graded group projects. Students inaccurately perceive that their peers do not contribute as much as they do (Synnott, 2014). Clarifying students' misperceptions is important because students may try to fit in by acting according to their mistaken beliefs regarding the social norms. They already fit in however, they do not realize it.

The research question for this study is as follows: Do students have misperceptions regarding their peers' use of smartphones for personal use during class time? The null hypothesis for this study is as follows: There will be no significant differences among students regarding their use of smartphones and their perceptions regarding their peer's use of smartphones for personal use during class time.

Method

Participants: Potential participants drawn from a computer-generated random list represented 35% of the undergraduate population at a mid-sized public university in New England, that is, 1,547 students. Prospective participants received a cover letter explaining the study and a questionnaire via email. One hundred twenty nine students returned questionnaires representing an 8.33% response rate.

Participants included (a) 31 males and 89 females; (b) 47 freshmen, 23 sophomores, 24 juniors, and 31 seniors; (c) 70 students lived on campus and 49 students lived off campus; and (d) 19 students had a 4.0 G.P.A., 46 students had a 3.5, 37 students had a 3.0, 16 students had a 2.5 and 4 students had a 2.0

Questionnaire: A questionnaire developed specifically for this study consisted of two sections. The first segment requested students to indicate their (a) year in school, (b) gender, (c) residence, that is, on-campus or off-campus, and (d) G.P.A.

The second section included seven statements re students' smartphone use and their perceptions of their peers' use of smartphones during class time resulting in two responses per item. Shorthand definitions are in parentheses following each statement.

Item stems were positive to lessen the potential for confusion (Pilotte & Gable, 1990).

1. Students used cellphones to text others (Students Text and Perception Others Text).
2. Students use cellphones to surf the Web (Students Surf and Perceptions Others Surf).
3. Students use cellphones to visit social sites (Students Visit and Perceptions Others Visit).
4. Students leave the classroom to take calls (Students Leave and Perceptions Others Leave).
5. Students use cellphones during examinations to text others in and or out of the room for answers (Students Text Exams and Perceptions Others Text Exams).
6. Students use cellphones during examinations to view pictures of notes taken in class for answers (Students View Notes Exams and Perceptions Others View Notes Exams).
7. Students use cellphones during examinations to connect to textbooks for answers (Students Textbooks Exams and Perceptions Others Textbooks Exams).

Responses were measured using Likert scales (i.e., 1 = very frequently, 2 = frequently, 3 = occasionally, 4 = rarely, and 5 = never). SPSS Version 21.0 was used to analyze the data. The significance level was set at .05. One-way analysis of variance and paired-samples *t* tests were used to calculate significant differences among students. All outliers were the result of inaccurate data entry and corrected. The instrument is valid and reliable. The foundation for content validity was the review of the literature. Reliability calculated using Cronbach's Alpha was .857.

Results

The responses were analyzed using one-way analysis of variance to determine differences among students for gender, year in school, residence, and G.P.A.

The results showed a significant difference among students' G.P.A.s for Students Text $F(4, 114) = 3.459, p < .058$. The post hoc Bonferroni test showed that there was a significant difference between students with a 4.0 G.P.A. and a 3.0 ($p = .027$). Students with a 4.0 G.P.A. stated that they texted less than students with a 3.0 G.P.A. did.

The responses for gender, year in school, and residence failed to reach significance. Frequencies for all responses were calculated. Students reported that they texted during class time. Students perceived that their peers texted more than they did (see Tables 1 and 2). Students'

responses presented in table format below include valid percents. The percentages shown in the *Valid percent* column use only cases that have valid (nonmissing) responses in the denominator. These percentages are much easier to interpret than are the percentages based on all cases. They tell you what percentage of the people who gave valid responses gave each of them. Valid percentages sum to 100 over the valid response categories. (Norusis, 2011, pp. 51-52)

Table 1 – Students Text

	Scale	Frequency	Percent	Valid Percent	Cumulative Percent
Valid	Very Frequently	18	14.0	14.3	14.3
	Frequently	17	13.2	13.5	27.8
	Occasionally	27	20.9	21.4	49.2
	Rarely	33	25.6	26.2	75.4
	Never	31	24.0	24.6	100.0
	Total	126	97.7	100.0	
Missing		3	2.3		
	Total	129	100.0		

Table 2 – Perceptions Others Text

	Scale	Frequency	Percent	Valid Percent	Cumulative Percent
Valid	Very Frequently	38	29.5	20.9	29.9
	Frequently	39	32.2	30.7	60.6
	Occasionally	30	23.3	23.6	84.3
	Rarely	17	13.2	13.4	97.6
	Never	3	2.3	2.4	100.0
	Total	127	98.4	100.0	
Missing		2	1.6		
	Total	129	100.0		

Students reported that they surfed the Web during class time. Students perceived that their peers surfed the Web more than they did (see Tables 3 and 4).

Table 3 – Students Surf

	Scale	Frequency	Percent	Valid Percent	Cumulative Percent
Valid	Very Frequently	13	10.1	10.2	10.2
	Frequently	11	8.5	8.7	18.9
	Occasionally	7	5.4	5.5	24.4
	Rarely	24	18.6	18.9	43.3
	Never	72	55.8	56.7	100.0
	Total	127	98.4	100.0	
Missing		2	1.6		
	Total	129	100.0		

Table 4 – Perceptions Others Surf

	Scale	Frequency	Percent	Valid Percent	Cumulative Percent
Valid	Very Frequently	13	10.1	10.2	10.2
	Frequently	11	8.5	8.7	18.9
	Occasionally	7	5.4	5.5	24.4
	Rarely	24	18.6	18.9	43.3
	Never	72	55.8	56.7	100.0
	Total	127	98.4	100.0	
Missing		2	1.6		
	Total	129	100.0		

Students reported that they visited social sites during class time. Students perceived that their peers visited social sites more than they did (see Tables 5 and 6).

Table 5 – Students Visit

	Scale	Frequency	Percent	Valid Percent	Cumulative Percent
Valid	Very Frequently	14	10.9	11.1	11.1
	Frequently	13	10.1	10.3	21.4
	Occasionally	12	9.3	9.5	31.0
	Rarely	21	16.3	16.7	47.6
	Never	66	51.2	52.4	100.0
	Total	126	97.7	100.0	
Missing		3	2.3		
	Total	129	100.0		

Table 6 – Perceptions Others Visit

	Scale	Frequency	Percent	Valid Percent	Cumulative Percent
Valid	Very Frequently	33	25.6	26.4	26.4
	Frequently	34	27.9	28.8	55.2
	Occasionally	28	31.7	22.4	77.6
	Rarely	17	13.2	13.6	91.2
	Never	11	8.5	8.8	100.0
	Total	125	96.9	100.0	
Missing		4	3.1		
	Total	129	100.0		

Students reported that they rarely or never left the classroom to take calls. Students perceived that a small number of their peers left the classroom to take calls (see Tables 7 and 8).

Table 7 – Students Leave

	Scale	Frequency	Percent	Valid Percent	Cumulative Percent
Valid	Very Frequently	8	6.2	6.3	6.3
	Frequently	4	3.1	3.2	9.5
	Occasionally	3	2.3	2.4	11.9
	Rarely	25	19.4	19.8	31.7
	Never	86	66.7	68.3	100.0
	Total	126	97.7	100.0	
Missing		3	2.3		
	Total	129	100.0		

Table 8 – Perceptions Others Leave

	Scale	Frequency	Percent	Valid Percent	Cumulative Percent
Valid	Very Frequently	7	5.4	5.6	5.6
	Frequently	7	5.4	5.6	11.2
	Occasionally	17	13.2	13.6	24.8
	Rarely	64	49.6	51.2	76.0
	Never	30	23.3	24.0	100.0
	Total	125	96.9	100.0	
Missing		4	3.1		
	Total	129	100.0		

Students reported that they did not use their phones to text others in or out of the classroom for answers during an examination. Students perceived that their peers used their phones to text others for answers during an examination (see Tables 9 and 10).

Table 9 – Students Text Exams

	Scale	Frequency	Percent	Valid Percent	Cumulative Percent
Valid	Very Frequently	9	7.0	7.1	7.1
	Frequently	1	.8	.8	7.9
	Occasionally	0	0	0	7.9
	Rarely	2	1.6	1.6	9.5
	Never	114	88.4	90.5	100.0
	Total	126	97.7	100.0	
Missing		3	2.3		
	Total	129	100.0		

Table 10 – Perceptions Others Text Exams

	Scale	Frequency	Percent	Valid Percent	Cumulative Percent
Valid	Very Frequently	8	6.2	6.5	6.5
	Frequently	3	2.3	2.4	8.9
	Occasionally	7	5.4	5.6	14.5
	Rarely	32	24.8	25.8	40.3
	Never	74	57.4	9.7	100.0
	Total	124	96.9	100.0	
Missing		5	3.9		
	Total	129	100.0		

Students reported that they did not use their phones during examinations to view pictures of notes taken in class for answers. Students perceived that their peers used their phones during examinations to view pictures of notes taken in class for answers (see Tables 11 and 12).

Table 11 – Students View Notes Exams

	Scale	Frequency	Percent	Valid Percent	Cumulative Percent
Valid	Very Frequently	9	7.0	7.1	7.1
	Frequently	1	.8	.8	7.9
	Occasionally	0	0	0	7.9
	Rarely	2	1.6	1.6	9.4
	Never	116	89.1	90.6	100.0
	Total	127	98.4	100.0	
Missing		2	1.6		
	Total	129	100.0		

Table 12 – Perceptions Others View Notes Exams

	Scale	Frequency	Percent	Valid Percent	Cumulative Percent
Valid	Very Frequently	7	5.4	5.6	5.6
	Frequently	3	2.3	2.4	7.9
	Occasionally	5	3.9	4.0	11.9
	Rarely	24	18.6	19.0	31.0
	Never	87	67.4	69.0	100.
	Total	126	97.7	100.0	
Missing		3	2.3		
	Total	129	100.0		

Students reported that they did not use their phones during examinations to connect to textbooks for answers. Students perceived that their peers used their phones during examinations to connect to textbooks for answers did (see Tables 13 and 14).

Table 13 – Students Textbook Exams

	Scale	Frequency	Percent	Valid Percent	Cumulative Percent
Valid	Very Frequently	8	6.2	6.6	6.6
	Frequently	0	0	0	6.6
	Occasionally	0	0	0	6.6
	Rarely	1	.8	.8	7.4
	Never	112	86.8	92.6	100.0
	Total	121	93.8	100.0	
Missing		8	6.2		
	Total	129	100.0		

Table 14 – Perceptions Others Textbook Exams

	Scale	Frequency	Percent	Valid Percent	Cumulative Percent
Valid	Very Frequently	10	7.8	8.3	8.3
	Frequently	0	0	0	8.3
	Occasionally	1	.8	.8	9.1
	Rarely	11	8.5	9.1	18.2
	Never	99	76.7	81.8	100.0
	Total	121	93.8	100.0	
Missing		8	6.2		
	Total	129	100.0		

Differences between students' self-reports regarding use of smartphones during class time, that is, the campus norm and their perceptions regarding their classmates' use of smartphones during class time calculated using paired samples *t* tests showed significant differences (see Table 15).

Table 15 – Paired Samples Test

		t	df	Sig. (2-tailed)
Pair 1	Students Text Perceptions Others Text	9.437	124	.0005
Pair 2	Students Surf Perceptions Others Surf	9.144	124	.0005
Pair 3	Students Visit Perceptions Others Visit	9.877	123	.0005
Pair 4	Students Leave Perceptions Others Leave	6.931	123	.0005
Pair 5	Students Text Exams Perceptions Others Text Exams	5.523	122	.0005
Pair 6	Students View Exam Notes Perceptions Others View exam Notes	4.692	124	.0005
Pair 7	Students Textbooks Exams Perceptions Others Textbooks Exams	3.134	118	.0002

Discussion

The findings resulted in rejecting the null hypothesis, that is, there will be no significant differences among students regarding their use of smartphones and their perceptions regarding their peer's use of smartphones for personal use during class time. Students erroneously perceived

that their peers used their smartphones during class time more than they did. These misperceptions are important because they may lead students to believe that (a) texting others in and out of the classroom, surfing the Web, (c) visiting social sites, (d) leaving the classroom to take calls, and (e) using phones during examinations during class time are the campus norms. These erroneous beliefs may result in students increasing their use of smartphones during class time to be more like their peers. The use of smartphones for personal use during class time distracts from using the technology for positive learning experiences.

Faculty members charged with the responsibility of providing a productive learning environment might engage in activities designed to clarify these misperceptions. They may benefit from similar activities college administrators use to clarify students' misperceptions regarding their peers' consumption of alcohol. For example, several institutions in higher education use The Alcohol Consumption Prevention Model: Clarifying Students' Misperceptions (Synnott, 2000, pp. 299-304, 363-366).

Clarifying students' misperceptions with regard to their classmates' use of smartphones for personal use may result in reducing undesirable uses of smartphones. This will provide an environment conducive to optimizing the learning experience and allow instructors to use smartphones for learning purposes.

The results of this study shaped the model Smartphones in the Classroom: Guidelines for Clarifying Students' Misperception.

Smartphones in the Classroom: Guidelines for Clarifying Students' Misperceptions

Purpose

Students overestimate their peers' use of smartphones during class time. These inaccurate perceptions regarding the norms associated with smartphone use during class time may encourage students to increase the use of their phones to "fit in." The implementation of these guidelines will clarify students' misperceptions regarding their peers' personal use of smartphones during class time.

Procedures

Individual instructors will modify the following steps to fit their needs. The process takes approximately one class period (i.e., 50 minutes).

Step 1. The educator administers the instrument (see Appendix for the questionnaire). Students do not write their names on the instrument.

Step 2. Two students volunteer to score the instruments. Student volunteers insure anonymity.

Step 3. The volunteers tally the scores as follows:

- One student reads the responses from the self and perceptions columns for each statement row.
- The other student marks the responses with corresponding marks under the columns across from each row (e.g., 3, 1; 2, 4; 4, 2, etc.)

Step 4. The students add the numbers and divide by the number of students in the class.

Step 5. The students present the findings in table format on the board or project them on the screen with the column headings Self and Perceptions and the rows labeled with the statements. Responses from the column heading Self represent the actual norm associated with students' personal use of smartphones during class time. Responses from the Perceptions column represents students' perceived norms associated with students' personal use of smartphones during class time. The differences should be clear.

Step 6. The educator forms groups of five students and asks students to work together with their group members to develop four or five ideas that might help clarify these misperceptions.

Step 7. Students select a spokesperson to report their group's ideas to the class. The educator calls on each spokesperson in turn and asks each one to share one idea. This process continues until the students' lists are exhausted. Students are encouraged to join in at any time during the discussion.

Step 98. The educator closes the session by asking students to continue the discussion outside of the classroom with friends and acquaintances.

Conclusion

Today's technological advances in hand-held computer devices such as smartphones provides challenges for educators. One challenge is to harness the power of smartphones for learning activities in classrooms. This requires providing a positive learning environment.

The findings showed that students inaccurately perceived that their peers used smartphones for personal use more often than they did during class time. This is an important finding because the use of smartphones during time class for personal use distracts students from the learning process.

The results of this research shaped the model: Smartphones in the Classroom: Guidelines for Clarifying Students' Misperceptions. Educators incorporating this model in their classrooms will reduce students' use of smartphones for personal use during class time and improve the learning environment by reducing distractions. The implementation of the Model requires additional work by instructors. This may prove to be problematic due to time constraints. If so, informing students that misperceptions exist may lessen students using smartphones during class time for personal use.

Limitations

There are potential limitations to this study. First, self-reports were used to measure students' use of smartphones during class time. Reporting bias may be a limitation, that is, subjects may present themselves in a favorable light (Borg & Gall, 1989, Isaac & Michael, 1990). However, the assurance of anonymity makes this seem unlikely (Prentice & Miller, 1993), and research showed that self-reports are valid (Babor, Stephens, & Marlatt, 1987).

Second, the study conducted at a mid-sized public university in New England requires other schools to use caution regarding generalizations of the results of this study beyond the Northeast region of the U.S.

Finally, the response rate is 8.33%. This lower than optimal rate may be due to nonresponse bias (Fincham, 2008).

Future research is necessary to gain insight into the theoretical construct of using smartphones for learning in classrooms. For example, future researchers might replicate this study to discern changes in students' personal use of smartphones during class time.

Future research might focus on new technologies that impact learning, such as smart watches and implants.

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Appendix

College Students' Cell Phone Use in the Classroom: A Survey Of Students' Experiences and Their Observations

This study is being conducted to determine your experiences and your observations of other students' experiences regarding the use of cell phones in the classroom during class time. Your participation is greatly appreciated. Please do not write your name on the questionnaire to insure anonymity.

Please return the completed instrument via email, interdepartmental mail or by putting it in my mailbox.

Please underline your answers. Year: Freshman Sophomore Junior Senior
Gender: Male Female Age: _____ (please fill in)
Residence during school semester: 1. on campus 2. off campus
Grade Point Average (4.0 ="A", 3.0="B", etc.): 4.0 3.5 3.0 2.5 2.0 under

2.0

All statements refer to the use of cellphones in the classroom during class time.

Please underline only one number corresponding to your answers for you (self) and only one number corresponding to your answer regarding your observations of other students (Observed Other Students).

1 = Very Frequently 2 = Frequently 3 = Occasionally 4 = Rarely 5 = Never

	Self	Observed Others
1. Students use cellphones to text others.	1 2 3 4 5	1 2 3 4 5
2. Students use cellphones to surf the Web.	1 2 3 4 5	1 2 3 4 5
3. Students use cellphones to visit social sites.	1 2 3 4 5	1 2 3 4 5
4. Students leave the classroom to take calls.	1 2 3 4 5	1 2 3 4 5

5. Students use cellphones during examinations to text others in and or out of the room for answers.	1 2 3 4 5	1 2 3 4 5
6. Students use cellphones during examinations to view pictures of notes taking in class for answers.	1 2 3 4 5	1 2 3 4 5
7. Students use cellphones during examinations to connect to textbooks for answers.	1 2 3 4 5	1 2 3 4 5

ADVANCING GLOBALIZATION BY TEACHING WITH TECHNOLOGY: SYNTHESIZING GLOBAL UNDERSTANDING AND COLLABORATIVE ONLINE INTERNATIONAL LEARNING MODELS

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For decades, scholars have documented the ways in which technology can increase students' access to educational opportunities (Lemoine 58; Motamedi 387; Townley, Geng, and Zhang 21). More recently, the affordability of globally networked courses also has been emphasized (de Wit; Labi; Solem et al. 240), especially for the high percentage of American students who have not studied abroad (Chia, Poe, and Yang 3; Fischer). Although technological and communicative challenges complicate globally networked courses (Brown et al. 599-600; Chun 394-95; Ferreira et al. 1542-3), higher-education systems and organizations have funded the development of courses with international partners, such as global understanding courses in the University of North Carolina (UNC) system and Collaborative Online International Learning (COIL) courses in the State University of New York (SUNY) system (Chia et al. 92; Guth 2).

Historically, the global understanding model has emphasized more synchronous exchanges than the COIL model for redesigning courses with technology and international partners (Chia et al. 99; Chia, Poe, and Yang 3-4; "About COIL"). The Advancing Internationalization through Technology award presented by the American Council on Education (ACE) with the COIL center provided Fayetteville State University (FSU), a public comprehensive regional university in the UNC system, a unique opportunity to synthesize teaching with technology strategies from global understanding and COIL models. Synthesizing global understanding and COIL models enhances students' access to international exchanges, enriches shared learning outcomes, and furthers institutions' strategic globalization goals, as exemplified by the redesign of world literature courses with Chinese partners.

The Global Understanding Course Model

In 2010, the UNC system collaborated with East Carolina University (ECU) to organize the UNC-China Technology Grant program, which funded the development and teaching of global understanding courses with Chinese partners (Chia et al. 92). *The Chronicle of Higher Education* has described “the basic model” of global understanding courses as follows:

Classes of 15 to 20 students are split in half, and each group is given a series of questions meant to guide conversation. One half discusses the queries, which tend to focus on cultural practices like college life and family structure, as a group via videoconferencing, while the other students engage in one-on-one discussions on the same topics with overseas partners through e-mail. Halfway through the class meeting, the groups switch. (Fischer)

Administrators and faculty have published their experiences developing and teaching global understanding courses on a variety of topics, such as world economies and global climate change (Chia, Poe, and Yang; Chia et al; Ferreira et al.). The global understanding model has significantly influenced the development of global understanding courses at other institutions in the UNC system, such as at FSU, where faculty have taught global understanding courses since 2010 (DeVane 4A).

Global understanding awards have funded summer travel to FSU’s international partner institutions, where faculty have developed global understanding courses and tested technology.³⁸ After returning to campus, FSU faculty have taught global understanding courses with international partners, such as global business with Baotou Teachers’ College (BTTC) in China, world history with Inner Mongolia Normal University (IMNU) in China, and global peace role models with Panjab University in India (“International Education Center”). FSU was invested in supporting the development of global understanding courses, because they were directly related to FSU’s mission to “produce global citizens and leaders” (“Mission”). As Jon Young has stated while serving as FSU’s Provost and Vice Chancellor for Academic Affairs, “We have an obligation to help broaden students’ horizons and give them global experiences” (qtd. in “Quick Hits” 2).

Since the global understanding model has used synchronous videoconferencing since the first global understanding course was launched at ECU in 2003 (Chia, Poe, and Yang 3-4), FSU faculty also

³⁸ Initially, the UNC Technology Grant program funded the development of global understanding courses at FSU. Later, FSU’s University College and Office of International Education used Title III funds to develop additional global understanding courses at FSU. More recently, FSU collaborated with ACE and COIL through the ACE/COIL award and UNC’s Center for Global Initiatives with a Title VI grant to redesign courses with international partners.

have taught multiple synchronous sessions with international partners in FSU's Distance Learning Center, which is equipped with Polycom videoconference technology. As the number of FSU's global understanding courses grew "to four or five global understanding courses each semester since 2012," FSU created the GU section designation, so students would know in advance if a course involved working with international partners (DeVane A4). Although UNC's and FSU's funding has resulted in the redesign of multiple courses with international partners, FSU faculty's engagement with the global understanding courses has not been consistently sustained.

Grant recipients have identified challenges accompanying the global understanding course model's synchronous videoconference exchanges, such as "the time and academic schedule differences between the two countries" and "low bandwidth on the Chinese side" (Chia et al. 95, 98). At FSU and elsewhere in the UNC system, faculty have taught synchronous courses early in the morning in the US and in the evening in China (98). These and other challenges, such as scheduling classes with home and partner institutions, might partially explain why FSU faculty have pursued and received global understanding funding without regularly teaching courses after the award period.

The Collaborative Online International Learning Model

While serving as FSU's Global Literacy Coordinator in the Office of International Education in 2014, FSU received the ACE/COIL Advancing Internationalization through Technology award with collaborators at BTTC and IMNU in China. The award "aim[ed] to recognize and promote the use of technology to enhance institutional internationalization and global competence among students at U.S. colleges and universities" ("ACE, SUNY COIL Announce Second Round of Internationalization Technology Awards"). The ACE/COIL award included pedagogical consultation with ACE and COIL, such as an intensive workshop at FSU with diverse stakeholders from FSU, ACE, COIL, BTTC, and IMNU.

The COIL model can be traced back to Jon Rubin's development of a video production course with a Belarusian institution following his return to SUNY from a Fulbright program in Belarus (Labi). Rubin served as the director of the COIL center when it was launched in 2006 (Labi), and the center has described their model as follows:

The COIL model does not merely promote courses where students from different nations co-habit an online classroom. Rather, we advocate creation of co-equal learning environments where instructors work together to generate a shared syllabus based on solid academic

coursework emphasizing experiential and collaborative student learning. The classes may be fully online, or offered in blended formats with traditional face-to-face sessions taking place at both schools, while collaborative student work takes place online. (“About COIL”)

Following funding from the National Endowment for the Humanities in 2010, the COIL center published findings on the history and application of COIL teaching methods (Guth 2). The COIL center also has created a complimentary COIL course guide to assist with the design and teaching of COIL courses, which have been developed and taught in and beyond the SUNY system (“Around Campus” 20; “COIL Course Guide”; “COIL Institute Publications”; “Quick Hits” 2-3).

The ACE/COIL award provided extensive pedagogical guidance during the redesign of existing world literature courses with teaching partners at IMNU and BTTC in China. Technological challenges affected our collaboration and informed our pedagogy. Since partners at IMNU and BTTC could not consistently access and use all technology during the redesign period, such as COIL’s Learning Management System (LMS) and Google Docs, workarounds were developed that also were used in our redesigned world literature courses. During the redesign period, for example, I primarily used email and FaceTime to communicate with Su Rina, my world literature I teaching partner at IMNU.

Following Su Rina’s recommendation, our American and Chinese students also primarily shared coursework through a free Chinese email account with one username and one password. With assistance in class and a handout translating Chinese characters in FSU’s LMS, American and Chinese students used one Chinese email account at 163.com to share information with the class during the semester, including individual introductions and collaborative PowerPoint presentations. The method worked so well in the world literature I course that I taught with Su Rina at IMNU, that I used the method again in the world literature II course that I initially taught with Wang Xinxin and later taught with Zhang Xiaomin at BTTC.

Synthesizing Global Understanding and Collaborative Online International Learning Models

Whereas the global understanding model historically had resulted in the scheduling of multiple synchronous videoconference discussions on shared topics with international partners at FSU, the COIL model focused on establishing shared learning outcomes and designing learning activities to achieve those outcomes. Due to FSU’s history with the global understanding model and FSU’s experience with the COIL consultants during the award period, Su Rina and I synthesized key elements of global understanding and COIL models to achieve shared student learning outcomes for

our redesigned world literature course, that is, to identify cultural complexities of world literature, explain multiple perspectives of world literature, and apply discipline-specific English language skills to world literature.

Although we scheduled some synchronous videoconference discussions, we focused more on asynchronous exchanges that encouraged student-to-student interaction as well as small group interactions outside of scheduled class periods. After collecting students' availability and preferred communication methods, such as email, FaceTime, and QQ, we assigned small groups. When our academic calendars overlapped, the American and Chinese students worked together in small groups to draft, revise, and present their literary critical research. We talked about the small group projects in our respective classes, and the students worked on the small group projects outside of class according to their preferred methods and availability.

The synchronous classroom exchanges were scheduled at times when the small groups presented the outcomes of their collaborative work. The group projects included visuals and texts, such as pictures of the authors and excerpts from the literature, which were distributed to the entire class via email before the synchronous class period and made available to the class during the class period, such as by displaying a group's PowerPoint in the videoconference classroom or printing a group's PowerPoint if only one screen was available to display the partner classroom. Even if there were bandwidth issues that resulted in poor visual or aural quality during class, or if the students had a hard time understanding other students in class, we had visual and textual references to enrich our discussion.

Although the shift to more asynchronous activities was beneficial, the synchronous videoconference exchanges were rewarding, too. In one memorable class session, the students compared and contrasted literature originally written in English and Chinese. When the Chinese students saw the English translation of Tao Qian's poetry, they did not recognize the English text as the same Chinese poem. This experience led to a fruitful discussion on the ways in which translation shapes the reception of world literature. My teaching partner at IMNU also has discussed the communicative and literary benefits of our redesigned world literature course. More specifically, Su Rina has stated, "According to my observation, I found that the students, they are more confident in such kinds of cross-cultural communication than before" (qtd. in Ward 13). In addition, Su Rina has explained the literary benefits of our redesigned course: "their vision is broadened in learning this literature course"; "we are talking about especially the Chinese poets in this semester," and "they can . . . learn a lot of different perspectives from their American peers." We have received

similar feedback from American and Chinese students in a survey that we developed by adapting questions from the Association of American Colleges and Universities' rubrics on global learning and intercultural knowledge and competence ("VALUE Rubrics").³⁹

In conclusion, access and affordability often drive the development and funding of globally networked courses, such as global understanding courses in the UNC system and COIL courses in the SUNY system (de Wit; Fischer; Labi). But technological challenges and changing funding streams threaten the continued delivery and future development of redesigned courses with international partners. Although global courses, such as the world literature survey courses that I redesigned with teaching partners at IMNU and BTTC, lend themselves to innovative online international learning activities, higher education institutions could meaningfully advance globalization through the strategic synthesis and sustained support of key global understanding and COIL teaching methods in existing course offerings and multiple academic disciplines.

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³⁹ The world literature survey was developed with Su Rina as the final take-home project for the Center for Internationalization and Global Engagement's Institute for Leading Internationalization ("Institute for Leading Internationalization").

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INTEGRATING MOOCS TO PROVIDE ACCESS TO GRADUATE EDUCATION PREREQUISITE COURSES

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In the most recent past, the purpose of higher education was to serve as a means of gaining more knowledge to foster personal growth and realize goals (Gutek, 1995). However, economic challenges have altered the intent of post-secondary education, and today higher learning is essential for financial growth and sustainability (Bennett & Vedder, 2015). Thus access to postsecondary education is a topic that is steadily gaining more ground in higher education. This phenomenon has led to the development of more online programs and courses to meet the need of the new population of nontraditional students (Johnson, 2012). However, the cost of post-secondary education continues to increase, and the scope of higher learning remains out of reach for many prospective students. To this end, the Massive Open Online Course was created by individuals from Ivy League institutions to facilitate learning and to expand the reach of pedagogic instruction to a global market (Johnson, 2012). Though the concept of Massive Open Online Courses is in the early stages of conception, the author endeavors to find if MOOC's can operate as a vehicle to bridge the gap of access and opportunity by providing prerequisite courses for graduate education to students that are interested in changing disciplines post-baccalaureate.

Although the current model for MOOCs has a completion rate of less than 15%, and there is no research on the sustainability of the concept (Gea, 2014), political representatives have recognized MOOC as an opportunity to address the budgetary restrictions that is currently plaguing higher education (Baker, Nafukho, McCaleb, Becker, & Johnson, 2015). As a result, the higher education community is presently waiting to see the impact MOOC will have on post-secondary institutions (Johnson, 2012).

The concerns with MOOC's appears to lay in the missing structures of the courses. Currently, there is no governing body to ensure that the classes are providing academic rigor to students and will be acceptable on a national and global level. There are no facilitators for the courses and students are teaching and grading the assignments of their peers (Baggaley, 2013). While these factors are concerns for this new learning platform (Baggaley, 2013), MOOC's are putting the responsibility of learning back on the learner which is a significant implication of andragogy (O'Toole & Essex, 2012).

The current structure of graduate education requires prospective students who have already earned a baccalaureate degree in one discipline to earn additional undergraduate coursework if they choose to pursue graduate education in a new occupational field. This concept is not only dated, but it poses challenges of access and opportunity for students from marginalized populations. Additionally, the cost of earning the graduate degree increases.

In this paper, we will review the current literature on the benefits and disadvantages of MOOCs. Then we will examine the current policy that affects the implementation of MOOCs in graduate education and suggestions for successful application based on the literature. Finally, we will discuss strategies for integrating MOOCs to provide access to graduate education for students in need of completing prerequisite courses.

Literature Review

Massive Open Online Courses (MOOC) is defined as free open online courses with many participants (Baker, Nafukho, McCaleb, Becker, & Johnson, 2015; Oxford Dictionary, 2013) across the globe; and in some instances, students can earn credits for the courses they are enrolled in (Baker, Nafukho, McCaleb, Becker, & Johnson, 2015). Arizona State University (ASU) (Global Freshman Academy) and Massachusetts Institute of Technology (MIT) ((1) Master's Program) are amongst some of the first universities to allow students to complete portions of their degree through MOOC. Georgia Institute of Technology and the University of Illinois- Urbana- Campaign has since followed suit with several initiatives (Baker, Nafukho, McCaleb, Becker, & Johnson, 2015).

The concept of MOOC was first introduced to the educational scene in 2008 by the University of Manitoba in Canada (Baker, Nafukho, McCaleb, Becker, & Johnson, 2015), and in 2011 by Sebastian Thrun and Peter Norvig from Stanford University (Abram, 2015). However, the works of Canadian scholars Stephen Downes and George Siemens brought MOOCs mainstream attention

(Abram, 2015; Hill, 2012), during a time when higher education began to experience a surge in technology (Baker, Nafukho, McCaleb, Becker, & Johnson, 2015). MOOCs provide a platform for largescale learning experiences online through centralized and decentralized systems (Abram, 2015). Learning Management Systems, blog sites, and social feeds are some of the methods used to facilitate learning through the use of MOOC platform (Abram, 2015).

The current state of MOOCs focuses on the "slope of enlightenment," a period of visionary anticipatory fulfillment of successful application in higher learning (Abram, 2015; Gartner, 2015). Furthermore, scholars are developing new theories of teaching and learning beyond pedagogy and andragogy; this new style is called heutagogy. The study of heutagogy is defined as the "study of self-determined learning" in which the learner is the owner of both the teaching and learning experience (Abram, 2015; Blaschke, 2012).

Types of MOOCs

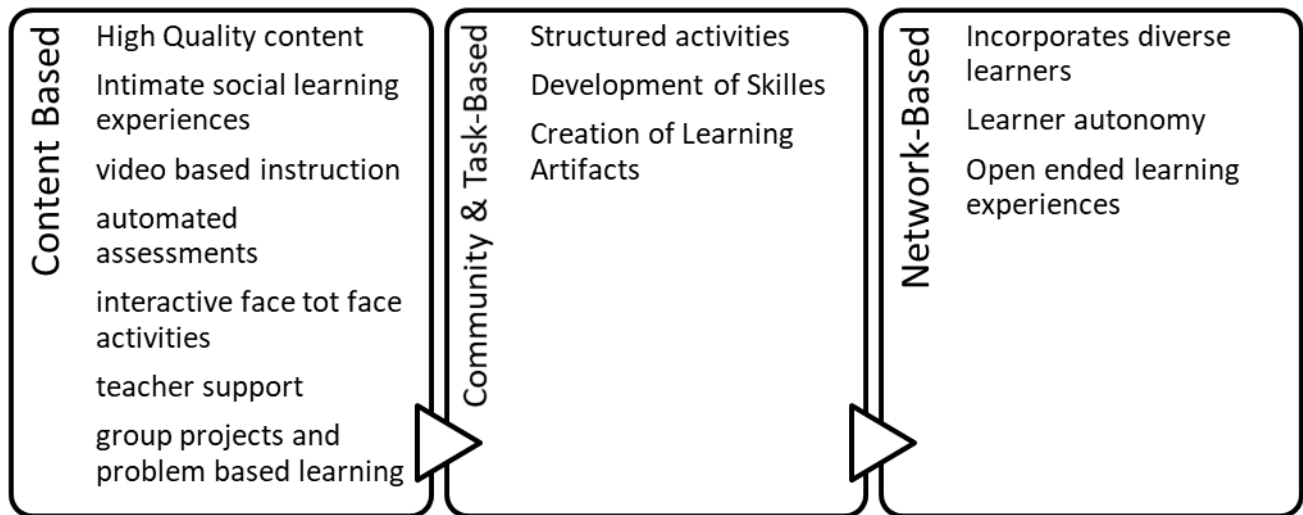
As the MOOC platform becomes more developed, different types of MOOCs are emerging; currently there are two types of MOOCs, (1) Connectivist MOOCs (cMOOCs), and (2) Professor Centered MOOCs (xMOOCs), though the work of other scholars suggests the possibility of different styles (see table 1) emerging with future applications (Abram, 2015; Beaven et al., 2014; Lane, 2012, Roberts et al., 2013). cMOOCs are network-based and were developed to meet the "demand-side economies of scale," in which the value comes from the increase of student engagement in the network (Abram, 2015). This openness and decentralization in the platform allow for more diversity in the student population and learning experience which is designed without the formality of the teacher/ student relationships that currently exist in pedagogy and andragogy (Abram, 2015).

The learning platform for cMOOCs can occur through video chats, and other online platforms such as blog sites, and social media accounts (Abram, 2015). This style of MOOCs is structured and focuses on the development of specific skills and competencies (Abram, 2015). Students have the flexibility to participate in as many classes as they would like (Abram, 2015) in a peer-to-peer facilitated learning environment (Baker, Nafukho, McCaleb, Becker, & Johnson, 2015), unlike the higher education arena. According to Gasevic, Kovanovic, Joksimovic, & Siemens, (2014), cMOOCs should be widely integrated into the learning experience instead of xMOOCs.

Contrary to the cMOOCs platform of courses occurring through blog sites and social media platforms, xMOOCs are content-based and are facilitated through providers such as edX, Coursera, Udacity (Abram, 2015), Class 2 Go, Coursesites, OpenMOOC Google Course Builder, NOVOEd,

Instructure Canvas, Udemy Khan Academy (Baker, Nafukho, McCaleb, Becker, & Johnson, 2015). These courses are professional and utilize short videos, quizzes, practice problems and summative testing (Abram, 2015) within its structure. The formality of the xMOOCs model exposes students to quality educational resources (Abram, 2015).

Table 1 – Emerging Types of MOOCs



(Source: Abram, 2015; Holotescu & Grosseck, 2014, Lane, 2012)

Benefits

The benefits of MOOC in higher learning can be seen in its potential to reach a broader scale of prospects with minimal cost to the student than any other educational platforms that are currently in place. The system supports the most extensive network of the diversity of people, thoughts, disciplines and learning styles (Abram, 2015). As of 2014, more than 400 universities were using the MOOC platform to engage with more than 17 million learners across the globe through more than 2,400 courses (Abram, 2015; Shah 2014) which suggest that MOOCs will be integrated successfully in higher education (Eichhorn & Matkin, 2016). These occurrences solidified Hew & Cheung (2014) definition of MOOCs as a potential means to the democratization of education and marketing of a university.

MOOCs also offer support for higher learning curriculum and development, scholarship activities, community engagement and outreach, and workforce training, and socialization (Abram, 2015). Also, MOOC provides benefits to both the learners and the institution. For the student, MOOC extends access to education to individuals from all backgrounds, flexibility in education, and

self-paced learning with no grade pressure, little to no cost (Baker, Nafukho, McCaleb, Becker, & Johnson, 2015) and open enrollment (Baggaley, 2013). Furthermore, students are only required to have a computer with access to the internet, (Baggaley, 2013).

For the institution, the benefits of MOOC can be seen in the marketing initiatives such as visibility of the institution and the faculty, which can translate to a pipeline for recruitment (Baker, Nafukho, McCaleb, Becker, & Johnson, 2015), thus leading to increased enrollment. According to Eichhorn & Matkin (2016), the impact of MOOCs was evident at the University of California, Irvine Campus. The campus community experienced an increase in website traffic, social media engagement and an increase in the number and quality of entering undergraduate and graduate students. Institutions will also be able to operate on a larger scale without the need to expand their physical campus. Supporters of MOOC has regarded its conception as a disruptive technology that will reinvent higher education (Baker, Nafukho, McCaleb, Becker, & Johnson, 2015).

Disadvantages

The advent of MOOCs is not without criticism. As early as 2013, critics in higher education brought to the forefront their concerns on the low completion rates, high startup costs, the systems failure to reach students from marginalized populations (Abram, 2015; Fischer, 2014; Hill, 2013; Selingo, 2014), and their regressive pedagogical principles (Abram, 2015; Guardia, Maina & Snagra, 2013; Hollands & Tirthali, 2014; Rodriguez, 2012; Stacey, 2014).

Some classes can have on average approximately 43,000 students (Baker, Nafukho, McCaleb, Becker, & Johnson, 2015) and scholars suggest that due to the size of the classrooms MOOCs does not support learner understanding (Mackness, Waite, Roberts & Lovegrove, 2013; Abram, 2015). Of these 43,000 students, only 6.5% of the population completes the course (Baker, Nafukho, McCaleb, Becker, & Johnson, 2015). Students can become a concern in the value of their education if the classes are offered for free via MOOC (Baggaley, 2013). It is noted that students felt overwhelmed by the massive amounts of responses in the discussion forums (Baggaley, 2013); Baggaley (2013) recorded those responses more than 1000 entries for a single forum. Other areas of concern include social engagement and applied practice which are all critical components of online learning (Abram, 2015). According to Xia (2015), the lack of faculty presence in the course delivery poses some challenges for the platform due to the lack of videos and discussion forums that are often used to bridge that gap between the student and the teacher in online learning.

In the same manner that MOOC as a disruptive technology can be beneficial to higher education, for those same reasons challenges can exist. A well-developed MOOC structure that offers certificate and degree programs to students can have a negative impact on the future of traditional learning (Baggaley, 2013). Hew & Cheung (2014) also notes that MOOC's as a disruptive technology can also negatively impact the quality of instruction in higher education.

Current Public Policy Issue(s)

The purpose of higher education used to be one for personal growth. However, today, higher education is meant as a means to improving your socioeconomic status (Kraft & Furlong 2015). The workforce is making it impossible for citizens to attain professional jobs with bachelor's degrees and in some disciplines, a master's degree is the minimum qualification. With the proliferation of the requirements for job attainment, we have also seen a surge in the cost of post-secondary education. This increase in higher education serves as a barrier to the success of students from marginalized populations. Also, students are leaving school with high amounts of debt (Kraft & Furlong 2015).

As it stands, MOOCs are highly regarded in politics because of its potential to cut cost in higher education (Baggaley, 2013). However, there are concerns about the impact of MOOCs on higher learning if institutions begin to offer certificates and degree programs. Some scholars argue that universities may end up as a third party between the MOOC providers and the students (Baggaley, 2013). Others suggest that the quality of education will decline if courses are credit-bearing since there is currently no means of identifying students for the course (Kent, 2013) or proctoring that occurs during the completion of formative and summative course assessments.

Lastly, stakeholders are concerned that the transferability of courses from university-to-university will be impacted if students participated in MOOC (Kent, 2013). Still, no government mandated policies exist (based) on the impact that MOOC will have on graduate education and to date, the focus of MOOCs are geared towards the undergraduate level of instruction (Burd, Smith, & Reisman, 2015).

Access to education continues to be of paramount importance to the citizens in the US. The rising cost of education makes it difficult for students from marginalized populations to attain a degree. In fact, first-generation students are less likely to pursue a graduate degree and are at a higher risk of dropping out of their graduate programs (DeClou, 2016). Also, if students started to earn credits through MOOC on a national platform would their degrees be seen as fitting the title

“diploma mill” product? To avoid this issue, some stakeholders (Council for Graduate Studies (CGS)) in higher education points to the idea of more online programs instead of integrating MOOC in graduate education (Kent, 2013). However, merely creating more online programs will not solve the problem of the increasing cost of post-secondary education.

Alternatives that have been proposed to resolve the issues presented

Burd, Smith, & Reisman (2015), make a compelling argument for the benefits of MOOC for students from marginalized populations. However, the researchers also argued that the current model for MOOC's does not have a financially sustainable model and introduces eight opportunities that can advance the conversation on the benefits of MOOCs. These characteristics are:

- linking students to employers,
- revenue opportunities by offering certificates,
- blended or replacement for face-to-face courses within the institution,
- revenue by attracting future students,
- increased awareness of an organization's brand, and
- create a niche
- must be willing to deal with the high attrition rates that are plaguing MOOC and
- define realistic and cost-effective procedures for guiding students

Zhan, Fong, Mei, Chang, Liang, & Ma, (2015) advise that the focus on developing curriculum in higher education should be on sustainability on a global platform. Such integration should include three major dimensions (1) economic, (2) social, and (3) environmental factors. Contrastingly, they imply that sustainability in higher education is poorly defined and such an aim would be difficult to reach.

In another study, the authors conducted exploratory research to delineate the emerging themes from the \$835,000 grant-funded initiative by the Bill & Melinda Gates Foundation which was directed by Athabasca University. The researchers characterized the five themes that emerged as (1) engagement and learning success, (2) MOOC design and curriculum, (3) self-regulated and social learning, (4) SNA and networked learning and (5) motivation, attitudes and success criteria (Gasevic, Kovanovic, Joksimovic, & Siemens, 2014). Additional research suggests that faculty members should cap classes at 25-30 as universities are currently doing for their online courses (Baker, Nafukho, McCaleb, Becker, & Johnson, 2015).

Recommendations for Possible Course of Action

MOOCs are providing new opportunities for higher education institutions to rethink their curriculum (Baker, Nafukho, McCaleb, Becker, & Johnson, 2015), which is why traditional universities in North America, Asia, Australia and Europe are offering MOOCs at their institutions (Baggaley, 2013). Despite the challenges that the platform currently faces one of the areas that administrators can approach with MOOC is the requirements that students are expected to meet to be accepted into a graduate program. Currently, there is a wave of conversations across the globe that is focused on the cost of higher education yet a student who has earned a bachelor's degree and has chosen to change their majors due to decline in the job market and lack of interest in the discipline is expected to enroll in additional undergraduate courses before they can be accepted into a program. In many cases, the student's completion of those courses does not serve as an indication that they will be accepted in the program, which is yet another reason that students should be afforded alternate means to completing the requirements for prerequisite courses.

Though limited research exists on the efficacy of MOOCs (Margaryan, Bianco, & Littlejohn, 2015), we know that online learning is a reliable platform for pedagogy. MOOCs can be useful for completing prerequisite courses by merely developing strategies that will address the current concerns of the integration of MOOC in higher education- furthermore; they are easier to launch than any other online platform of teaching and learning (Baggaley, 2013).

To create this blueprint for integrating MOOCs as a platform for students to complete prerequisite courses the program requirements for a public institution in the Midwest graduate school was used. The schools Graduate Accounting Programs is housed in their College of Business. The requirements for the Masters of Accountancy suggest that students who do not have an undergraduate accounting degree will need to complete seven prerequisite courses. These courses are:

- ACCT 3331 - Taxation
- ACCT 3323 - Intermediate Accounting 1
- ACCT 3324 - Intermediate Accounting 2
- ACCT 4425 - Intermediate Accounting 3
- ACCT 4403 - Accounting Information Systems
- ACCT 3341 - Managerial and Cost Accounting
- ACCT 4456 - Auditing Principles

For the prospective graduate student, these seven 3-credit courses packs on an additional \$10,512.00 for the nonresident student and \$6956.00 of tuition for the resident student, not including fees to their already steep graduate tuition fees of approximately 45,000 for the Nonresident student and \$17,000 for the Resident student (ref. Tables 2 & 3).

Table 2 – Undergraduate Tuition Fees for a Public University in the Midwest

Undergraduate Resident	
Full-Time (12 credits or more)	\$3,478.00 per semester
Part-Time at Full-Time rate (10 or 11 credits)	\$3,478.00 per semester
Part-Time (9 credits or less)	\$348.00 per credit
Undergraduate Non-Resident	
Full-Time (12 credits or more)	\$10,512.00 per semester
Part-Time (11 credits)	\$5,986.00 per semester
Part-Time (10 credits)	\$5,758.00 per semester
Part-time (9 credits or less)	\$576.00 per credit

Table 3 – Graduate Tuition Fees for a Public University in the Midwest

Graduate Resident	
Full-Time Tuition (9 credits or more)	\$3,478.00 per semester
Graduate Fee (9 credits or more)	\$773.00 per semester
Graduate Total Full-Time Tuition (9 credits or more)	\$4,251.00 per semester
Part-time (8 credits or less)	\$426.00 per credit
Graduate Non-Resident	
Full-Time (9 credits or more)	\$3,478.00 per semester
Non-Resident Fees Full-Time (9 credits or more)	\$7,034.00 per semester
Graduate Fee (9 credits or more)	\$779.50 per credit
Non-Resident Graduate Total Full-Time Fees (9 credits or more)	\$11,291.50 per semester
Part-time (8 credits or less)	\$655.00 per credit

Institutions can provide provisional acceptance to graduate students that need to complete prerequisite courses pending their completion of MOOC courses offered at their institution. This concept will not only make graduate education accessible to students on a larger scale, but it will

allow the university to use the MOOC platform as a pipeline program. This program can then be used to attract students that are interested in changing disciplines from the baccalaureate studies, in addition to minimizing cost to the students. Universities can also charge student (online) fees per class to make the program sustainable.

The MOOCs that prospective graduate students can register for at the institution needs to be similar to those courses that would be available in the traditional classroom. Developing equivalency of those courses are an essential step in the process because prospective students need to feel confident that the classes their institution is offering via MOOC are regarded as quality classes that will provide them with a framework that will support their graduate academic trajectory. Contrastingly, students in the undergraduate accounting program or other students in the College of Business that may need to take some of the accounting course may want the opportunity to take MOOCs in their discipline. To address this issue institutions can create a policy that states that students can only take X number of classes via their MOOC platform thus limiting the amount of MOOC classes that will count towards their degree program.

Though the MOOC platform is not without challenges, and some skeptics feel that it affects the integrity of the traditional classroom (Xia, 2015), the concept is invigorating and can positively transform higher education. Currently, the classes are open and accessible to any student regardless of their academic background (Xia, 2015). This new teaching and learning tool has the potential to make graduate education available to individuals on a much larger scale by eliminating the excess cost associated in completing prerequisite courses for those students that have already earned a baccalaureate degree.

MOOC completion is dependent on the students' motivation and the engagement of the instructor (Xia, 2015), to accomplish this tasks the use of xMOOCs can be implemented by using smaller class sizes to ensure that the teacher/ student engagement is a viable part of the learning process. To this end, significant stakeholders such as government officials, the Council for Graduate Schools (CGS) and other governing and accrediting bodies in higher education will need to address the transferability of MOOCs from institution to institution, the impact MOOCs will have on the accreditation of a program and how students will be identified to ensure academic integrity.

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STAFF DIVERSITY AT UC BERKELEY: AN ANALYSIS OF STAFF OF COLOR REPRESENTATION

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The ethnic and racial diversity of our university student bodies has grown over the last several decades, and increasingly mirrors the diversity of their surrounding communities (U.S. Department of Education National Center for Education Statistics, 2013a). As university student bodies have diversified, higher education professionals and scholars have researched and assessed the status and benefits of racial and ethnic diversity among students and faculty at universities. These efforts are based on the theory that having a racially and ethnically diverse community in higher education is beneficial to both white people and communities of color (Chang, 1996; Evans, 2007; Herrera, Duncan, Ree, & Williams, 2013; Phillips, 2014). There are many programs at universities invested in recruiting and retaining underrepresented faculty of color to allow for diverse classroom experiences for students of all identities (Flaherty, 2015; Regents of the University of California, 2015; University of Pennsylvania, 2011; University of Washington, 2015). These programs recognize that a diverse faculty pool, particularly one that is representative of the local and student communities, adds to the richness of the curricular experience for all students.

Analyses of faculty of color and women faculty representation numbers have given universities information to better intentionally and equitably recruit diverse faculty candidate pools. However, in contrast to efforts towards increasing student and faculty diversity, there has been less emphasis on researching the representation statistics of staff of color at our college and university campuses. This gap in the literature is striking because studies also suggest that staff of color are important to student outcomes (Jones, Castellanos, & Cole, 2002; Karunanayake & Nauta, 2004; Rapp, 1997; Turrentine & Conley, 2001). Similar representation analyses of staff of color would give universities information to better understand whether there is a need to launch comparable

initiatives for staff. Without further research on staff of color representation, the career success of staff of color, the benefits to having a diverse workforce, and the increased value of staff of color to the retention of students of color are at stake. Such an analysis of staff of color is a contribution of this study.

A focus on staff is important because of the influence that staff have on students' college experiences. The university experience for students is a combination of both curricular (in-the-classroom) and extracurricular (outside-the-classroom) experiences. Faculty members primarily deliver the curricular experiences. Non-academic staff manage and facilitate all the other extracurricular experiences, including admissions, registration, academic advising, student government and clubs, healthcare, residential life, financial aid advising, etc. Universities aim to invest in offering the richest experiences both inside and outside of the classroom, especially since a balance of both influences college student development and experience (Astin, 1977, 1984).

Similar to faculty department chairs, deans, and provosts, non-academic senior administrative staff also play an important role on campus not just in their capacity in guiding university decisions, but also as visible leaders and role models on the campus for students to look towards. Chief finance, business, student affairs, diversity, information, and healthcare officers, chiefs of staff, and program directors on campus are examples of such staff leaders. Having a diverse staff leadership (by race, gender identity, sexual orientation, ability status, etc.) is relevant in particular to students, but also for other staff and faculty to see as they progress as professionals. This study therefore looks at representation of staff of color by job classification to understand whether staff of color are obtaining senior administrative leadership positions on campus.

An example of a large university set in a diverse community and with a diverse student population, and the focus of this study, is the University of California, Berkeley (UC Berkeley). This study reviews and analyzes human resources data in order to understand the trends in representation, focusing on the representation percentages of staff at UC Berkeley by race. It looks at UC Berkeley staff representation percentages by race when divided up by various job classification levels, from front line service and support positions (such as administrative assistants, facilities staff, ground keepers, student affairs professionals, business analysts, financial aid advisors, and IT analysts) to managers and senior administrators (such as vice chancellors, chief staff, finance, budget, and IT officers, and program executive directors). This is important because aggregate staff demographics may mask differences in the staff mix across the hierarchy of positions. The study results suggest that in UC Berkeley's case, additional measures may be needed to make sure that

staff of color are represented at the highest level, and the study provides a template for other universities that want to determine whether they have gaps that should be addressed as well.

Literature Review

The theory of action behind arguing for a more diverse workforce relies on the argument that (1) diverse workforces are more productive and benefit employees of all races, and that (2) special attention on maintaining diverse workforces is required because of the historic barriers and glass ceilings for employment of professionals of particular underrepresented identities (ie. by race, gender identity, sexual orientation, etc.). This literature review provides the context for this study on staff of color at UC Berkeley by reviewing relevant theory and prior research.

With the growing diversity of universities, there is a national trend of misalignment of proportions between staff by race across the range of job classifications. According to U.S. Department of Education statistics, as of 2013, 71% of all public university fulltime staff were white. That number jumps to 78% when looking at the top executive, administrative, and managerial positions within public universities (U.S. Department of Education National Center for Education Statistics, 2013b). See Table 1 for the total U.S. population compared to total staff vs. management staff (top 10% staff by classification) by race/ethnicities at U.S. public universities (4-years or above) (U.S. Department of Commerce, 2015; U.S. Department of Education National Center for Education Statistics, Author's calculation from IPDS data, 2013b).

Based on 2013 Census data, 63% of the U.S. population is white, 13% black, 6% Asian American and Pacific Islander, and 17% Chicana/Latino (U.S. Department of Commerce, 2015). Of course when thinking about university staff and students, these numbers might be more relevant when compared to the racial and ethnic diversity of the student and local communities of each public university. Not all universities are situated in racially diverse communities or have racially diverse student bodies. That does not mean that increasing diversity is not a valuable endeavor for such organizations, and my literature review covers research on this topic. However, there is particular importance to considering racial and ethnic representation of staff when the student bodies at a university are ethnically and racially diverse. There is particular benefit for a diverse student body to see a diverse staff with equitable representation at all levels of staff on campus, from student affairs professionals to the most senior administrators.

Impact of Diversity in Organizations and the Workplace

Past research finds both benefits to and challenges from having diverse workforces in terms of organizational strength (Allport, 1954; Apfelbaum, Phillips, & Richeson, 2014; Phillips, Liljenquist, & Neale, 2009; Sommers, 2006; van Knippenberg & Schippers, 2006). Such research brings to attention

Table 1 – 2013 U.S. Public University Full Time Staff
by Race Compared to U.S. Population

Variable	Total U.S. Population	All Full Time Staff	Management Full Time Staff
American Indian or Alaska Native	1.2%	0.6%	0.5%
Asian	5.3%	7.3%	3.7%
Black or African American	13.2%	10.7%	10.4%
Hispanic or Latino	17.1%	7.0%	5.2%
Native Hawaiian or Other Pacific Islander	0.2%	0.2%	0.1%
White	62.6%	70.8%	77.6%
Two or more races	2.4%	0.8%	0.7%
Race/ethnicity unknown	N/A	2.5%	1.8%

Source: Author's calculation from IPEDS data.

the making, creativity, productivity, etc. and relates to the value of diversity at the university or organizational level (van Knippenberg & Schippers, 2006). In a few studies, researchers have shown that the presence of demographic diversity (race, ethnicity, age, gender, etc.) lowered group cooperation and comfort, increased employee turnover, or decreased performance and group relationships (Chatman & Flynn, 2001; O'Reilly III, Caldwell, & Barnett, 1989; Wagner, Pfeffer, & O'Reilly III, 1984). On the other hand, some of these “drawbacks” such as reduced comfort can also be interpreted as ultimately promoting more positive group outcomes.

In the last ten years, several researchers have taken a more relational view on the impact of diversity and shown how small groups of people with different racial identities were able to solve problems with greater success because of the existence (and mere anticipation) of more dissent and varying perspectives, leading to more complex thinking and even fewer errors in problem solving (Antonio et al., 2004; Phillips, Northcraft, & Neale, 2006; Sommers, 2006). People tend to expect agreement with people similar to them, and in contrast anticipate differing views with people

different from them. And that simple framing changes the way people approach situations; there is an expectation that consensus may take longer, but there is also the result of more views being considered and a more thoroughly thought-out decision (Phillips, 2014).

Research has increasingly shown positive impacts of the existence of diversity in gender and race in large corporations, including correlation to potential millions of dollars in increased profit (Dezső & Ross, 2012; Richard, 2000). Several researchers have studied the value of having a racially diverse workforce and the experiences of workers of color (Chang, 1996; Herrera et al., 2013; Jackson, 2009; Tavakoli, 2015). Research has shown that the existence of diversity can have great impacts including increases in innovation within business (Steele & Derven, 2015), as well as organizational benefits such as increased employee productivity and creativity (Phillips, 2014). Others have researched the growing diversity of the U.S. workforce, particularly in terms of gender and racial diversity, and the importance of organizations to take an active role in understanding the impact of such diversity in relation to good leadership (Herrera et al., 2013). Their research shows the value of racial and gender diversity in the workforce in terms of workplace conflict resolution, and encourages organizations to promote a work environment that celebrates diversity and fosters a culture of inclusion. They emphasize that a culture of inclusion is not just about recruiting a certain quota of people with underrepresented identities, but about having leadership that is invested in filling an organization with people who are from various multiple identities and ways of thinking, and supporting them all to perform to their highest potential. Tavakoli (2015) similarly links diversity to workforce performance, arguing that it promotes an increased comfort with risk, encourages people to push boundaries, allows for an openness to different ideas, and therefore increases creativity. He also connects workforce diversity to an increase in employee engagement. Tavakoli argues that a work environment with high employee engagement would elicit the fullest benefits that workforce diversity can bring, which in turn continues to attract a diverse, talented, and creative candidate pool (Tavakoli, 2015).

Impact of Diverse Staff on Students in the University Setting

Many researchers have studied the experience of students of color at predominantly white universities and reported the importance of having mentors and role models on their campuses, particularly among the faculty and staff ranks (Jones et al., 2002; Karunanayake & Nauta, 2004; Rapp, 1997). Research focused on the need for more staff of color in student affairs has shown the impact of staff of color on the overall campus climate and retention of underrepresented students of color (Rapp, 1997; Turrentine & Conley, 2001).

Researchers have also looked at the relationship between the race and gender of college students and their career role models in particular (Karunanayake & Nauta, 2004; Madsen, 2012; Nickels & Kowalski-Braun, 2012). Their research revealed that the lack of career role models for students of color in certain professions could serve as a barrier to career development. Research on the impact of women in leadership and their mentorship of new professionals helps support this argument (Madsen, 2012; Nickels & Kowalski-Braun, 2012). They discuss the importance of seeing women in leadership as more than a numbers game. Like leaders of color, the goal is not to simply increase the numbers of women in leadership, but to see the inherent value of women leaders and their unique experiences to individuals of all gender identities. And they acknowledge the powerful impact that such women leaders have as mentors to younger women professionals. Niara, a mentoring program for women of color in universities shows positive impacts for both staff mentors and student mentees (Nickels & Kowalski-Braun, 2012). While race and gender identity experiences differ, the concept of similar identity mentorship in relation to college student success is worth considering. Although research does not suggest students of color should limit their role models to professionals of color, it does point to the potential value and motivation for college students to seek out role models who have the same race or ethnicity (Karunanayake & Nauta, 2004; Madsen, 2012; Nickels & Kowalski-Braun, 2012). Students may feel like they can relate more to a role model of the same race or ethnicity. They may also seek them out to better understand how to navigate a career path like theirs as a member of the same race or ethnicity. It is important to have a diversity of staff at all levels and departments in a university with a diverse population so that students can find mentors of various races and ethnicities (Karunanayake & Nauta, 2004).

Relevance of Diversity at the Most Senior Leadership Positions and Glass Ceilings

This research relates to the value and benefits of a diverse workforce throughout the hierarchy, and in particular, the importance of this study's analysis of staff of color representation in senior leadership positions where there is most visibility and influence. The term glass ceiling gained popularity in the mid 1990s, around the time when Carleton Fiorina became the CEO of Hewlett-Packard and the first woman to be named a Fortune 500 chief executive officer (Cotter, Hermsen, Ovadia, & Vanneman, 2001). The conversations and speculations on workplace disparities (salary, progression, etc.) for women and racial minorities, particularly at the highest levels of company leadership, led the U.S. Department of Labor to launch a Federal Glass Ceiling Commission in 1991. The Federal Glass Ceiling Commission offered a clear definition of a glass ceiling in the workplace

and also offered recommendations for addressing this effect (Federal Glass Ceiling Commission., 1995). According to this commission, a glass ceiling is defined as the following:

The “glass ceiling” is a concept that betrays America’s most cherished principles. It is the unseen, yet unbreachable barrier that keeps minorities and women from rising to the upper rungs of the corporate ladder, regardless of their qualifications or achievements (Federal Glass Ceiling Commission., 1995).

Grounded in many of the same values of diversity reviewed above, the Commission set out to offer recommendations to improve the glass ceiling effect. And although the Federal Glass Ceiling Commission focused on the corporate sector, their recommendations transfer to the public sector, including the importance of public support for diversity from senior leaders, incorporating gender and racial diversity at all levels of an organization, and making particular efforts to support the career advancement of women and racial minorities (Federal Glass Ceiling Commission., 1995).

Varying definitions of glass ceiling have evolved since. Cotter et al. further developed the definition and parameters of a glass ceiling effect based on four minimum criteria, including that a glass ceiling inequality exists if (1) a difference cannot be explained by job-related characteristics (experience level, education, performance, etc.), (2) a difference in achievement of women or racial minorities increases at the highest levels based on their proportional representation at lower levels, (3) the mere chance of a woman or minority reaching beyond a certain level of position is reduced compared to their male or white counterparts, and (4) inequality increases over the course of the careers of women or minorities, even despite any earlier advances (Cotter et al., 2001). Other researchers have studied particular aspects of the glass ceiling effect, including discrepancies of women and people of color’s salary increases, position level achievement, and promotion frequency (Maume, 1999; Schreiber, Price, & Morrison, 1993). Additional research has been done on the glass ceiling effect among particular ethnicities. For instance, research on Asian Americans reveals the particular realities of how the glass ceiling, also known as the “bamboo ceiling” within the Asian American community, impacts this community despite increases in rates of educational attainment (Li, 2014; Takei & Sakamoto, 2008; Woo, 2000).

Conclusion

When considering the value of staff of color at universities, it is relevant to start by understanding the value that diversity in general brings to an organization. Having a racially and ethnically diverse workforce results in increased productivity and creativity, especially when there is a work environment that not only includes a diverse workforce, but also has leadership that values

such diversity. In addition, the recruitment and development of staff of color is especially important because of their mentorship of and retention influence on students of color. Understanding the research on the glass ceiling effect is relevant as we analyze the human resources data of staff of color representation at UC Berkeley and consider the level of diversity at the most influential and senior positions.

The Two Research Questions

1. Recognizing the value of a diverse staff at all levels, how does the proportion of all UC Berkeley staff from a particular racial/ethnic group (i.e. African American staff) compare to their proportion in each job classification?
2. Recognizing the importance of representation at the most senior and influential leadership positions, does the proportion of UC Berkeley staff from particular racial/ethnic groups (i.e. African American staff) diminish or increase at a statistically significant level (at a p-value of < 0.05) at certain job classification (i.e. Supervisory and Managerial levels, Professional levels, and Operations & Technical levels), revealing a glass ceiling?

Setting, Data, and Methodology

Setting

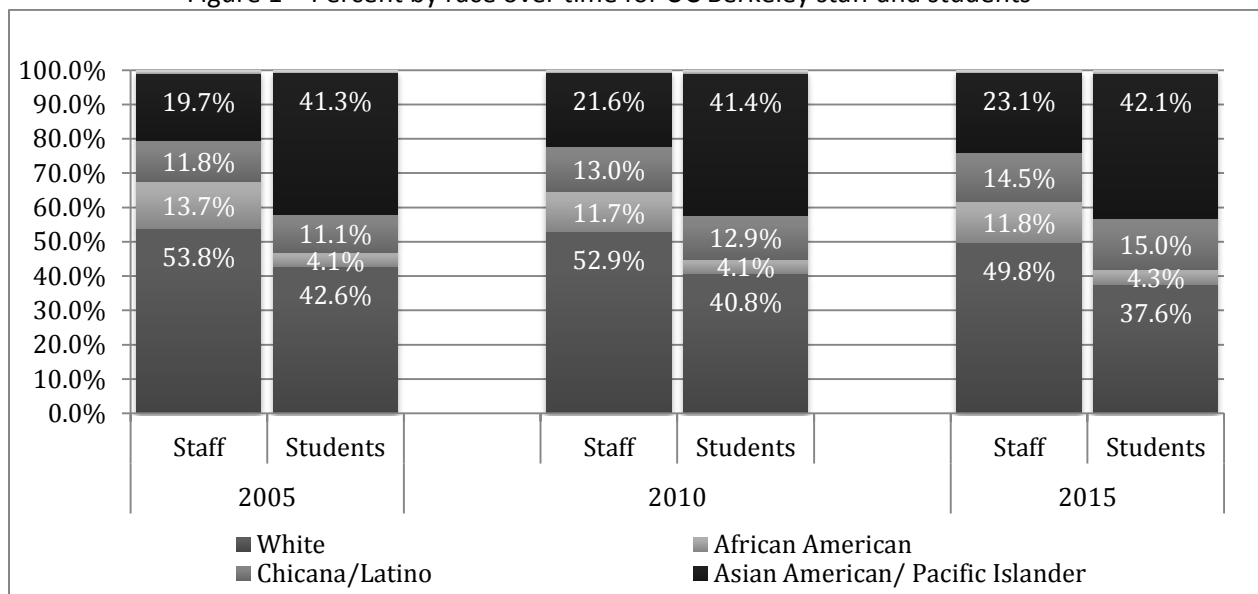
UC Berkeley is a large, multi-layered, and bureaucratic community, and excellence is embedded throughout its structure and culture. UC Berkeley is known for its academic and research prestige, often ranked among the top public universities in the nation and world (University of California Berkeley, 2014b). The campus community includes about 37,000 students, 1,500 full-time faculty, and 6,300 full-time non-academic staff (University of California Berkeley, 2016). Below the Office of the Chancellor, the campus is organizationally structured under various senior leadership members, most of whom are Vice Chancellors or Vice Provosts (University of California Berkeley, 2014a).

City of Berkeley residents come from various racial and ethnic backgrounds. According to the 2010 Census data on the city of Berkeley, about 60% identify as White, 10% as Black or African American, 20% as Asian American or Pacific Islander, and 11% as Latino American (U.S. Census Bureau, 2015). The campus recruits most of its workforce from the broader San Francisco

Metropolitan Statistical Area (referred in this dissertation also as the “Bay Area”), which includes the five counties of Alameda County, Contra Costa County, San Francisco County, San Mateo County, and Marin County (United States Census, 2013). Bay Area demographics are similar to the city of Berkeley, but include slightly higher percentages of people of color. Although many senior level administrators at UC Berkeley are from California, they are also often recruited from a broader candidate pool that spans the nation and globe.

UC Berkeley also has an increasingly racially diverse student body (see Figure 1) (Kwon, 2016). For the purposes of this study, UC Berkeley is a good case because of its setting in a large metropolitan area, and racial and ethnically diverse local community, and student body.

Figure 1 – Percent by race over time for UC Berkeley staff and students



Data Sources and Sample

Beginning in 2009, UC Berkeley (along with the other campuses in the University of California system) streamlined their job classifications making possible consistent and granular analysis (Before 2009 the job classifications and descriptions were not always consistent across departments). The main analysis uses data from 2015. However, I also check historical trends in demographics in job composition by running the same analyses using data from 2009 and 2012. Human resources data used includes all non-academic staff who fall under the categories called “career” or “partial career.” Most are full-time employees, although there are some part-time

employees included. All career and partial career staff are permanent staff (not on term-limited contracts or temporary employees).

Variables/Measures

The main measures used classify staff according to race and ethnic categories. UC Berkeley race classifications for human resources are White, African American, Chicano/Latino, Native American/Alaska Native, Asian, and Pacific Islander (University of California Berkeley, 2015). These race classifications were used in this study, with Asian and Pacific Islander collapsed into one category of Asian American and Pacific Islander.

UC Berkeley human resources data divides staff based on twelve job classification levels in the listed three categories shown in Table 2 (Operations & Technical, Professional, and Supervisory & Managerial). In general, Level 1 refers to the most entry level or initial level within that category, with

Table 1 – Twelve main job classification levels at UC Berkeley

Category	Classification Level	Example of positions
Operations & Technical	Level 1	Grounds keeping, facilities, food service, trades staff. Level 1 is entry level, Level 3 is more advanced and experienced.
	Level 2	
	Level 3	
Professional	Level 1	Student affairs, academic advising, nurses, office managers, project managers, business managers, financial analyst, IT staff. Level 1 is entry level, Level 5 is most advanced and experienced.
	Level 2	
	Level 3	
	Level 4	
	Level 5	
Supervisory & Managerial	Level 1	Supervisors of above two categories, department administrators, senior administrators (assistant, associate, vice chancellors). Level 1 is first level supervisors and administrators, Level 5 is most senior level.
	Level 2	
	Level 3	
	Level 4	

increasing level numbers representing an elevation in salary range, responsibility, experience, and expertise.

Each position at UC Berkeley comes with an assigned salary range. Salaries are unique to each staff member and they can overlap across the above levels. However, generally speaking, staff in the Operations & Technical positions have lower salaries than those staff in the Professional positions, and staff in the Professional positions have lower salaries than those staff in the Supervisory & Managerial positions (UC Regents, 2016). Both the highest classification levels of Operations &

Technical and Professional positions progress into Supervisory & Managerial level positions. For instance, the next level up in classification for an Operations & Technical Level 3 staff person is Supervisory & Managerial Level 1. Similarly, the next level up in classification for a Professional Level 5 staff person is also Supervisory & Managerial Level 1. This data does not tell us whether Operations & Technical Level 3 staff or Professional Level 5 staff transition more successfully into Supervisory & Managerial positions. However, based on conversations with UC Berkeley managers and the fact that Professional Level staff make up a higher percentage of all staff compared to Operations & Technical Level staff (54% vs. 37% in 2015), it is likely that more Professional Level staff transition into Supervisory & Managerial positions compared to Operations & Technical Level staff. However, I will test both Operations and Technical Level 3 and Professional Level 5 as potential launching points into a Managerial Level 1 classification.

For the purposes of this analysis, data on Professional Level 1 and Supervisory & Management Level 4 staff members are included as part of the total staff numbers, but not reviewed by job classification level. This is because the total number of UC Berkeley staff in these two job classification levels is very small ($n < 20$) and therefore could prevent anonymity.

Methodology

To address the first research question (whether the proportion of staff from a particular racial group differs by job classification), I used a t-test of percentages of staff by each job classification vs. total staff by race to test the difference in percentages at the statistical level of significance of 0.05. I used one-sample t-tests, with the comparison group being the total proportion of that race in the staff as a whole.

A p-value of < 0.05 would suggest significant underrepresentation or overrepresentation for each job classification relative to the total staff percentages by race. UC Berkeley human resources data allowed me separate the data into twelve job classifications within three major groups (Operations & Technical, Professional, and Supervisory & Managerial) to analyze the differences of staff or color representation based on job level (reference again Table 2). For example, in 2015 there were 903 Chicana/Latino staff at UC Berkeley, representing about 14.4% of staff. However, only nine Chicana/Latino staff members were in the Supervisory & Managerial Level 2 positions, representing about 7.1% of all Supervisory & Managerial Level 2 staff. In 2015, there was a total of 6,281 UC Berkeley staff, with 126 at the Supervisory & Managerial Level 2 classification, representing 2.0% of the overall staff. The difference in Chicano/Latino staff representation at Level 2 staff (7.1%) is significantly different than their representation in the overall staff (14.4%), at a p-value of 0.02.

I used two-sample t-tests to address the second research question regarding whether representation of staff by race increases or decreases at a particular job classification, especially at the highest classifications. This two-sample t-test used the percentage of one job classification and that of the next progressively higher job classification by race to test the differences in percentages between adjacent job classifications at the statistical level of significance of 0.05 (reference again Table 2). This allowed me to see if there was a point among the job classifications where there appeared to be a particularly significant difference (drop or increase) between certain classifications for each race group. Such a difference could signal a glass ceiling effect at a particular job classification level. For instance, in 2015, out of the 1710 staff across all races in Professional Level 3 positions, about 9.4% were African American. Out of the 1021 staff across all races in Professional Level 4 positions, about 7.1% were African American. The differences between the proportions of African American staff at Professional Level 3 (9.4%) and Professional Level 4 (7.1%) were significant at $p = 0.0393$.

My hope was to see the representation numbers of staff of color by each major racial group in relation to each of the job classifications, from the lowest to the highest classifications. I wanted to see if there were differences in representation percentages by particular racial groups, and possibly varying “glass ceilings” of advancement for specific communities of color.

As reviewed in my literature review, there are varying definitions of glass ceiling. Cotter et al. stated that a glass ceiling inequality exists if the following phenomena are met:

1. There is a difference in achievement of women or racial minorities that cannot be explained by job-related characteristics (experience level, education, performance, etc.);
2. There is a difference in achievement of women or racial minorities that increases at the highest levels based on their proportional representation at lower levels, and represents a boundary or “ceiling” at a certain level of salary range, position seniority, etc.;
3. The mere chance of a woman or minority reaching beyond a particular level is reduced compared to their male or white counterparts at the same level; and
4. The inequality increases over the course of the careers of women or minorities, even despite any earlier advances (Cotter et al., 2001).

For my analysis, I will be using criteria similar to numbers two and three above to assess the existence of a glass ceiling. I identify the existence of a glass ceiling based on whether my analysis reveals (1) inequities in representation of staff of color at increasingly higher job classifications in relation to their total staff proportions, and (2) the proportion of staff of color representation

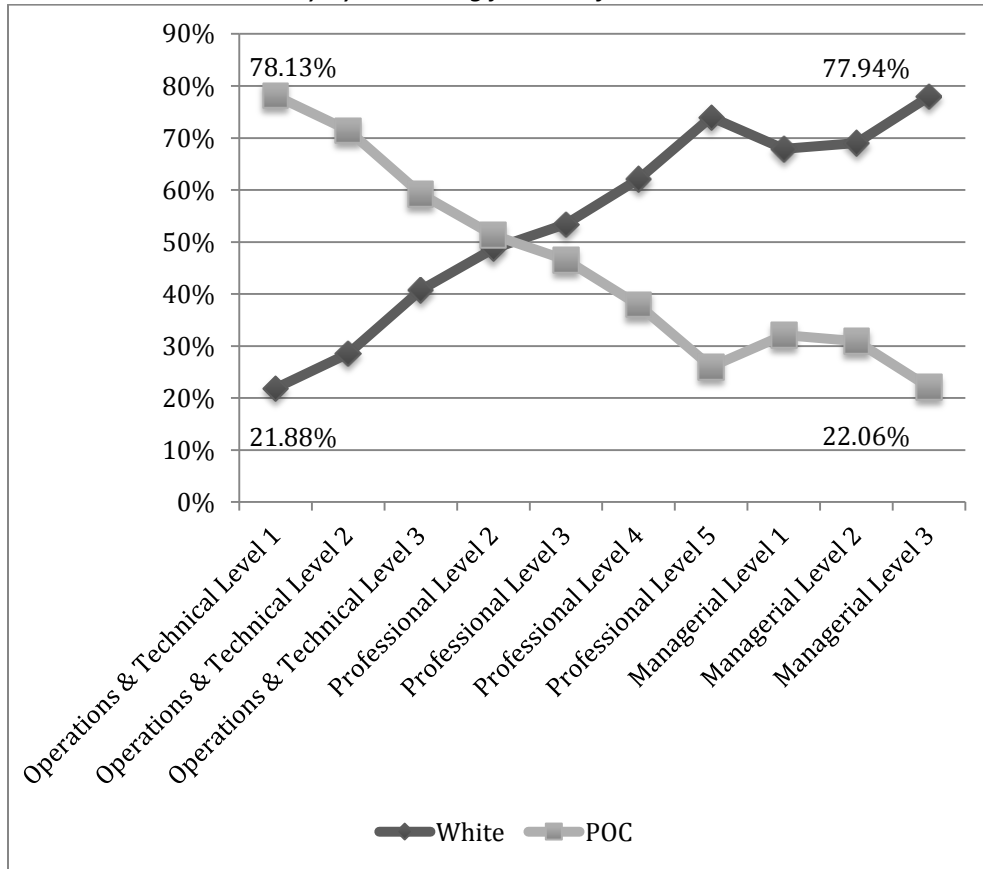
reduces at a significant level ($p\text{-value} < 0.05$) at a particular job classification. The analysis will not be able to isolate the unique individual motivations of staff in particular job classifications outside of job qualifications (personal choice and interest, promotion opportunities, etc.), but it gives a picture of what the representation of staff of color numbers look like. If the data reveals any inequities or glass ceilings, it can serve as solid arguments for university leadership to research further the reasons for and implications of those numbers, including possible adjustments to recruitment practices and policies and professional/leadership development programs.

Data Analysis and Findings

A visual analysis of the trend across the occupational spectrum suggests that the representation of white staff grows the higher up the hierarchy you look (Figure 2). In 2015, white staff represented about 22% of the Operations & Technical Level 1 positions, compared to about 50% of all staff. The percent representation of white staff increases as the job classification level increases, with statistically significant levels of overrepresentation relative to the average representation of whites across all staff levels starting at the Professional Level 3 classification ($p\text{-values} < 0.05$). As job classification levels increase in rank, so do the percent representation of white staff. In 2015, white staff represented about 78% of Supervisory & Managerial Level 3 positions, compared to about 50% of all staff. This overrepresentation trend exists in all three years measured; similar trends exist for 2009 and 2012 (see Appendix B) (Kwon, 2016).

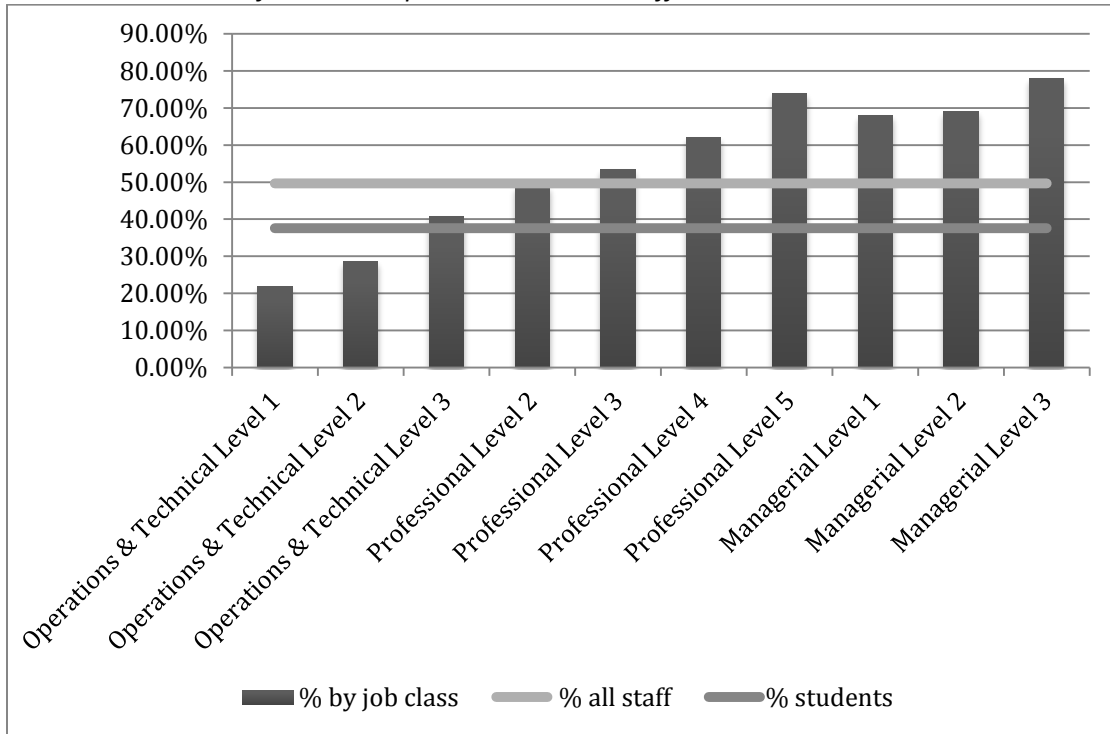
In contrast then, the exact opposite trend exists for all three years measured for staff of color groups (which combines African American, Chicana/Latino, Asian American and Pacific Islander, and Native American staff). Figure 2 shows that staff of color groups in 2015 are significantly overrepresented in comparison to their total staff percentages in the lowest job classifications of Operational & Technical Levels 1, 2, and 3 ($p\text{-value} < 0.001$), and most overrepresented at Level 1. In 2015, staff of color represented about 78% of Operations & Technical Level 1 positions, compared to about 50% of all staff. As the job classifications increase in rank, staff of color become increasingly underrepresented, and at statistically significant levels starting with Professional Level 3 ($p\text{-value} < 0.05$). In 2015, staff of color represented about 22% of staff at the Supervisory & Managerial Level 3 positions, compared to about 50% of all staff. Figure 2 reveals the visually contrasting trends of white staff vs. staff of color from the lowest to highest job classifications in 2015. This trend remains consistent for all three years reviewed (see Appendix B).

Figure 2 – Percent of white staff and staff of color at UC Berkeley by increasing job classification in 2015



Compared to their staff of color counterparts, white staff are underrepresented at the lowest job classifications and overrepresented in percentage at the highest job classifications relative to all white staff (Figure 3). Professional Level 2 and 3 positions is the point between which the representation shifts from underrepresentation to overrepresentation compared to the total percentage of white staff. When looking at the difference in percentages of white staff in one job classification level to the next, there are statistical differences between several of the progressively higher job classifications at a p-value of < 0.05 . There are significantly higher concentrations of white staff in each successive level within the Professional Level categories, and significantly higher proportions of white staff at Operations & Technical Level 3 vs. Operations & Technical Level 2, Professional Level 3 vs. Professional Level 2, Professional Level 4 vs. Professional Level 3, and Professional Level 5 vs. Professional Level 4. This reveals that not only are white staff percentages increasing at every progressively higher job classification, but also that many of those differences in proportions between job classifications are statistically significant (reference Appendix C).

Figure 3 – Percent white staff at UC Berkeley by increasing job classification compared to all white staff and students in 2015



It is worth noting that the difference in proportions between white staff at the highest job classifications in the Supervisory & Managerial Levels in comparison to all white staff is decreasing over time. However, the over-representation of white staff in Supervisory and Managerial jobs compared to their representation in the staff as a whole still remains at a statistically significant level, with p-values well under 0.001 for all years measured (see Appendix B).

The representation data by progressive job classification are very different for all staff of color groups compared to white staff. African American staff are overrepresented compared to all staff at the Operations & Technical Levels at a statistically significant level (p-value < 0.05). In fact, their representation in those lowest job classification levels is increasing over time even though their overall percentage of UC Berkeley staff is fairly stable at around 11 and 12%. In 2009, African American staff represented about 18% of Operations & Technical Level 1 positions (see Appendix B). By 2015, African American staff represented over 22% of Operations & Technical Level 1 positions. Professional Level 2 is the point where African American staff are closely representative of their total percentage of staff. After that classification, African Americans are underrepresented in each job classification compared to the total percentage of African American staff. In 2015, African American staff in Professional Level 3, 4, and 5, and Supervisory & Managerial Level 1 remain

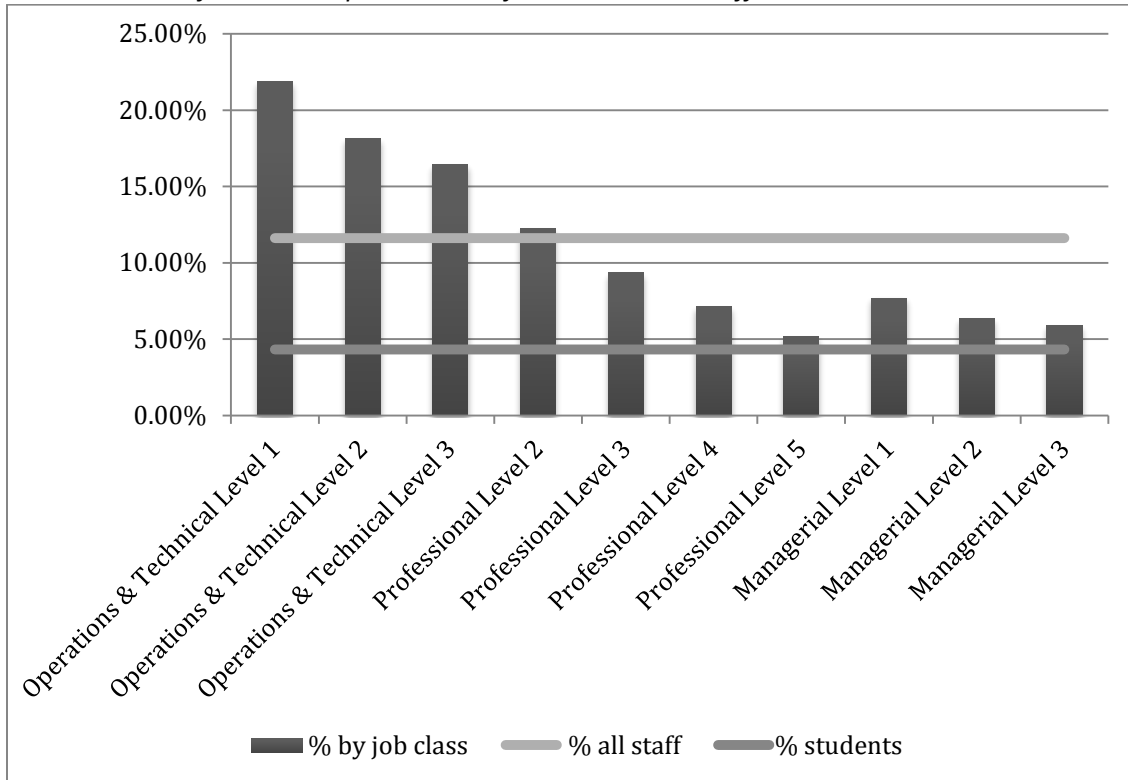
consistently underrepresented compared to all African American staff at a statistically significant level with p-values under 0.05. There is, however, some upward movement over time in representation at Professional Levels 2 through 5. And although representation at the Supervisory & Managerial Levels remains low and inconsistent in terms of a trend, African American staff appear to be increasingly reaching some Managerial Level positions. For instance, African American staff made up 3.5% of Supervisory & Managerial Level 2 positions in 2005, and 6.4% in 2015 (see Appendix B). Theoretically, the Professional Level 4 and 5 staff would be reasonable internal candidates for the Supervisory & Managerial Levels. There is an upward trend in percentage of African American staff in Professional Level 4 and 5 positions.

In 2015, the differences in percentages of African American staff between each increasing job classification are statistically significant from Professional Level 2 to 3 positions and Professional Level 3 to 4 positions ($p\text{-value} < 0.05$). The difference is also significant between the percentage of African Americans in Operations & Technical Level 3 positions (the highest classification for the Operations & Technical Level) and Supervisory & Managerial Level 1 positions (reference Appendix C). It is difficult to determine whether there is a clear glass ceiling at a specific, discrete location for African American staff as there is no one specific job classification at which point there is a drop in representation. It is clear, however, that the representation of African American staff declines steadily at progressively increasing job classifications. One exception to this trend is that African-Americans are better represented among Supervisory & Managerial Level 1 positions than among Professional Level 5 positions. Figure 4 shows 2015 representation of African American staff by job classification compared to all African American staff and students.

Chicana/Latino staff show a similar trend over time as their African American counterparts, with overrepresentation compared to all staff at the lowest Operations & Technical Level positions at statistically significant levels ($p\text{-values} < 0.05$). Similar to African American staff, the Professional Level 2 position is the level when representation is most similar to their overall staff percentage. Chicana/Latino staff representation has increased at Professional Level 2, being underrepresented at statistically significant levels in 2009 and 2012 to fairly representative by 2015 (see Appendix B). There appears to be upward mobility for Chicana/Latino staff in obtaining Professional Level positions. Like other staff of color groups, underrepresentation increases at the higher job classifications and remains inconsistent in trends at the Supervisory & Managerial Levels.

The differences in representation of Chicana/Latino staff between job classifications is statistically significant between Operations & Technical Level 2 and 3, Professional Level 3 to 4,

Figure 4 – Percent African American staff at UC Berkeley by increasing job classification compared to all African American staff and students in 2015



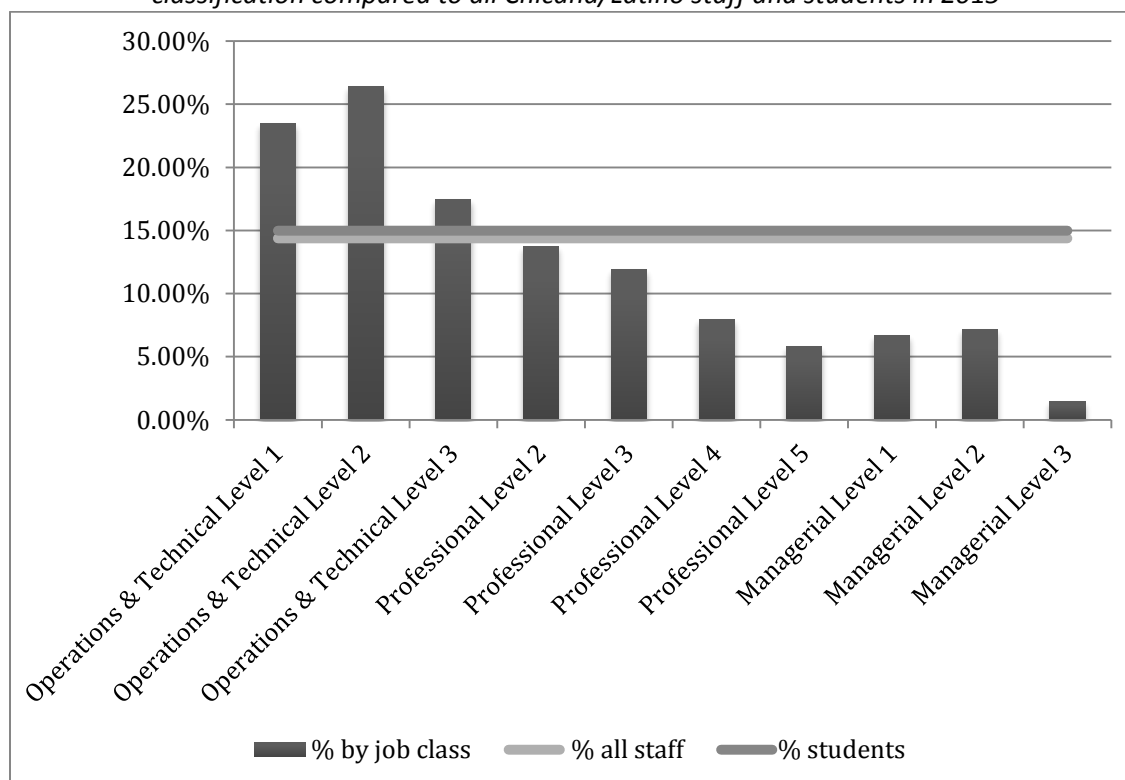
Operations & Technical Level 3 to Supervisory & Managerial Level 1, and Supervisory & Managerial Level 2 to 3 at p-values < 0.05 (reference Appendix C). Similar to African American staff, it is difficult to identify a single location that represents a clear glass ceiling. There does not seem to be one particular job classification after which there is a clear and distinct drop in representation.

Regardless, there is a trend of increasing underrepresentation of Chicana/Latino staff at progressively higher job classifications compared to their total staff percentage. Figure 5 shows 2015 data of Chicana/Latino staff representation by each job classification compared to all Chicana/Latino staff and students.

Asian American and Pacific Islander staff show a different trend from their African American and Chicana/Latino staff counterparts. Like other staff of color groups, Asian Americans and Pacific Islanders remain overrepresented at the Operations & Technical Level positions compared to the total percentage of Asian American and Pacific Islander staff at statistically significant levels for 2009 and 2012 (p-value < 0.05), but only at the Level 1 and Level 2 positions. And by 2015, although they are still overrepresented at all the Operations & Technical Level positions compared to the total

percentage of Asian American and Pacific Islander staff, those differences are no longer statistically significant (see Appendix B). In 2015, starting with Operations & Technical Level 3 positions through

Figure 5 – Percent Chicana/Latino staff at UC Berkeley by increasing job classification compared to all Chicana/Latino staff and students in 2015

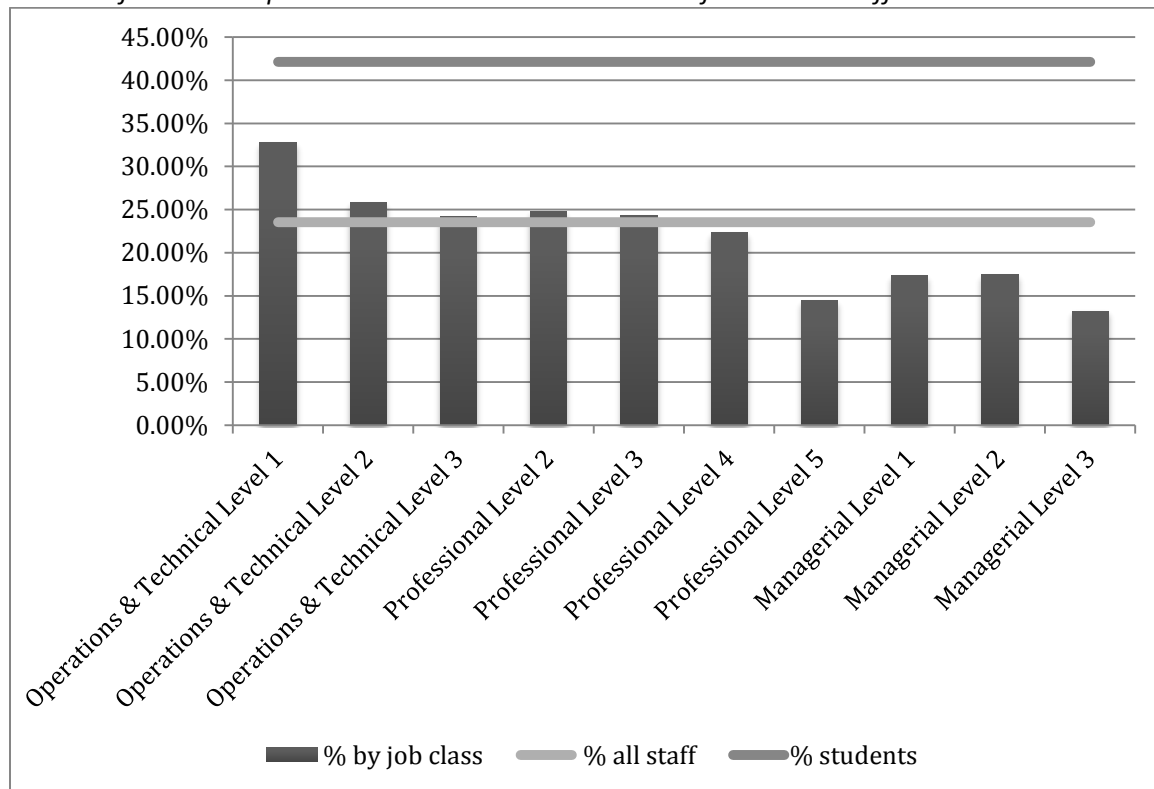


Professional Level 3, Asian Americans and Pacific Islander staff are fairly representative of their total staff percentage. In addition, their representation at those levels and into the Supervisory & Managerial Level positions is on the rise between 2009 and 2015. By 2015, Asian Americans and Pacific Islander staff are also representative at the Professional Level 4 positions. They remain underrepresented beyond Professional Level 5 positions, and in all the Supervisory & Managerial Level positions at a statistically significant level (p -values < 0.05). Still, there is a clear upward trend in representation even at those higher levels (see Appendix B).

The difference in proportion of Asian Americans and Pacific Islander staff between Professional Level 4 and 5 is statistically significant at a p -value < 0.05 . The difference in proportions is also statistically significant between Operations & Technical Level 3 positions and Supervisory & Managerial Level 1 positions (reference Appendix C). Referencing Figure 6 and Appendix C, it

appears that we may be able to identify a glass ceiling for Asian American and Pacific Islander staff at Professional Level 4. At Professional Level 4, the difference in the proportion of Asian American &

Figure 6 – Percent Asian American and Pacific Islander staff at UC Berkeley by increasing job classification compared to all Asian American and Pacific Islander staff and students 2015



Pacific Islander staff to the next level (Professional Level 5) is statistically significant (reference Appendix C), and there is consistent underrepresentation of Asian American and Pacific Islander staff in each progressively higher job classification thereafter compared to their overall staff total.

Summary

This study reveals that white staff are overrepresented at the highest job classification levels and underrepresented at the lowest job classification levels in comparison to all white staff. As a result, the opposite trend exists for staff of color, with the lowest representation at the highest job classification levels, and highest representation at the lowest job classification levels. I looked for the existence of a glass ceiling based on whether my analysis revealed (1) inequities in representation of staff of color at increasingly higher job classifications in relation to their total staff proportions, and (2) that the mere chance of staff of color reaching beyond a specific job classification level is reduced. Although it was difficult to identify specific locations of glass ceilings

for staff of color race groups at a specific job classification, it is clear that their representation proportions decrease more by each incrementally higher job classification, and they are especially not represented at the highest management levels.

Discussion

The data analysis of UC Berkeley hoped to offer a landscape study of staff of color representation in relation to varying job classification levels. The data can give university leadership an understanding of the overall representation data on staff of color and provide a launching point for discussions about the appropriateness of considering programs to improve areas of underrepresentation.

The results of this study reveal powerful information in its analysis on staff data by job classification levels and race. In an ideal situation, the proportions of staff by race would remain stable as you go up the job classification hierarchy, as well as mirror that of students. The analysis of data revealed that on average staff of color are underrepresented at a statistically significant difference at the management level. This disproportionality suggests that the university may benefit from more purposeful recruitment and retention efforts to ensure that staff of color are well-represented across all ranks of staff. To this end, it is worth looking at programs that universities with relatively diverse staffs in management-level positions are making to support a diverse workforce. At the University of Massachusetts, Boston, for instance, the percentages of white management staff (73.7%) vs. management staff of color (26.3%) are quite representative of their total white (70.5%) and staff of color (29.5%) percentages across the entire staff (Kwon, 2016). The university has made specific efforts to promote staff diversity. In 2007, the Commonwealth Compact housed at the University of Massachusetts, Boston launched with the goal of intentionally addressing the following: "...state's current reputation as an unwelcoming place for people of color must be turned completely around if we want to achieve our potential" (University of Massachusetts, 2016). The Compact goes further in stating this goal and plan:

To change both that negative reputation, and the reality that too often still contributes to it, civic leaders created Commonwealth Compact to encourage organizations to make significant progress by measuring themselves annually on a detailed series of benchmarks. The compact works with existing programs, and will provide additional resources, including a talent database.

This statewide program administers a Talent Network that supports rising professionals of color in increasing their exposure to organizations within Massachusetts. They do this through providing board membership appointments, mentorship opportunities, and career advancement programs. They also sponsor conferences such as one hosted in September 2014 called the Diversity & Inclusion Strategies Conference to educate human resource professionals on the value of recruiting a diverse workforce both in higher education and in the broader public and private sector. Starting in 2009, the Commonwealth Compact also began publishing their benchmark findings to track progress of the Compact. Without further research, it is difficult to know any direct correlation between programs initiative by the Commonwealth Compact and the University of Massachusetts, Boston Human Resources recruitment team, but it is worth looking into further. University administrators should consider launching similar leadership development programs for underrepresented staff of color at their campuses. The candidate profiles could be based off of those staff that are in job classification right at the point where representation drops. So for UC Berkeley, that would make sense at particular levels in the mid-Professional to early Supervisory & Managerial Levels.

The UC Berkeley data by job classification revealed in-depth information about pipeline realities by race. The 2015 data revealed the visually contrasting trends of white staff vs. staff of color from the lowest to the highest twelve job classifications. This data allowed us to see representation proportions for each staff of color race group as well consider the health of the pipeline for all job classifications. For instance, for Chicana/Latino staff, the fact that there does not seem to be a steady and healthy pipeline leading to the Supervisory & Managerial Levels begs the question of how we can help develop a pipeline when there does not seem to be one internally. In slight contrast, for Asian Americans and Pacific Islander staff, there seems to be a growing pipeline of professionals making it into the higher Professional Levels, and for African Americans an upward trend in representation at the early Supervisory & Managerial Level. So for each community, how can we support their candidate pool in breaking through to all Supervisory & Managerial Level positions? Knowing the unique trends by race can allow for more tailored and specific recommendations to improve representation to the Supervisory & Managerial Levels.

Conclusions

The goal of this study was to understand the historical trends of staffing at UC Berkeley as a sample university situated in a racially and ethnically diverse community in the hopes that it could be used as a catalyst toward change in the way universities consider staff recruitment and promotion practices and policies. Understanding the historical staff of color proportions at UC Berkeley helps inform recommendations for future racially inclusive recruitment, retention, and career development at UC Berkeley and other comparable university settings. In addition to being centers for learning, innovation, and research, large universities in major U.S. metropolitan areas serve as some of the biggest local employers of those areas. So in addition to supporting equitable recruitment, retention, and promotion of staff of color because of the value they bring to an increasingly more racially and ethnically diverse student body, it is also important to generally support equitable human resource practices as large employers in racially and ethnically diverse communities.

Without additional attention to university staff of color representation data, equitable staff recruitment, and career development programs, universities run the risk of losing out on valuable opportunities for a more diverse and creative workforce, and one that can serve an increasingly more racially and ethnically diverse student body. Analysis of the staff of color representation proportions can serve as the first step towards addressing any found inequities. It can be the missing argument for launching staff of color leadership development programs on campuses. Such programs exist much more extensively for faculty and in the private sector, but only a few exist for staff. This study hopes to change that by offering a clear analysis of staff of color representation percentages and tangible evidence of any areas of inequity to explore further. UC Berkeley is now in the process of piloting a leadership development program for staff of color (Chan, 2017).

Although this study focuses on the quantitative data of staff of color representation, it hopes to serve as the foundation for further qualitative research that tries to understand reasons behind the numbers and look towards recommendations for creating change that will benefit the entire campus climate. Connecting this research to college campuses means ensuring that inclusive recruitment is not just about getting the numbers to reflect the community around the organization or of the student body, but about promoting an environment that values inclusion and therefore retains diverse staff. This analysis provides crucial information for universities to (1) argue for more focused attention on their staff of color percentages, (2) push for programing and policies to address

any major inequities in representation, and (3) encourage the establishment of mechanisms for tracking the progression of their efforts to improve equitable recruitment and career progression of staff of color.

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Appendix A
EXISTING DATA SOURCES

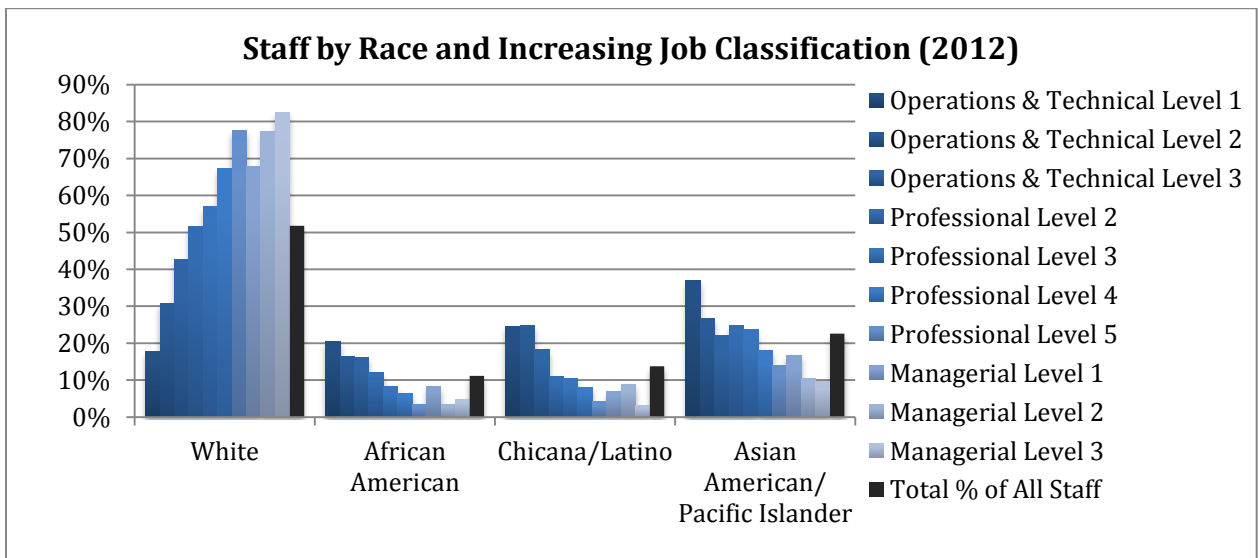
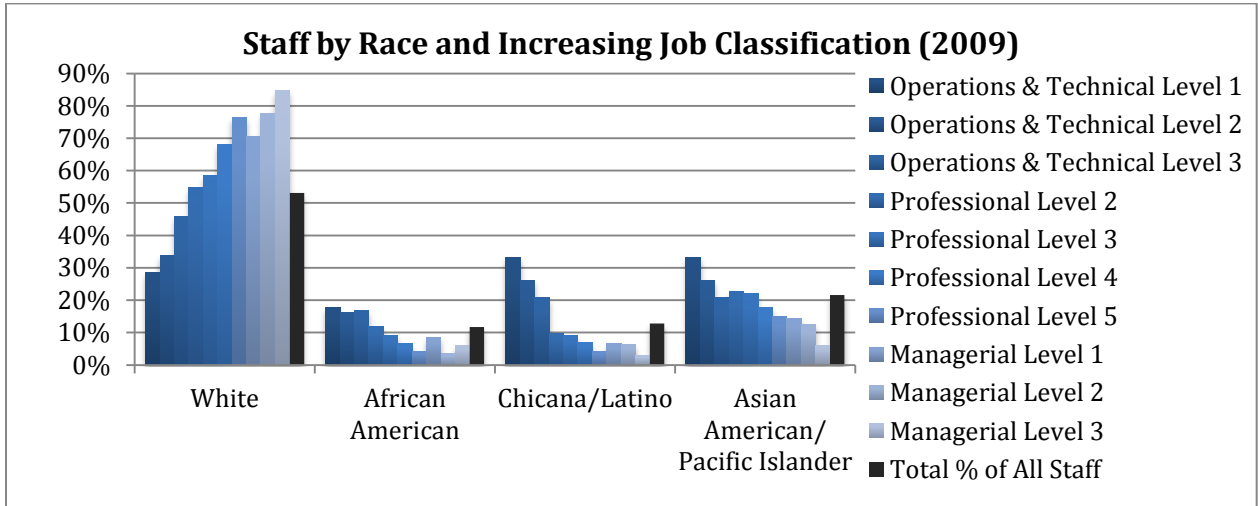
UC Berkeley Human Resources Data

Most recent six from UC Berkeley Human Resources)

Data Collection Variables/Search Criteria

1. 2009 to 2015
2. Full-time, part-time, contract staff
3. Ethnicity (African American, Asian, Chicana/Latino, Native American/Alaska Native, Pacific Islander, White, Unknown, Decline to state
4. Job Classification Level: Managers/Supervisors, Professionals, Operation & Technical

Appendix B
UC BERKELEY DATA BY JOB CLASSIFICATION FOR 2009 AND 2012



Appendix C
TWO-SAMPLE T-TEST: DIFFERENCE BETWEEN EACH INCREASING JOB
CLASSIFICATION BY RACE - UC BERKELEY 2015
P-Value < 0.05 indicated by *

	p1	p2	2-tailed p value		n1	n2
WHITE				TOTAL STAFF		
Op &Tech L1 to L2	0.22	0.29	0.2122	Op &Tech L1 to L2	64	1086
Op &Tech L2 to L3	0.29	0.41	0.0000*	Op &Tech L2 to L3	1086	797
Prof L2 to Prof L3	0.49	0.53	0.0217*	Prof L2 to Prof L3	881	1710
Prof L3 to Prof L4	0.53	0.62	0.0000*	Prof L3 to Prof L4	1710	1021
Prof L4 to Prof L5	0.62	0.74	0.0012*	Prof L4 to Prof L5	1021	173
Prof L5 to Manag L1	0.74	0.68	0.1555	Prof L5 to Manag L1	173	299
Op &Tech L3 to Manag L1	0.41	0.68	0.0000*	Op &Tech L3 to Manag L1	797	299
Manag L1 to Manag L2	0.68	0.69	0.8146	Manag L1 to Manag L2	299	126
Manag L2 to Manag L3	0.69	0.78	0.1712	Manag L2 to Manag L3	126	68
AFRICAN AMERICAN						
Op &Tech L1 to L2	0.22	0.18	0.4808			
Op &Tech L2 to L3	0.18	0.16	0.3326			
Prof L2 to Prof L3	0.12	0.09	0.0268*			
Prof L3 to Prof L4	0.09	0.07	0.0393*			
Prof L4 to Prof L5	0.07	0.05	0.2979			
Prof L5 to Manag L1	0.05	0.08	0.2760			
Op &Tech L3 to Manag L1	0.16	0.08	0.0000*			
Manag L1 to Manag L2	0.08	0.06	0.6141			
Manag L2 to Manag L3	0.06	0.06	0.8964			
CHICANA/LATINO						
Op &Tech L1 to L2	0.23	0.26	0.5841			
Op &Tech L2 to L3	0.26	0.17	0.0000*			
Prof L2 to Prof L3	0.14	0.12	0.1973			
Prof L3 to Prof L4	0.12	0.08	0.0005*			
Prof L4 to Prof L5	0.08	0.06	0.2734			
Prof L5 to Manag L1	0.06	0.07	0.6913			
Op &Tech L3 to Manag L1	0.17	0.07	0.0000*			
Manag L1 to Manag L2	0.07	0.07	0.8671			
Manag L2 to Manag L3	0.07	0.01	0.0370*			
ASIAN AM & PAC ISLANDER						
Op &Tech L1 to L2	0.33	0.26	0.2490			
Op &Tech L2 to L3	0.26	0.24	0.4108			
Prof L2 to Prof L3	0.25	0.24	0.8153			
Prof L3 to Prof L4	0.24	0.22	0.2308			
Prof L4 to Prof L5	0.22	0.14	0.0081*			
Prof L5 to Manag L1	0.14	0.17	0.3950			
Op &Tech L3 to Manag L1	0.24	0.17	0.0105*			
Manag L1 to Manag L2	0.17	0.17	0.9863			
Manag L2 to Manag L3	0.17	0.13	0.4273			

DIRECTIONS FOR CONTRIBUTORS

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