EDUCATIONAL PLANNING

Vol. 18 No. 2

International Society for Educational Planning

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EDUCATIONAL PLANNING

A JOURNAL DEDICATED TO PLANNING, CHANGE, REFORM, AND THE
IMPROVEMENT OF EDUCATION

*EDUCATIONAL PLANNING is indexed in H.W.Wilson,and available in Google Scholar, and
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PREFACE
Linda K. Lemasters
Virginia Roach

Recently all of the members of the International Society of Educational Planning (ISEP) received a very timely e-mail from Dr. Glen Earthman. He spoke of how the thread that has tied this organization together has been the belief that "educational planning is an important topic for investigation and discussion." He went on to say that he believed "that educational planning has changed somewhat over the years, at least in the public school sector." Two years ago one of our members spoke at the annual conference of his students' conversations with principals about planning. The responses were enlightening and often centered around planning that focuses generally around state assessments.

Having taught educational planning for eight years at the doctoral level, I have seen a change in my students' thinking about the planning processes. They feel the pressures both at the building and central office levels to plan for the tests at the end of the academic year—commenting that they do not have time for developing long-range or strategic plans that are more likely to bring about systemic change. They feel these pressures for many reasons. First, many of the leaders in their buildings and at the superintendent's level view planning as having a document sitting somewhere on a shelf in their office. Their actions (more accurately reactions) are centered around high test scores and the crisis of the day. In many instances, leaders are making decisions focused solely on keeping their jobs. Second, they have not grasped the concept that strategic planning will help them focus on and achieve their annual testing goals. They see such plans as simply taking up time they do not have and taking time *away* from their more immediate concerns. In these instances, educational leaders have not considered that planning is a result of strategic thinking that brings about strategic action. Even more foreign to them is the idea that their personal plans and thoughtful leadership has a place in driving organizational plans that bring about deep, meaningful change.

Glen Earthman suggested that there are questions that we, as an international organization focused on planning, should be asking. These questions are at the very core of how our membership can play a role in the greater success of our mission:

- Are there new theories about educational planning?
- Are there different planning strategies that have evolved or been invented recently?
- Is educational planning so routine that people execute it automatically?
- Are there important issues in the field of educational planning that are not addressed in the current literature?
- Does there continue to be a need to teach educational planning in school leadership programs? If so, what should be in the syllabus?
- What aspects, if any, of educational planning lend themselves to empirical investigation?

Dr. Earthman also asked the membership to send its responses to these questions to him during the next month. I am sure that he would welcome responses from all of you. His contact information is on the back cover of this issue.

Virginia Roach and I continue to work toward putting more emphasis on planning and the change processes in our issues. Only articles having a planning focus or application will be reviewed for publication; we invite you to submit your articles that have those themes. We would like to thank the editorial board, Glen Earthman, and assistant editors working with us. Publishing a journal takes the collaboration and contributions of many people.

ABOUT THE EDITOR

Linda Lemasters is an Associate Professor and Program Coordinator for Educational Administration and Policy Studies, Department of Educational Leadership, Graduate School of Education and Human Development at The George Washington University. She has collaborated with Glen Earthman on a textbook and numerous articles and is on the boards of the International Society of Educational Planners, as well as the National Council of Professors of Educational Administration.

ABOUT THE ASSOCIATE EDITOR

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ATTENTION

The October 2010 Conference of ISEP will celebrate the 40th Anniversary of the founding of the organization. As part of the activities in which members will be engaged is the accumulation of artifacts and documents to be stored in the Archives. Dr. Amiee Howley has agreed to serve as our temporary Archivist in storing these materials. Anyone who has documents or artifacts that they would like to donate to ISEP, please contact Dr. Howley at: howley@ohio.edu

PLANNING FOR OPPORTUNITY: APPLYING ORGANIZATIONAL AND SOCIAL CAPITAL THEORIES TO PROMOTE COLLEGE-GOING CULTURES

Lauren A. Weinstein
Mandy Savitz-Romer

ABSTRACT

Preparing high school graduates for entry to and success in postsecondary education has become a cornerstone of U.S. society. For many middle- and upper-class students, familial expectations and support influence their college-going behavior and postsecondary outcomes; however, for low-income and first-generation students, secondary schools carry much of this responsibility. The literature on college access and success calls for new strategies to ensure equal access to a college degree for all students. One approach is for schools to foster a college-going culture, ensuring all students are exposed to the expectations, knowledge, and informational support necessary for postsecondary success. In doing so, schools fulfill their role as an opportunity structure. This promising, systemic practice requires deliberate school planning and structuring. In this article, we apply conceptual frameworks from social capital and organizational theories to the literature on college access and success to present a framework for school-planning efforts that foster a college-going culture. The paper concludes with specific recommendations for practice and future research.

INTRODUCTION

An opportunity gap exists in the United States. Some groups of students are more likely to enroll in and complete college than other groups of students. While colleges and universities have seen an overall increase in college attendance, those students least likely to enroll and succeed in higher education are overwhelmingly from low-income, minority, or first-generation college student backgrounds (U.S. Department of Education, National Center for Education Statistics, 2007). In fact, research has shown that the highest achieving students from low-income schools are enrolling in higher education at the same rate as the lowest achieving students in high-income schools (Haycock, 2006). When comparing students of comparable scholastic achievement levels, low-income students enroll in four-year colleges at half the rate of their high-income peers (Advisory Committee on Student Financial Assistance, 2001). These trends carry significant implications for the economic and social well being of our high school graduates and our society as a whole.

Efforts to reduce this opportunity gap include pre-collegiate outreach and mentoring programs, tutoring services, and media campaigns, among others (Gullatt & Wendy, 2003). These strategies provide much needed visibility and support for promoting college access and success for underserved students. However, because such initiatives serve a limited number of students, the impact of these services has been questioned (McDonough, 2004; Swail & Perna, 2002). To identify more systemic strategies, some researchers have examined the role that school structures play in preparing students for college success. These researchers have paid particular attention to the organization of a school's social relationships, practices, and policies (McClafferty, McDonough & Nuñez, 2002; McDonough, 1997). By examining the ways that a school's organizational structure affects the social relationships among community members in a school, and then shaping institutions to facilitate the transmission of social capital between members, school leaders can foster a college-going culture. When a school's culture is permeated with postsecondary expectations, language, and activities, this increases the probability that all students, not just those enrolled in special programs, will have the support they need for future success.

- This paper offers suggestions for educational planning. We argue that by carefully establishing the practices, policies and relationships necessary to cultivating a college-going culture, high schools have the potential to reduce the opportunity gap that exists between students from high-income schools and those from low-income schools. The first section provides an overview of the college access and success literature, with special attention to the role that a college-going culture can play in preparing disadvantaged students for college. In the second section of this paper, social capital and organizational

theories are applied to conceptual frameworks found in the literature and research on college access. The application of these conceptual frameworks to the college access literature and research support schools' ability to foster a strong college-going culture, and therefore increase students' likelihood for postsecondary success. The paper concludes with recommendations for district and school administrators, counselors, teachers, and future researchers interested in building college-going cultures as a strategy to promote their students' postsecondary behavior and outcomes.

A POSTSECONDARY OPPORTUNITY GAP

The individual and societal benefits of attaining a postsecondary education have been widely documented. Individual benefits of attending higher education include improved health outcomes, increased earning potential, and even greater life satisfaction (Baum & Ma, 2007). On a broader systemic level, the societal benefits accrued by having higher levels of education present in our workforce include low unemployment rates, increased tax revenues, greater civic and volunteer participation, and lessened dependency on social services (Baum & Ma, 2007). Despite knowledge of these significant benefits, students' preparation for college enrollment and completion is unevenly distributed in the U.S. at best.

In 2005, 81% of high school graduates from the top income quintile entered college directly following high school compared to only 54% of students from the bottom income quintile. Similarly, 73% of white secondary school graduates immediately enrolled in college while only 56% of African American students and 54% of Hispanic students matriculated following high school. And, 89% of those whose parents had a bachelor's degree or higher entered higher education immediately following high school in contrast to 62% of students whose parents held a high school diploma (U.S. Department of Education, National Center for Education Statistics, 2007).

The disparities in college completion reveal a widening gap in opportunity. More than half, 61.9%, of white students who entered four-year postsecondary institutions in 1995 and 1996 had earned bachelor's degrees by 2001. Comparatively, during the same time period, 43.4% of entering black students graduated with a bachelor's degree, and 44% of Hispanic students graduated with a bachelor's degree (U.S. Department of Education, National Center for Education Statistics, 2003). Of the students whose parents were in the top quartile income group, 73.8% graduated with a bachelor's degree within 6 years of postsecondary enrollment, compared to just 50.3% of students whose parents were in the lowest quartile income group. Similarly, 66.3% and 73.9% of students whose parents had a bachelor's or master's degree, respectively, completed their postsecondary education by 2001, compared to 43.1% of students whose parents had either a high school diploma or less (U.S. Department of Education, National Center for Education Statistics, 2003).

These statistics reflect a wide gap in postsecondary enrollment and completion, suggesting that access to college does not necessarily translate into a college degree. Schools as social institutions play a key role in closing this gap. However, the challenge facing educators across K-16 is how to prepare students for college enrollment *and* completion.

DEFINING A COLLEGE-GOING CULTURE

Growing awareness of the existing opportunity gaps and advanced knowledge about what factors promote college access and success has called attention to systemic strategies that are effective at reaching all students, rather than a select few. College outreach programs are important sources of information and support for students at risk of not enrolling in higher education; however, these programs may not be reaching the students who need their services most. While these programs, along with exceptional counselors, teachers, family members, and peers may be enough to help some students obtain a college degree, they are insufficient to closing the overall demographic gap in college enrollment and success. Rather than focusing efforts on influencing the behavior of individuals as a way to change short term outcomes for some, researchers suggest an approach that treats schools as opportunity structures (McClafferty, et al., 2002; McDonough, 1997) emphasizing that systematic, school-wide change can impact the long term future of students. The most promising and well-documented model of a school as an opportunity structure is the establishment of a college-going culture (Corwin & Tierney, 2007; McClafferty, et al., 2002; McDonough, 1997, 2005). When a school establishes a college-going culture, it

conveys a commitment to ensuring that all students have access to adults who hold high expectations and support for postsecondary success. Building such a culture requires consciously designing, structuring, and organizing the institution so that it promotes successful outcomes for all students.

As organizations, schools embody unique cultures determined and influenced by its various members. The school's culture is one of the most important features of the enterprise and influences everything that goes on in the school (Peterson & Deal, 1998). Administrators, teachers, counselors, and students receive messages about what is valued and expected of them. Depending on the pervasiveness of the school culture, these messages influence, to varying degrees, how administrators, teachers, counselors, and students think, feel, and act (Peterson & Deal, 1998). Inculcating postsecondary expectations and college-going behaviors of all students in a school community requires the presence of a strong college-going culture, one that is both tangible and pervasive (Corwin & Tierney, 2007). When schools are intentionally restructured to create a cohesive community that shares the value and responsibility of preparing students for postsecondary education, the number of students enrolling and succeeding in four year colleges will increase (Ramsey, 2008; Roderick et al., 2008).

Recent studies have found that building a college-going culture increases the number of students who attend college from a given school. While high quality teaching and learning may exist in schools, a reliable college-going culture transforms students' college-going behaviors, ultimately leading to postsecondary enrollment and success (Roderick, et. al., 2008). McClafferty, et al. (2002) suggested that the following key conditions must be met in order for a college-going culture to be established. First, school leadership must be committed to building a college culture and understand the ways this can be operationalized. Second, all school personnel should be expected to convey a consistent message that they actively support students' college aspirations and preparation. And finally, all counselors serving as college counselors must be required to work with teachers and parents to support college preparation and readiness (McClafferty, et al., 2002).

With the necessary conditions in place, a school is well positioned to reinforce a college-going culture by implementing and adhering to the following nine principles (McClafferty, et al., 2002): college talk, clear expectations, information and resources, a comprehensive counseling model, testing and curriculum readiness, faculty involvement, family involvement, k-16 partnerships, and articulation. *College talk* is the verbal and nonverbal communication in schools and homes about postsecondary terminology and culture. *Clear expectations* refer to the messages and expectations sent from parents and faculty to students. These explicit messages should challenge students to reach their highest potential. *Information and resources* about college applications, college life, and the skills one needs to succeed in college must be available, accurate, and up-to-date. *A comprehensive counseling model* reflects a plan for how counselors will provide college counseling and use all interactions as opportunities to reinforce the college-going culture. *Testing and curriculum* must be structured such that students understand the logistics and importance of college entrance tests and have access to the preparatory coursework necessary for college eligibility. *Faculty and family involvement* stresses the importance of these individuals being both active and informed about the college-going process. *Partnerships* between high schools and colleges directly expose high school students to college students, faculty, and the campus experience. Most importantly, partnerships with colleges ground k-12 students' postsecondary aspirations in real experiences and images, rather than on abstract ideas. Finally *articulation* refers to the ongoing communication and collaboration along the k-12 continuum. Collaboration among principals, counselors, and teachers is evidenced by consistency in school cultures and messages; a kindergarten classroom will articulate high expectations for students, just as an 11th grade English teacher does. Combined, these principles ensure that students will not only pursue and enroll in postsecondary institutions, but also succeed once there. Furthermore, these nine principles reflect a broad assumption that postsecondary expectations and preparation is a shared responsibility among all members of the organization, including administrators, counselors, teachers, and students (McClafferty, et al., 2002).

Across the U.S., secondary schools and even some middle and elementary schools have implemented strategies designed to build a college-going culture. Common among many of these schools is a shared sense of responsibility for promoting college enrollment and readiness, and practices and policies that are aligned with college-going behaviors. These features, sometimes socially inherited in high-income

communities, must be deliberately planned and executed in low-income schools to combat years of low expectations and limited familial and communal experience with postsecondary education. Creating such a culture follows careful planning and an examination of the physical and social structures that may inadvertently present barriers to creating a college-going culture. To examine how schools can organize themselves so the goal of a college-going culture can be realized, we turn to social capital and organizational theory.

THEORETICAL FRAMEWORKS

The first step in building or improving upon a college-going culture is an examination of the practices and policies that shape the school's culture, especially as they relate to postsecondary aspirations, information, knowledge, and skills. This section draws on properties of social capital and organizational theories to provide school leaders with a framework for examining and building a college-going culture. While these theories are interrelated, each possesses unique properties that provide windows into how a college-going culture can be enhanced. Social capital theory provides a lens through which school leaders can examine students' social networks and relationships, particularly as they contribute to a college-going culture. Organizational theory offers another useful context to consider how school practices, policies, and relationships cultivate the conditions of a college-going culture. Knowledge of these theories provides a "pathway for practitioners to use as they make important local decisions" (Pianta, 1999, p. 10). By paying careful attention to the role of structures and the organization of resources, schools will be positioned to establish and reinforce postsecondary expectations and success.

Social Capital Theory

Social capital theory, a theoretical framework that emphasizes the benefits of social networks, has been used by several researchers to illustrate the importance of relational support in preparing underserved students for college access and success (McDonough, 2005; Stanton-Salazar, 1997; Tierney & Venegas, 2006). Although definitions of social capital vary, this paper draws on Nahapiet & Ghoshal's definition (1998), based on early writings by French sociologist Pierre Bordieu, to define social capital as "the sum of the actual and potential resources embedded within, available through, and derived from the network of relationships possessed by an individual or social unit" (p. 243). Social networks represent interpersonal ties to people committed to and capable of transmitting vital, diversified resources (Stanton-Salazar, 1997). Schools constitute a social unit that is made up of multiple social networks, which collectively have the potential to foster social mobility, and in this case, a college-going culture.

Relationships between members of a school community make up a school's social networks. These networks of social relationships consequently make up a school's social structure and shapes behavior. Although schools themselves are also nested within larger organizing structures and larger social networks (districts, cities, communities, etc.), this paper looks specifically at the social networks active within schools. Members of a school's social networks include students, teachers, parents, administrators, counselors, other school staff, and district leaders. As we explore ways to organize social structures that benefit all students, we must consider the relationships between and among each of these important network members. In Nahapiet & Ghoshal's definition, social capital, as transmitted through social networks, can be understood through three interrelated dimensions: the structural dimension, the relational dimension, and the cognitive dimension (Nahapiet & Ghoshal, 1998, p. 243).

Social capital theorists define the *structural dimension* of social capital as the "impersonal . . . linkages between people or units" within organizations and "use measures such as density, connectivity, hierarchy" and transferability to describe "patterns of the linkages" in social networks (Nahapiet & Ghoshal, 1998, p. 244). When designing a college-going culture, schools need to consider the structural dimension of their social networks. Individual relationships students have with adults and their peers influence their educational aspirations and expectations; however, the actual "density" of those relationships is especially relevant, particularly when the goal is to enhance a school's social network. For example, school counselors influence the college-going behaviors of students (McClafferty, et. al, 2002; McDonough, 2004). The density of that relationship is strengthened in the presence of

additional supportive relationships between the school counselor and the school's administration. Because "counseling programs are molded by the emphasis placed on advisement and college-oriented culture at each particular school" (Corwin, et. al., 2004, p. 445), school administrators who emphasize postsecondary readiness through policies and practices will influence the counselors' college counseling practice.

Social capital is dynamic in nature. It is accumulated and transmitted through a structure of relationships, rather than situated within one individual. The quality of relationships in social networks determines the *relational dimension* of social capital. This dimension focuses on the level of respect, friendship, and trust developed among members of an organization. Identification with the organization is a function of the level of trust members of the organization have for one another (Coleman, 1988; Merton, 1968; Nahapiet & Ghoshal, 1998). The relational dimension of social capital is relevant to establishing a pervasive college-going culture. Students who experience trusting relationships with their teachers and counselors will be more inclined to internalize high expectations and benefit from postsecondary support than those in instances where trust is lacking.

The *cognitive dimension* of social capital refers to the systems of meaning and interpretations shared by members of organizations and networks (Nahapiet & Ghoshal, 1998). A shared language facilitates individuals' ability to exchange ideas and information about classroom practices and administrative values. The lack of a common language can keep people apart and restrict access to important human capital (Nahapiet & Ghoshal, 1998). In the school context, developing and adopting a common language to discuss college preparation and readiness will result in clear messages about what students need to succeed in college. Freely disseminating this language and educating everyone at a school about the meaning of college oriented vocabulary will encourage all members of its social networks to use this language. Schools that encourage the use of a specific, shared vocabulary to develop a college-going culture will be ineffective if teachers and administrators are not familiar with college vocabulary, interpret it in different ways, use it with only some students, or use it with all students but do not define the words and terms. For example, schools must be clear about the use of "postsecondary" to convey Associate or Bachelor degree aspirations versus general future planning. Common words, phrases, and codes should be used throughout the day, applied to different contexts, and communicated by all staff, resulting in students' familiarity, comfort and ease with the language and its meaning.

The importance of relationships is a familiar concept among the educational reform literature; however, the emphasis on the role that schools and school leaders play in structuring and regulating these relationships is widely discussed. In accordance with these three social capital dimensions, a network's structures and rules, trust among members, and shared language and norms specifically promote the transmission of social capital and the development of strong social networks. Social capital and presence of strong social networks within a school will facilitate a school-wide culture of college-going beliefs, expectations, and behaviors, all of which are elements correlated with increased college access and success.

Organizational Theory

Examining the quality and depth of social networks to ensure the accumulation and transmission of social capital requires the availability of human capital and resources. Organizational theory describes how school structures and policies shape the availability and value of such relationships. The three dimensions of social capital previously discussed enable school leaders to examine their social networks. Leadership teams can use the results about the extent to which social capital is transmitted to guide the development of their college-going culture in their school. We now turn our attention to organizational theory, which describes how institutions are designed and structured. This theoretical framework provides a lens through which we can examine a school's potential to transmit social capital. With intentional planning of school practices, policies, and structures, school leaders can marshal all available resources and deploy them in such a way that all students have equal access to postsecondary expectations, information, and support.

Planning and structuring school environments to encourage the transmission of social capital requires an examination of the organizational structure. The following describe elements most relevant

to this discussion: the extent to which goals and norms are aligned; the degree to which an organization embodies openness or closure; and, the number and quality of ties within the school's social networks. Although as an organization, a school has the potential to foster high levels of social capital (Nahapiet & Ghoshal, 1998), trusting relationships and solidarity can be undermined by a school's structure (Stanton-Salazar, 1997). Potential organizational constraints include the noncommittal and transitory nature of relations between teachers and students, scheduling limitations, and the short time students spend with caring and competent teachers (Stanton-Salazar, 1997). Surveying the aspects of organizational theory described below, including organizational objectives, ties, and degree of openness or closure, can help schools move from a situation in which they are passive agents that limit information and resources to those students who seek it out, to a model in which schools proactively seek out solutions for the problems they know will arise. The analysis made possible with organizational theory can help schools avoid inadvertently perpetuating social inequality.

According to organizational theory, organizational structures maintain specified goals and purposes, as well as institutionalized norms that regulate how these goals are reached (Merton, 1968). To create a pervasive college-going culture, goals and norms should be *aligned* as well as *shared* by all members of the school community. Certainly, expecting everyone in the community to share the same philosophies is a difficult task; however, we have seen such a shift through the educational reform movement in the use of high standards to raise expectations. Both the specified goals and institutionalized norms must take current school processes into account, ensuring the day-to-day activities (the norms of the organization) also reflect organizational goals. The goals and norms should be integrated, existing in relation to one another, to encourage goal achievement and discourage deviance from specified goals (Merton, 1968). In a school context, school leaders must ensure that students have the appropriate resources and support to achieve school-wide goals. For example, establishing a policy that requires all high school juniors to take the SAT is the first step toward achieving an explicit goal. Yet, establishing the policy will not necessarily turn the goal into a reality. A school with aligned goals and practices would take additional steps toward accomplishing this goal by establishing itself as an SAT test location, distributing necessary fee waivers for students who cannot afford the test, discussing the purpose and implications of tests, and offering test preparation materials and classes to ensure that students understand the purpose of the test and feel confident about their ability to score well. Organization-wide consensus about organizational norms and goals enables people to develop trust, thereby encouraging the transmission of social capital, and ultimately, the acquisition of meaningful information (Coleman, 1968).

Another organizational property that applies to a college-going culture is the extent to which an organization is "open" or "closed." By definition, organizations are delimited by boundaries (Nahapiet & Ghoshal, 1998; Scott, 1987). There is variation in the extent to which these boundaries are permeable. In an open system, the organization relies on its exchange with the environment to restore its energy (Scott, 1987). Its members are loosely connected and fairly autonomous, and the system is capable of self-maintenance (Scott, 1987; Weick, 1976). Conversely, a closed structure develops connectivity and interdependence among the members within, rather than between the system and its surrounding environment. As such, a closed organizational structure enhances the social networks within the organization. Establishing this configuration is exceptionally conducive to the transmission of social capital. Furthermore, closed social structures facilitate social capital by holding all members accountable for subscribing to and promoting the embedded norms within the organization, integrating rather than differentiating its members (Coleman, 1998; Katz & Kahn, 1966). When an organization has a high degree of closure, and expectations and norms are overtly stated, members can monitor and guide each other's behavior to ensure goal achievement.

Increasing the degree of closure in a school can aid the development of a college-going culture. The nine principles of a college-going culture emphasize school-wide responsibility for achieving goals and setting consistent expectations among students. Closed social structures help establish these norms among administrators, teachers, and school counselors and reinforce the expectation that the entire school community is responsible for implementing and reaching goals. In addition, closed social structures increase the connectivity between school members and ultimately lead to high quality relationships. Increased connectivity and high quality relationships, both of which lead to the transmission of social

capital between all in the network, simultaneously accelerate the development of a sustainable college-going culture. One criticism of social closure is that access to learning opportunities outside of the organization may be limited (Hallinan & Kubitschek, 1999), which certainly applies in the context of schools; however, schools seeking to transform their internal school cultures can benefit from closing their networks to ensure that members espouse and practice the values of the system.

Finally, the nature of the *links* between members of an organization influences the extent to which social capital is developed. Organizational theory suggests that all members of an organization are linked to each other in some way by functional requirements (Katz & Kahn, 1966). When members of an organization maintain "simplex ties" with one another, individuals relate to each other through one dimension of activity (Richards & Roberts, 1998). When members possess "multiplex ties" with each other, their interactions take place in several spheres of activity (Richards & Roberts, 1998). In the case of social capital transmission, we believe the presence of "multiplex ties" is most beneficial. In a school context, "multiplex ties" are achieved when school leaders create formal pathways and structures that encourage staff and students to interact through multiple roles. For example, rather than school counselors assuming sole responsibility for helping students explore possible career interests, teachers may incorporate this developmental task into their curriculum. Likewise, teacher-student relationships are deepened when teachers and students share experiences beyond formal instructional activities. These shared experiences ensure that a teacher's concern will not be perceived as superficial, non-committal, and transitory, but as dedicated and sustaining. When a student has multiple opportunities for student-teacher relationships, there is an increased likelihood of social capital transmission. In this case, the social capital takes the form of connections between class performance and college readiness.

Intentional planning of organizational constructs such as aligned goals and norms, "closed" social structures, and "multiplex ties," prepares schools to promote a college-going culture. A closed, tightly-knit community of teachers, administrators, counselors, students, and staff who share a vision of each student going to college will communicate postsecondary expectations and availability of support to each student. In a school that has a closed structure, all adults in the school understand that the articulation and promotion of these norms and expectations is central to his/her role within the school's structure and necessary for the culture to be reinforced. Examples include communicating information, making resources available, and instituting rigorous testing and curriculum. However, without established social capital, these strategies may not carry the same meaning to students. Thoughtful planning and consideration of a school's structural design will enable educators to influence the relationships among individual members of a schools' social network such that they facilitate the accumulation and transmission of social capital.

Aspects of both social capital theory and organizational theory provide useful lenses through which we can view the principles associated with building a college-going culture. Together, these theories provide a guide to school leaders as they make decisions about resources, policies, and school efforts that collectively will shape a school's college-going culture. Accordingly, secondary schools can fulfill their goal of preparing their students for postsecondary access and success.

RECOMMENDATIONS FOR RESEARCH AND PRACTICE

In high and most middle-income communities, college-going cultures are socially inherited by a school's social and academic culture. This is often not the case for schools located in low-income communities. Low-income school communities typically educate high concentrations of first-generation, low-income, and minority student populations, who often hold low educational expectations shaped by poor educational experiences, low societal expectations, or previous foreclosure on postsecondary goals. Educators in these schools are charged with providing expectations and information about postsecondary opportunities to students with limited postsecondary knowledge and experience. School leaders serving this population of students must be intentional and explicit when planning to prepare students for postsecondary enrollment and completion.

This paper argues schools must be physically and socially organized to facilitate the transmission of social capital, thereby developing and maintaining a college-going culture. The following recommendations link organizational and social capital frameworks in an effort to promote postsecondary

aspirations and goals among students. Specifically, using closed social structures, which embody features from organizational and social capital theory, specific practices, structures, and policies are recommended. This approach goes beyond aligning goals and norms to creating multiplex ties to further strengthen the structural, relational, and cognitive dimensions of social capital. It is our hope these recommendations will guide school leaders as they plan their organizations and make decisions about resources, policies, and school efforts to build a college-going culture, and thus realize the school's potential as an opportunity structure.

Implement clear expectations and standards about postsecondary education as part of your school mission statement. School leaders must articulate clear goals that demand shared responsibility for promoting a college-going culture. School leaders should define and practice the norms expected of all school members in this regard. When possible, school leaders should communicate this intention through mission statements, job descriptions, evaluations and other school documents. By integrating some of the nine principles such as college talk, clear expectations, and comprehensive counseling models into curricular decisions and teacher/counselor job descriptions, schools standardize these norms and can hold members accountable for subscribing to them and practicing them. Ultimately, college-going norms will become embedded within the organization; however, in the initial stages, each member of the school must be proactive in portraying behaviors that are aligned with the specified goal. In order to solidify the structure, school leaders must design a system to hold all members accountable for espousing these social capital dimensions in their practice, thus accelerating the development of a sustainable college-going culture.

Identify strategies to strengthen the relationships among students and staff. Deliberately organizing school structures and initiatives will enhance the structural, relational and cognitive dimensions of relationships. School leaders can use curricular, programmatic, and policy decisions to regulate relationships among staff and students. These strategies include establishing shared classrooms, co-teaching opportunities, and student social spaces in the school. Small learning communities and advisory programs also create opportunities for relationships to be built between students, counselors, and teachers, reinforcing the relational dimension of social capital. Class size, counselor-to-student ratios, and stable contact between teachers and students can also foster relationship development and communication. Finally, establishing a single language code through defining, using, and enforcing "college talk" ensures the presence of the cognitive dimension of social capital.

Ensure that schools and districts place visible value on postsecondary readiness through space, leadership, timing, and resources. A college-going culture flourishes when schools dedicate visible space and time to express expectations and disseminate information about postsecondary opportunities, along with important college and financial deadlines. This information and planning can also be integrated into curriculum that focuses on preparing students for their future. School districts should provide leadership through specific personnel and/or offices dedicated to postsecondary development and ensure that these district-wide positions/plans transfer to individual school practices.

Encourage "multiplex ties" among school staff. A pervasive college-going culture rests on a sense of shared responsibility among staff, and a clear process for teachers, counselors, and administrators to be interconnected and interdependent of one another. By integrating each member of a student's social network to achieve a shared goal, student–adult relationships will extend beyond a particular class or discipline, further allowing them to connect on more than one level. Accomplishing this requires that all staff recognize their important role in the development of a college-going culture and subsequently, their students' postsecondary success. Such an approach calls for a redefinition of roles of all school members so that they are not just associated with and responsible for their specific content area or expertise, but also involved in achieving the college-going culture goals. Increased collaboration and shared responsibility may be achieved by using in-school meetings, school-wide programming, and staff retreats to reinforce these new roles. Holding school staff accountable for their contributions to the college-going culture can be addressed through job descriptions, performance evaluations, and classroom visitations. Such a change, however, must be accompanied by the availability of professional development, training, and information for teachers and other staff to increase their knowledge, skills, and confidence integrating college-going behaviors into their curriculum and daily practice. School leaders might utilize learning

communities to highlight the expertise of teachers and counselors and share best practices for reaching the school-wide goal.

Build school counselor capacity through professional development and role design. While multiplex ties and the participation of all school members in promoting college access is essential, schools must actively work to capitalize on the experience and expertise of the school counselor. The American School Counselor Association (ASCA) recommends that all school counselors act as leaders and consultants in schools to promote educational equity. As such, school leaders should craft counselor roles that emphasize time and energy dedicated to sharing their skills and knowledge gathered from their professional training and experience as college counselors. In this context, it is critical that school counselors remain up to date on accurate information and changes in the field of college access and success. Participation in professional development will position the counselor to serve in a consultant role, further reinforcing the multiplex ties. This shift in roles carries the added benefit of freeing up counselor time to engage in other college-going activities such as building college partnerships, aligning support services with academic achievement, and monitoring the college-going culture.

Modify current professional development for teachers. Any redefinition of roles calls for added professional development. In addition to providing teachers with up-to-date and accurate "college knowledge," professional development should be used to build tighter k-16 curricular alignment. By drawing on research about college readiness, schools might use partnerships with higher education to facilitate communication about students' academic readiness for college. Additional professional development opportunities may be used to discuss best practices in building strong teacher-student relationships and personalized learning environments.

Develop university and community partnerships that enhance a college-going culture. A college-going culture relies on the articulation of college expectations from kindergarten though grade 12. Schools should not work with students in isolation, but rather build sustainable relationships with possible partners. When elementary, secondary, and higher education institutions regularly collaborate and communicate, all partners understand student needs and are working towards college access and success together. Moreover, school/university/community partnerships provide the mechanism for pre-college outreach programs and other school-wide activities that reinforce the college-going culture. Relationships across the K-16 continuum will create bridges that link the knowledge and expertise of all involved, facilitating both students' and professionals' development.

ADDITIONAL RESEARCH

In addition to practical strategies, educational researchers are uniquely positioned to advance individual school and district capacity to cultivate a college-going culture by expanding research and knowledge in this area. Specific research agendas might consider the following:

o   The practical implications of closed social structures currently in existence. Education reform models such as small-schools, Early College High Schools, and advisory programs promote strong relationships between students and school staff. Yet, the evidence-based research on these strategies is mixed and new research is needed to understand the open or closed structure of these models and how effectively they are promoting social capital. High quality program evaluation provides insight into practices that are especially effective in changing school cultures.

o   Teachers' and counselors' perceptions of their roles. Additional information regarding how teachers and counselors see their role in preparing students for postsecondary opportunities will clarify strategies to expand role descriptions in ways that *change* professional practice, rather than adding on to what those professionals already do. This research may also reveal what knowledge and skills must be learned before teachers and counselors can fully participate in the building of a college-going culture.

o   The extent to which students perceive college-going cultures in schools. Many schools may believe themselves to be successful in building a culture that emphasizes high expectations; however, it is irresponsible to assume that students experience this as such. This is especially critical to ensuring that such practices truly reach all students rather than those with high

levels of academic motivation and initiative.

o   The degree to which college access and success includes social and emotional support. The majority of large-scale studies assess the extent to which informational or procedural help influence college-going behavior. Very few studies have examined the role of personal and social support in influencing college-going behavior. Interdisciplinary research is needed to also identify how adolescent development is linked to the development of postsecondary aspirations and college-going behaviors.

CONCLUSION

In today's globalized world where "openness" has become the trend, we argue for school "closure" as a strategy to increase the number of students who enroll and complete postsecondary education. By applying concepts derived from social capital and organizational theories, this paper suggests that schools advance the postsecondary opportunities of students by intentionally establishing a pervasive college-going culture. This systemic approach is especially critical in schools that serve students currently underrepresented in higher education and who may not receive support from existing individual and programmatic efforts. Practically, structurally, and symbolically, promoting a shared responsibility for college access and success through closed social structures will embed associated values and norms within a school's physical and social networks. As such, opportunities for social capital built on trust and strong information pathways can be generated, providing the foundation necessary to create a college-going culture. With this culture in place, schools may effectively provide the expectations, knowledge, and skills necessary for postsecondary degree attainment. Above all, planning a school's organizational structure and practices to advance the educational opportunities of all its students ensures a school's ability to act as an opportunity structure.

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THE GOVERNANCE ROLES
OF TURKISH PUBLIC UNIVERSITY PRESIDENTS

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ABSTRACT

This study identified a model made up of 10 Turkish public university president governance roles. The significance of a Turkish model of governance derived from gaps in the Turkish literature, new educational trends, Turkey's signing the Bologna Declaration, and Turkey's European Union (EU) accession negotiations. Documents, observations, interviews, and opinionnaires comprised the qualitative data collected in Turkey from 16 Turkish public university presidents and 32 key individuals. Data analyses included both qualitative and quantitative procedures (Tashakkori & Teddlie, 2003).

The Turkish model of governance roles includes: (a) the council role, (b) the interuniversity role, (c) the career role, (d) the government role, (e) the sociability role, (f) the academic administrator role, (g) the ceremony role, (h) the nationalism role, (i) the intellect role, and (j) the public affairs role. Findings of this study may be applied to the effectiveness of Turkish higher educational governance and planning at: (a) organizational, (b) institutional, (c) positional, (d) constituency, and (e) candidacy levels.

INTRODUCTION

As economic, social, and political systems continue to be transformed and become more integrated by the onset of information and communication technologies, 21st century university presidents face far more complex governance roles compared to their past-century counterparts. In addition to the administrative and organizational structures of their institutions, today's university presidents have to cope with new trends like *globalization in higher education*, *internationalization*, *global knowledge economy, massification*, and *transnational universities* (Collis, 2004, Gumport & Chun, 1999; Marginson, 2004; Organization of Economic Cooperation and Development [OECD], 2001; Santos, 2006; Steiner-Khamsi, 2004; Survey of Higher Education, 2005; Tierney, 2004; Tilly, 2004; Van Der Wende & Westerheijden, 2001; World Bank, 1994, 2006) as these leaders try to "sustain the institution's momentum and its sense of direction" (Fincher, 2003, p. 13).

Turkish Universities too are being challenged, threatened and redefined by the impact of massive changes resulting in endless debates among Turkish educational decision makers (Dalat Ward, 2006). Together with these global challenges, Turkish universities since 2005 have been transformed by two additional major forces related to European integration: (a) the signing of the Bologna Declaration (European Universities Association [EUA], 2005; Yükseköğrenim Kurumu [YÖK], 2005); and (b) Turkey's European Union (EU) accession negotiations (European Commission [EC], 2005; European Union, 2005; Straw & Rehn, 2005).

Turkey, having participated in the Bologna Declaration or *the European Higher Education and Research Areas* act (EUA, 2005, ¶ 3) as early as 1991, made a pledge by formally signing the declaration in 2005 and is now in a binding agreement with the newly defined EUA policies for a more powerful system of European higher education. The aim of the Bologna Declaration is to bring the European partners of education together in a collaborative way, demanding more responsibilities, more competencies, and more resilience of the university presidents by the year 2010. With this declaration, the 45 signatory higher educational institutions in Europe, including Turkey, are not only improving their internal qualities but also converging for a number of external quality assurance agreements (Reichart & Tauch, 2005) as they collaborate for a powerful and competent higher education. As stated by EUA: "Higher education remains first and foremost a public responsibility so as to maintain core academic and civic values, stimulate overall excellence and enable universities to play their roles as essential partners in advancing social, economic, and cultural development" (EUA, p. 7).

The EU accession negotiations make up the second major force transforming Turkish higher education. In fact, although the official date marking the start of the negotiations for the accession to EU for Turkey was October, 2005, the EU process had already been the driving force behind the changes

in the Turkish political, social, economic, and educational structures for decades (EC, 2005; EU, 2005; Straw & Rehn, 2005).

Today, enormous political, social, and economic transformations, challenges, and crises suggest further need of interconnectedness and interdependence among and between all governing bodies, including educational institutions. The interconnections are felt not only in the exchange of policies, techniques, ideas, or educational activities, but also in the creation of transnational policies for quality improvement, going beyond national governments and borders (Marginson, 2004; Steiner-Khamsi, 2004; Survey of Higher Education, 2005; Tierney, 2004; Van Der Wende, 2001; World Bank 2006). These changes in policy, along with a scarce literature on governance roles of Turkish public university presidents, led to the need for this study.

DESCRIPTION OF DATA RESOURCES

This study was guided by one research question: What are the governance roles of Turkish public university presidents? Qualitative methods were utilized to collect and analyze data; however, as the findings yielded textual constructs convertible to numbers, qualitative findings were quantified (Tashakkori & Teddlie, 2003) to obtain further findings. Data sources consisted of authentic documents, interviews, and observations collected from the Turkish public university presidents to gain insight into the governance roles of Turkish university presidents. Additional data from interviews and opinionnaires, collected from internal and external key individuals related to presidencies, supplemented the findings.

This study was undertaken after a feasibility study was conducted in Turkey (Dalat Ward, 2006). The study was "a first attempt as an exercise in learning by doing as well as exploration into the feasibility of doing a study" (Bogdan & Biklen, 2007, p. 51). Subject matter experts were contacted in Turkey to: (a) judge the feasibility of this study, (b) set up criteria for a sample, and (c) identify appropriate data collection methods which would not only conform to the Turkish culture but also yield credible and dependable findings.

Because the purpose of this study was to describe the governance roles of Turkish public university presidents, a small sample was needed by means of purposeful sampling (Merriam, 1998) to "develop a deeper understanding of the phenomena being studied" (Patton, 1990, p. 165). In addition, four criteria were employed in the purposeful selection process by means of homogeneous sampling so that the data would be "information rich" (Gall, Gall, & Borg, 2003; Merriam, 1998), these criteria included: (a) the establishment date of the universities the presidents governed; (b) the location of the universities the presidents governed; (c) the full EUA memberships of the universities the presidents governed; and (d) the years of experience of the presidents, corresponding to their current presidencies. As the last criterion, if the president lacked two years of experience, the previous vice presidential experience of the president was employed as a substitute, allowing for a wider choice of university presidents for the sample. As a result, from an entire population of 53 Turkish public university presidents, 21 presidents matched the criteria. Considering the expected response rate of the presidents, all 21 university presidents were contacted. Sixteen presidents who responded to the feasibility study made up the sample of this study.

CONTEXT OF THE STUDY

The Turkish public university system is similar to the U.S. state university "six-rung ladder system" (Cohen & March, 1986). The hierarchy of the university begins with the president who governs the university under the Turkish Council of Higher Education, Yükseköğretim Kurumu (YÖK), within the provision set forth by the constitution and higher education law § 2547, *Yükseköğretim Mevzuatı* (*Yükseköğretim Mevzuatı*, 2005). The president of the university occupies the highest position of the six-rung ladder. The vice president or vice presidents, and presidential consultants are located under the president. The deans are situated under the vice presidents and the department chairs under the deans. The professors are located on the next level down, and the students are found at the bottom level. Turkish public university presidents are legal representatives of the institutions they lead, acting as chief academic officer and chief executive officer (*Yükseköğretim Mevzuatı*, 2005). Article 4 of the Turkish higher education law strongly stresses the principles and reforms of Atatürk, the founder of modern Turkey, as well as loyalty to the Turkish nation (*Yükseköğretim Mevzuatı*). Thus, one of the

major responsibilities of the Turkish public university president is to be loyal to the principles and reforms of Kemal Atatürk, the founder and the first president of Republic of Turkey, and to ensure that these principles, coined as *Kemalism* (Atay, 1990) are protected throughout the term of the university president's governance. In addition, the aim of higher education is to lead students so that the students "put the common good above their own personal interests and have full devotion to family, country, and nation" (*Turkish Council of Higher Education, 2002*, p. 4). This is achieved by enhancing the welfare of the Republic of Turkey as a whole. Furthermore, the aim of education is to create students who are "objective, broad-minded, and respectful of human rights" (*Turkish Council of Higher Education*, p. 4). The aims of higher education clearly define the path to the presidency. Candidacy for a Turkish public university presidency requires loyalty to Atatürk and Kemalism as a chief personality trait. The absence of this trait prevents a presidential candidate, no matter how popular, from being qualified for hire (Dalat Ward, 2006).

Other presidential responsibilities are typical in that the president chairs the university senate meetings as well as the administrative board meetings; implements the policy decisions taken by the Turkish Council of Higher Education; makes recommendations to this council; accepts and reviews the minutes of the university council meetings; makes internal decisions; provides progression data on the research activities and publications of their university faculty; manages budgetary and personnel issues; is responsible for the education, the learning, and the research in the institution, in compliance with the Council of Higher Education and higher education law; and assumes other responsibilities as required. As the president chairs the academic board as well as the administrative board, the president is also responsible for making and implementing general policy decisions (*Turkish Council of Higher Education*, 2002; *Yükseköğretim Mevzuatı*, 2005).

Turkish public university presidents are equipped with two major responsibilities vested to the president by the government. One responsibility is the management of the appropriated university budget, and the second responsibility is the dispensing of academic positions, and hence titles, allocated to the teaching staff. Both resources are left to the discretion of the president, conferring a great deal of power on the position. According to the interviews, these duties are subject to exploitation (Dalat Ward, 2006).

METHODS

Document, interview, and observation data were collected directly from the purposefully selected presidents. Additional data were collected through interviews and opinionnaires from key individuals by means of snowballing referrals by a set of highly qualified subject matter experts in Turkey. Collection of additional data provided maximum variation (Gall, Gall, & Borg, 2003) resulting in a "multi-pronged approach to data collection" (Picciano, 2006, p.50). The key individuals interviewed were either internal individuals in the standard six-rung ladder system of the university (Cohen & March, 1986) or were external key figures who had experience and knowledge of Turkish university presidents. These key figures were asked to provide their views and experience regarding the governance roles of Turkish public university presidents in their own words by means of unstructured interviews and written opinionnaires. To provide reliable data, it was imperative to ensure the authenticity of the documents as well as the validity of their content. The documents, which included a two-week schedule of activities of each university president, were collected from the appointment books of the presidents with the help of the executive assistants, acting as key informants (Creswell, 1998). These documents reflected the actual activities of the Turkish public university presidents related to their governance, defined as a "complex set of relations, powers, and influences embedded in a broader, more general campus culture" (Foote, Mayer, & Associates, 1968, p. 160); or as the "structure and process of decision making" (Keller, 2004, p. 21) together with the affiliated entities, purposes of the activities, and time of the activities. As confirmed by subject matter experts, these appointment books were authentic and the contents revealed the detailed data required for the purpose of this study, enhancing the content validity of the instrument.

Table 1.
Data Collection Sources

Participant	*N*	Instrumentation
President	16	document
President	5	interview
President	4	observation
Executive assistant	2	interview
Vice president	1	interview
Consultant to the president	1	interview
Dean	2	interview
Chair	1	interview
Faculty member	1	interview
University press officer	1	interview
Student government general secretary	1	interview
Student	18	opinionnaire
Official of council of higher education	1	interview
Director of an international office	1	interview
Vice chancellor for U.S. university international affairs	1	interview
Journalist	1	interview

Note: The participants are listed according to the order of data collection.

The collection of written documents was supplemented by interviewing the Turkish public university presidents in their own surroundings. Although ". . . the interview method is offset by some limitations . . . it is difficult to standardize the interview situation" (Gall, Gall, & Borg, 2003, p. 223), the unstructured conversational interviews provided a context. These findings were discussed and shared with other university presidents, giving the study an interpretive validity. Table 1 displays the data sources used in this study.

Reliability and Validity

The required internal and external validities for the study were established based on three criteria (Merriam, 1998). First, the findings provided rich, thick descriptions which matched the reality of Turkish higher education and were enough to be transferred to other similar situations and settings. Second, role categories describing the governance roles of the 16 presidents were enough to make comparisons to other universities. Third, because our findings provided enough diversity of the phenomenon by maximization, generalizations of role definitions could be made. Knowing that no previous study of this type was undertaken, this study filled the gap in the limited Turkish literature at a time when massive global transformations were taking place in higher education. As there were gaps in literature, this area of university governance needed attention in the face of rapid transformations (Collis, 2004), adding to the significance of the study.

DATA ANALYSIS

The data analyses consisted of a framework (Creswell, Plano Clark, Gutman, & Hanson, 2003; Onwuegbuzie and Teddlie, 2003) made up of a four-level process, including a total of 30 steps as indicated in Figure 1. The first-level analysis included interview, observation, and opinionnaire data. These data were analyzed initially as they were employed iteratively throughout the process to provide additional knowledge, insight, and key words on the governance roles of the Turkish public university presidents. The second-level data analysis included all documents collected from the Turkish public university presidents and formed the foundation for examining governance roles of Turkish university presidents. Because these documents yielded data regarding interpresidential governance roles, we

developed a Turkish model of public university president governance roles. The term *interpresidential* was coined in reference to Onwuegbuzie and Teddlie (2003). The results of the second data analysis led to the third level of data analysis. At this point the newly-identified Turkish model was compared to the Cohen and March model of governance roles (Cohen & March, 1986) as their model was the only existing model comprised of metaphors describing governance roles of university presidents. Finally, in the fourth-level data analysis, each document (*n*=16) was reanalyzed to determine the intrapresidential and interpresidential governance roles. Throughout the process of the data analyses, the subjects in Turkey were consulted to form a clearer picture of the emerging codes regarding the governance roles of the Turkish public university presidents.

Obtain general sense	Identify roles	Determine association	Display roles
analyze data: interview, observation, opinionnaire	analyze authentic documents	establish pattern between Turkish model and other model	tally intrapresidential and interpresidential roles
QUAL	QUAL ➜ quan	QUAL ➜ quan	QUAL ➜ quan
LEVEL I	LEVEL II	LEVEL III	LEVEL IV
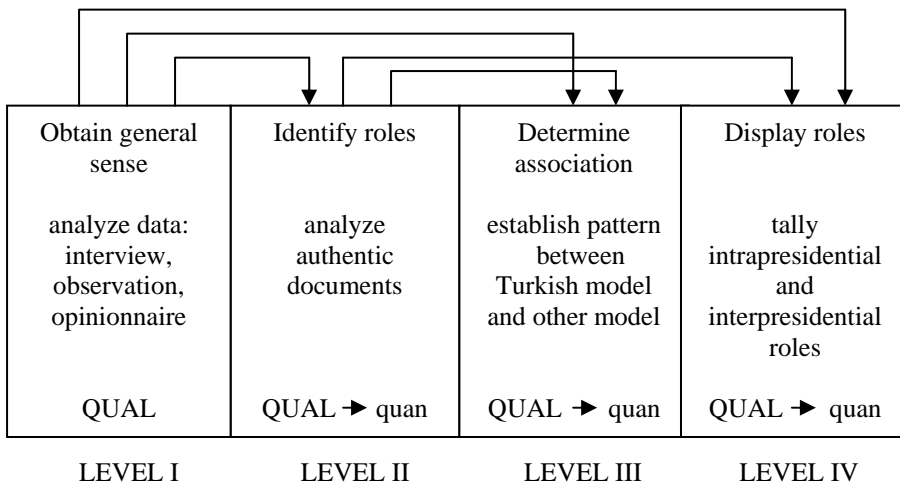
Figure 1. The four-level data analysis process.

FINDINGS

Data were collected from 16 presidents resulting in the identification of 1096 activities. These activities were narrowed down to 206 themed activities and/or performances. The categorization of the 206 thematic activities led to 10 governance roles which made up the Turkish model of public university governance. All underlying assumptions of the study were met accounting for trustworthy data which yielded a deeper insight into the governance roles of the Turkish public university presidents. As confirmed by two independent raters, the Turkish public university governance roles were identified and a Turkish model was determined. The Turkish model of governance roles included: (a) the council role, (b) the interuniversity role, (c) the career role, (d) the government role, (e) the sociability role, (f) the academic administrator role, (g) the ceremony role, (h) the nationalism role, (i) the intellect role, and (j) the public affairs role. A description of each of these roles appears in Table 2.

Table 2.
Turkish Model of Public University President Governance Roles

Governance Role	Description
Council role:	Consists of performances based on the jurisdiction and principles of Turkish Higher Education Law indicating a clear line of authority and role expectancies.
Interuniversity role:	Consists of performances based on Turkish as well as international university collaborations and agreements. The role also includes the binding agreement made with EUA.
Career role:	Consists of performances of presidents continuing their professions as part of life-long learning or enabling the president to contribute to the welfare of the university or the community.
Government role:	Consists of performances based on national governmental relations because universities are part of a centralized system.
Sociability role:	Consists of internal and external representational performances.
Academic Administrator role:	Consists of performances indicating presidents governing their institutions within a system and employing organizational facts and decisions.
Ceremony role:	Consists of occupying a special place of honor in certain assemblies and ceremonies and of addressing issues in certain distinctive ways.
Nationalism role:	Consists of performances aimed at fostering nationalistic feelings through connection to the principles and reforms of Atatürk.
Intellect role:	Consists of performances related to the use of knowledge for the good of the public, and the welfare of the nation in accordance with the general provisions of the Turkish Council of Higher Education.
Public Affairs role:	Consists of performances related to both community welfare and public relations, indicating community and university partnership, and external relations to improve the university.

These role definitions revealed usage of scripts (Biddle & Thomas, 1966, p. 4) and were categorized as formal or informal roles. Formal roles were based on constraining role expectancies while informal roles allowed options with flexibility, depending on the degree and level of superordination or supraordination (Mitchell, 1978). The findings indicated that the council role, the nationalism role, and the ceremony role were formal roles and allowed minimal or no variations as these roles required strict adherence to the Turkish higher education law (Council of Higher Education, 2002; *Yükseköğretim Mevzuatı*, 2005). Contrary to these constraining formal roles, the informal roles offered degrees of variation and flexibility "attributable to his familiarity with the 'part,' or his personal history in general, and more significantly, to the 'script' which others define in so many ways" (Biddle & Thomas, p. 4). Moreover, related to the governance roles of Turkish public university presidents, roles also revealed interactions and behavior of other entities as "these individual variations in performance, to the extent that they do occur, are expressed within the framework created by the factors" involving "social prescriptions and behavior of others" (p. 4). The findings related to these roles also revealed individuals with which the presidents came into contact and their degrees of interactions with these individuals. The degree and level of relations also revealed the superordination and supraordination status of these relations.

COMPARISON OF TURKISH AND U.S. ROLES

Because Turkish and U.S. universities consisted of a similar structure and system, it was almost expected that they shared high levels of commonalities regarding their governing models; however, four important differences became apparent as a result of data analyses.

First, the Turkish Council of Higher Education is the ultimate authority in supervising the Turkish public universities. All public university presidents have civil servant status, and thus, are expected to comply with this authority, consciously carrying out Turkish Council of Higher Education-coordinated activities as part of their governance roles in a complex hierarchy. As opposed to U.S. public university presidents, the Turkish public university presidents are primarily obligated to protect parts of the constitution of Republic of Turkey as well as contribute to the welfare of the nation as they serve students.

Second, unlike the U.S. public university presidents, in Turkey, political and social issues are an indispensable part of the lives of Turkish public university presidents. Turkish public university presidents frequently find themselves pulled into unavoidable political upheavals due to the political structure and geophysical location of the country. Experience in Turkish higher education indicates that any political disturbance in the country or region is likely to have a significant impact on the universities, and as a result, the governance roles of the presidents.

Third, as opposed to the typical U.S. university with a campus identity, the typical Turkish public university is a large institution with 7 to 17 faculties and 20,000 to over 85,000 students scattered around a huge metropolis rather than located on a central campus. Governing of these large, scattered institutions adds more responsibilities to the presidents, transforming their roles beyond their presidencies, making them more like mayors or governors of local jurisdictions.

Fourth, as opposed to U.S. university presidents, with their competitive market or entrepreneurial role (Cohen &March, 1986), Turkish university presidents collaborate with each other, providing solidarity when required, because the system of admitting students to the public universities is not competitive. As potential students continue to increase at a faster rate than the number of available seats at universities, all public universities are fully-, if not over-, enrolled. Certain universities are more in demand than others due to their prestigious and successful academic programs. As interview data revealed, universities make an attempt to attract students with the highest marks, as determined by the student selection and placement exam. This process, however, does not push universities into a competitive mode, as is more characteristic of U.S. universities.

CONCLUSIONS AND IMPLICATIONS

The description of governance roles of Turkish public university presidents provides clues to the internal structures and processes of the university, and the relationships of the presidents to the broader environment of which they are a part. Yet, further research is recommended because: "As far as public bureaucracies are concerned, the environment within which they operate may contain the most critical of all variables affecting their activity" (Peabody & Rourke, 1965, p. 817). Some of the recommended research areas are: (a) an exploratory study to define how Turkish public university presidents learn about their role; (b) a comparative study to determine the governance roles of both public and private Turkish university presidents to understand better how the role of president might be differentiate within the same system; (c) a descriptive study regarding the governance roles of European university presidents to help form a global framework of governance roles, providing more transparency for more uniformity; and (d) a comparative study to determine the significant differences among the governance roles of Turkish, European, and U.S. public university presidents, contributing to the establishment of a stable global framework as indicated by Marginson (2004).

CONTRIBUTION TO THEORY AND PRACTICE

The findings of this study provide a common language for effectiveness and planning at the: (a) organizational, (b) institutional, (c) positional, (d) constituency, and (e) candidacy levels. Gaining insight, understanding, or *verstehen* (Huberman & Miles, 2002; Merriam, 1998; Patton, 1990) on the performances of the presidents contributes to the transparency of the system, as these roles are "dominated by organizational characteristics" (Fincher, 2003, p. 37). By reflecting on presidential role

definitions, not only relations but also issues could be remedied more effectively as institutions are in continual interactions by means of building networks, connecting, collaborating, and planning with one another. By identifying presidential roles, presidents are better able to reflect on their daily activities. As interactions occur, a platform is created to share role expectations, role overloads, role extensions, and role conflicts (Heiss, 1981, p. 115). In fact, as the group members start to acquire a history, they also acquire a culture (Schein, 1985), creating a unity amongst the world of the presidents. By gaining insight into the roles of the presidents, the individuals who make up the six-rung ladder system can better make sense of the ambiguities and conflicts at universities. By exposing presidential roles to institutions, potential candidates running for presidencies are able to understand what the position entails and plan accordingly. Likewise, such an understanding may allow novice candidates to determine their fit for the position.

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THE DIVERSITY MERRY-GO-AROUND: PLANNING AND WORKING IN CONCERT TO ESTABLISH A CULTURE OF ACCEPTANCE AND RESPECT IN THE UNIVERSITY

Raphael C. Heaggans
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ABSTRACT

Heagolka University, a pseudonymous university in Anywhere, USA, is fraught with diversity-related litigations, lack of applicants from ethnic minority groups, and a mono-cultural curriculum in an overwhelming White majority community. This paper presents some proactive measures Heagolka— and other universities in a similar circumstance—may employ to begin diversifying its campus while uncovering the hidden discrimination that may exist in its hiring practices, curriculum, and policies. The article offers pragmatic recommendations for universities in taking steps to develop strategic planning plans and quality management practices so they may begin demonstrating respect for diversity by admitting more qualified ethnic minorities; attracting and retaining qualified administrators, faculty, and staff; diversifying curriculum; and enhancing their reputation for diversity.

INTRODUCTION

The following poem (Polka, 2007) provides a conceptual framework for educational planners to consider when designing programs, projects, strategies, and activities that accentuate diversity and promote the appreciation of differences:

Our Quest
Several individuals have searched diligently for
Similar
patterns, structures, and expressions among
Diverse
people, things, and ideas,
In their quest for simple understanding.

Numerous others have made substantial plans to
Standardize
access, activities, and incentives among
Diverse
people, things, and ideas,
In their quest for simple understanding.

Many others have implemented forcibly with
Precision
programs, models, and assessments among
Diverse
people, things, and ideas,
In their quest for simple understanding.

Some others have evaluated wrongly, and
Rigidly
knowledge, attitudes, and skills among
Diverse
people, things, and ideas,
In their quest for simple understanding.

Others have self-righteously worked to
Homogenize
languages, cultures, and beliefs among
Diverse
people, things, and ideas,
In their quest for simple understanding.

Thus, all of us must begin now to
Humanize
histories, realities, and futures among
Diverse
people, things, and ideas,
In our quest for enriched understanding.

And, each of us must genuinely try to
Appreciate
difference, uniqueness, and individuality among
Diverse
people, things, and ideas,
In our grand quest for enlightened understanding.

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BACKGROUND INFORMATION

Heagolka University, a pseudonymous university, is in an area that is overwhelmingly White in racial composition and middle-class in socio-economic status. Members of its various academic and administrative departments allege that they cannot diversify the campus given the challenges to attracting more ethnic minorities within its faculty, staff, or student body. University leadership note that 95% of the faculty and 90% of the staff are White. Only 2% of the faculty of color is tenured. There has been a history of litigation at the University from ethnic minority faculty and staff on grounds of discrimination.

The University administration asserts that it is "colorblind"; it aims to hire faculty and staff who are well qualified and to admit students who meet its admissions criteria (which has not been overhauled since the 1960s). Yet, the admissions and hiring criteria have an adverse impact on candidates of color.

The University leaders believe that being colorblind provides equitable access to the University; they cannot comprehend why there is not a greater presence of faculty, staff, and students from underrepresented backgrounds. These leaders assert that they are in favor of diversity. But being in "favor of diversity" does not make anyone embrace diversity, just as being for humor does not make one laugh (Bullard, 1996). Accepting and celebrating diversity in the workplace is an on-going process. Too often university campuses take a carnivalesque approach to celebrating diversity. They believe it is a part of diversity awareness. This approach does not lead one to analyze his or her beliefs on diversity, and it does not trigger self-assessment practices that strongly convey the university supports diversity. Further, awareness is a benign, somewhat amorphous state of being without specific action or agency. One may be aware of a person's presence in a room without knowing the person's approximate height, weight, color of hair, or body frame. Thus, awareness can occur without actually focusing on the person at all.

That example raises the specter of people who treat diversity as an incantation, seeking instantaneous results for their campus as opposed to those who wish to confront the issues that foster and nurture diversity as the norm, not exception. Part of any university's underlying goal is to recruit, retain, and graduate students who have developed intellectually, personally, ethnically, and culturally. In light of this commitment, faculty, administrators, staff, and all other persons affiliated with a university have an obligation to prepare students for the diverse world they will face upon graduating (Banks, 1999; Blum, 2002; Cortez, 1999; Morbarak, 2005).

In order for Heagolka University and others like it to make diversity an endemic part of its organization, all employees have to engage in an exploration of the collective prejudices, values, beliefs,

attitudes, and stereotypical notions they hold about persons from underrepresented groups (Maltbia & Power, 2008). It may be a discomforting process, but this discomfort may be a necessary factor in the evolution of the university's community. It is an on-going process. Rather than making overly generalized statements about diversity or trying to avoid discussion of diversity, the process of becoming a diverse university should be constructed in a way that enables discomforting conversations to take place in a secure and supportive work environment (Page, 2007). This paper examines proactive approaches that may be employed at universities as a part of a process of enhancing diversity initiatives.

Before any initiative is operationalized, the university must establish a strategic plan and apply quality management principles during and after its implementation. Kaufman, Herman, and Watters (2002) contend that, "strategic planning and quality management are two useful processes when applied consistently and correctly" (p. 173). The authors added that strategic planning involves establishing, modifying, or collapsing new objectives as a part of direction finding, while quality management enrolls

> all organizational members—everyone—to deliver total client satisfaction and quality. Each person in the organization strives to continuously improve everything they use, do, and deliver. Individuals and organizations learn from mistakes, and use performance data to improve, not blame". (p. 175)

DOING SOME *UNLEARNING*

Just because Heagolka University is located in Anywhere, USA where the area is 95% majority population, does not mean that diversity does not exist in the community. As is often the case, a one-dimensional view of diversity exists on this campus, suggesting that diversity is just about race. It is imperative, however, for university stakeholders who desire to begin the diversity appreciation focus to uncover the various human and cultural differences that already exist within the university community. Figure 1.1 attempts to capture the range of diversity that is found at a university like Heagolka and within its respective community.

Essential university-wide attitudinal changes are more likely to occur as the result of longer-term diversity educational programs where everyone benefits. Reforms should not assume that there is no need for diversity discussions just because there are no blatantly negative comments made about underrepresented groups or because people are openly nice to each other.

Before any university can begin designing an initiative that demonstrates a comprehensive commitment to diversity, the specific needs related to the contextual human and cultural differences should be clearly articulated (Morbarak, 2005; Page, 2007). In addition, as noted by Hoy and Tarter (2008), the overall pattern of organizational decision making needs to center on the following four streams of events:

> *Problems* . . . points of dissatisfaction that need attention, but are independent of solutions and choices. A problem may or may not lead to a solution, and problems may or may not be solved when a solution is accepted.
> *Solutions* . . . ideas proposed for adoption, but they can sometimes exist independently of problems. In fact, the attractiveness of an idea can stimulate a search for a problem to justify the idea.
> *Participants* . . . organizational members who come and go. Problems and their solutions can change quickly because personnel can change rapidly.
> *Choice opportunities* . . . occasions when organizations are expected to make decisions. Contracts must be signed, people hired and fired, money expanded, and resources allocated. (p. 59)

Heagolka University certainly has its share of problems that do not have quick solutions. The University's participants—administrators, professors, support staff, students, alumni, and the community-at-large—can collectively assist in viewing the problems as choice opportunities. To assist in defining the issues at Heagolka University, the following questions, synthesized from ten diversity evaluation questions originally posed by Shireman (2003), may be useful: *What kind of students does our university attract? Why?* Key university personnel—or the leadership of departments within them—should investigate who chooses to matriculate at the institution. In doing so, the first part of the investigation

should include analyzing the demographic profiles of: (1) the counselors from secondary schools who recommend the university to students, (2) the students who obtained information about the University via the Internet, (3) the students who visited the University, and (4) the students who spoke with employers who hired University graduates. Institutional development personnel should then compare the results of the profiles to those students who actually applied, were admitted, and enrolled. Subsequently in this vein, personnel in the office of multicultural affairs can work together with other auxiliary staff at the University to attract more qualified students from various backgrounds to apply for admission.

How socially and academically successful are the students? Key university personnel—or the leadership of departments within them—need to analyze the answers to the following questions: (1) Who
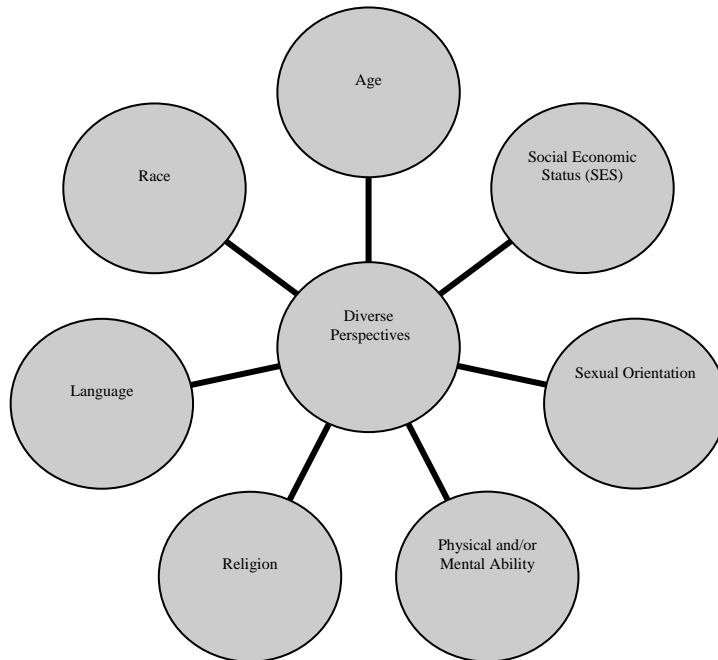
Figure 1. Kinds of diversity within Heagolka University and any other community

are the students that actively participate in leadership positions on campus? (2) Who are the students that are typically on academic probation? (3) Who are the students applying and admitted to graduate school? (4) Why is it that some students do not participate in any of the activities held on campus? (5) What are the differences in graduation rates of White students versus ethnic minority students? and (6) How does the university work with the community to create social events inclusive of culturally diverse perspectives?

What are some ways the university is spreading the news about the positive things it is doing in relation to diversity? When it is stated that, "Heagolka University is located in Anywhere, USA," what stereotypes about the community does that statement instantly create? University leaders need to work together to dispel the stereotypes. If the students are applicants mainly from Anywhere and its surrounding area, dispelling the stereotype to enhance the university's potential for attracting qualified ethnic minority students may be a more difficult task. The University director of multicultural or international affairs should play an intricate role in recruiting students inside and outside of Anywhere and working to keep them successfully matriculating at Heagolka.

Some university personnel may ask, "Why is it necessary to travel to various places to recruit students?" It is essential for the University leadership to regionalize and nationalize the positive diversity efforts of its organization to make them known in other places outside of Anywhere, USA. By highlighting the accomplishments and strategic plans related to diversity efforts, the university leaders may be able to

dismantle stereotypes and attract potential faculty, students, and staff to Anywhere.

Who are our faculty, staff, and administrative leaders within the university? Heagolka University, as similar real world institutions, may have a fine faculty, staff, and administrative team; however, like every university, there is always room for enhancement. Any person can be a positive role model for students; however, the experience at Heagolka University may be more difficult for individuals from underrepresented groups who have limited faculty, staff, or administration with similar human and cultural perspectives. The extent to which the leadership of Heagolka University attracts and retains faculty, staff, and administrators from underrepresented groups may be a primary indicator of the degree the University faculty, staff, and administration have fully embraced diversity outside of tokenism.

What are the racial and ethnic minority students and faculty saying about their experience at Heagolka University? Racial and ethnic minority faculty and students are some of the best recruiters of other racial and ethnic minority faculty and students. Heagolka should unite with the community to determine strategic ways to meet the cultural needs of these faculty and students. Given that the University is in an isolated area in Anywhere, USA, ethnic minority students need to feel connected with the Anywhere community. Most persons want to be around groups of people who share commonalities. Heagolka must be mindful that diversity celebrates difference but also *sameness.*

PRESENTING A CASE FOR DIVERSITY

Change is a difficult process. But, as the adage goes, that if [university leaders] do what they have always done, they will get what they always got. Heagolka is aware of their problems with attracting and retaining ethnic minority faculty, staff, and students. Barclay (1996) posits that institutional leaders cannot

ignore these problems, hoping they will resolve themselves and disappear. One must wonder if our historical patterns of exclusion and differential treatment are so deeply ingrained in the fabric of [the Heagolka University] society that they will hinder [it] from capitalizing on the strength of [its] growing diversity. (p. 49)
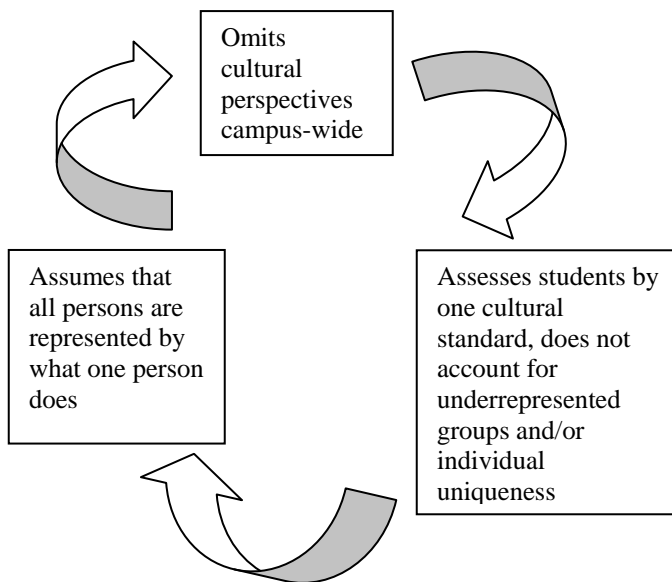
Figure 2. Effects of Colorblindness

Figure 2 illustrates the cycle of negative effects of colorblindness. These effects of colorblindedness have lead Heagolka to place a bandage on that which actually requires surgery. The first director of

multicultural affairs was recently hired at Heagolka to be a part of the president's cabinet in its 150-year history. That is a positive step in overcoming the diversity malaise that has impacted that university. The director and her respective strategic planning team, consisting of students, faculty, administrators, alumni, members of the community, members outside of the community, and others, can develop a proposal to the president's cabinet and board to pursue an ongoing diversity recruiting initiative. Some elements of that plan may include emphasizing:

1. The "Past Prouds"
2. Issues to avoid
3. Becoming diversity-smart

Change is rarely an easy process, but it is a process that begins with individuals and then spreads throughout the organization (Flanagan & Booth, 2002). Some persons within an organization, however, do not wish to disrupt the status quo (Thomas, 2007). The task of the diversity strategic planning team is to convince the president's cabinet and board of the necessity of change to enhance all diversity initiatives (Maltbia & Power, 2008).

Emphasizing the Past Prouds

No university wishes to be known as one that discriminates on the basis of race, religion, gender, age, and so on. But an absence of blatant acts of racism, religionism, sexism, and/or ageism does not mean that these *isms* do not exist. The University has to assess its institution-wide discriminatory practices. Further, Kirkham (1996) suggests:

The reporting relationships, business practices, policies, and even the physical structure of any workplace are based on the cumulative experiences of that organization: the people who have made up the workforce over time, the larger culture they have created, and the total context in which the organization operates. (p. 25)

Heagolka University's mission statement states that it does not discriminate on the basis of race, creed, or sexual orientation, but it took the University 150 years to hire a director of multicultural affairs. But focusing on the University's deficits does not make the president's cabinet or the community naysayers feel empowered to change the future. It is one reason why the *past prouds* should be emphasized. Heagolka University has had strong programs and recognition from the *ABC World Report*. It has increased its ethnic-minority enrollment by 2% within the past year, and it is affordable. These elements may be emphasized to set a foundation for the issues the diversity strategic planning team may wish to address (Konrad, 2006).

Issues to Avoid

Oftentimes, the people in the Heagolka community, as in similar communities throughout the United States, have a challenging time breaking the paradigm of an institutionally discriminatory culture (Dulio, O'Brien, & Klemanski, 2008). The University, as an institution, is directionless about what to do. Barclay (1996) asserts "there is still a reluctance to admit the deep-rooted nature of discrimination, prejudice, racism, and sexism that continue to pervade our society. Until we can admit this reality, developing a solution becomes very difficult" (p. 49). The director of multicultural affairs and strategic planning team must help the University by addressing, not avoiding, these issues.

In making a case to the president's cabinet of Heagolka University, the director of multicultural affairs and the strategic planning team members should present the issues the University wishes to avoid, which are: attrition, withdrawal of alumni support, litigation, under-preparation of students, and an unfavorable reputation.

All of Heagolka's students benefit from diverse perspectives being present on campus; otherwise, the University creates a campus atmosphere of diversity *unawareness*. The effects of it are cultural blindness, bad publicity, litigation, "fudging" of accreditation information related to diversity, and a loss of tuition revenue. For example, if ethnic minorities perceive that Heagolka University is discriminatory in its practices, those students may not apply or withdraw, resulting in lost tuition revenue. Subsequently,

Heagolka's ethnic minority and some White alum may withdraw their financial support of the University, perceiving that diversity and the appreciation of difference is not welcomed. This, leads to negative perceptions about the University, which can, in turn, reduce student applications. Yet, more importantly, losing students from ethnic minority groups leads to the under-preparation of all students for the diverse world that exists around them.

Some faculty members may be aware of the litigious history associated with this University. It has been hit with multiple lawsuits by *qualified* ethnic minorities who applied for positions but were not considered for an interview; or obtained an interview, but, were denied an offer for the position, as the position was given to another who was clearly less qualified. In this instance, diversity unawareness can create a litigious work environment, further damaging the University's reputation.

Becoming Diversity-Smart

Corporations benefit from having a diverse workforce. Any university that does not have a diverse student body, faculty, staff, and administrators is suffering from the effects of *diversity disregard*. Diversity disregard can lead to bad publicity, litigation, misleading student organizations, disingenuously reporting accreditation information as it relates to diversity, and a loss of money.

General Motors provides a vivid example of the impact of diversity disregard. The company attempts to sell the car model *Nova* in Spanish-speaking countries. Yet, "*No va* means 'no go' in Spanish. Had even one employee who knew Spanish and Spanish culture been present to provide guidance, GM could have saved a great deal of money" (Hayles & Russel, 1997, p. 2). Another example Hayles and Russell noted is: "The team that marketed Gerber baby food in Africa made the picture on the label a black-skinned baby, yet sales in Africa were very few. Customers there expected labels that pictured the product, not the consumer. Gerber's losses were substantial" (p. 2). In our contemporary "Global Village" it is imperative that all cultural perspectives are considered and that students are well prepared to appreciate differences between and among people (Brief, 2008; Brislin, 2008).

As with the two examples from business, Heagolka University's losses have been substantial. Recruiting ethnic minorities to the University would mean (a) more tuition dollars, (b) increased enrollment, (c) the potential of greater alumni support, (d) greater diversity, and (e) enhanced public reputation. The enhanced diversity would help the students learn more about persons from underrepresented groups and vice versa. The accrediting agencies that review the programs of Heagolka include diversity components within their evaluation criteria. It is quite difficult for universities that do not take a proactive approach to integrating diversity to meet the standards of their accrediting bodies. Therefore, it is critical that the strategic planning team articulate and record their plans and actions to improve the appreciation of differences. Previously the information reported was misleading to give an appearance of diversity, but, in reality, it was not incorporated into university functions nor assimilated into the university's culture.

So in sum, some of Heagolka's current issues are: (a) developing means to attract qualified diverse faculty, staff, administrators, and students; (b) providing funding/scholarships to qualified White and ethnic minorities; (c) analyzing the relationships between White faculty and diverse students across academic, social, professional and interactive ends; and, (d) retaining diverse faculty and students. This is in an effort to eradicate lawsuits. This University needs to revisit its vision and mission statement on diversity and then develop diversity-related goals and institutional policies and procedures to: (a) increase recruitment efforts and enrollment of students of color; (b) develop more culturally competent graduates; and, (c) establish a strategic planning committee at the grassroots level to monitor growth via the change process.

Sometimes the strategic planning decisions may connect by chance to the appropriate diversity solutions. Cohen, March and Olsen (1972) initially labeled such a chance decision-making model as the "garbage can" approach. Hoy and Tarter (2008) further extended the applications of the "garbage can" approach in their guide to solving problems of practice in education. They contend that sometimes educational change agents will find solutions to problems by realizing that previous attempts at problem-solving in their respective institutions created a series of solutions that may not have been used initially but are still "in the hopper" waiting for the right problem to emerge. Hoy and Tarter further clarified this concept of chance in problem-solving by positing,

Actually a hope-chest metaphor rather than the garbage-can metaphor may be more apt because these ideas are not garbage but rather good ideas that teachers and administrators hope will be implemented. Therefore, they are kept alive in the hope chest, not buried in the garbage can. (p.63)

Consistent with the above hope chest metaphor, a sincere commitment can be demonstrated by the educational leaders at Heagolka University for establishing a diversity curriculum, initiating a comprehensive focus on appreciating differences of all kinds, working with other university doctoral programs that have ethnic minorities to attract them to consider Heagolka for employment post-graduation, and providing on-going diversity workshops (Clements & Jones, 2002; Morbarak, 2005) as part of their diversity "hope-chest." In addition, to make their diversity hopes become reality and to set the climate for change at Heagolka University, the members of the president's cabinet may be specifically assigned to complete the following tasks:

Job Title	Diversity Charge
President	Circulate diversity directives to the institution as they relate to the vision and mission of the University. Lead a review and revision of all University policies and procedures to promulgate an authentic appreciation of human and cultural differences throughout the University.
Vice President	Provide the Director of Multicultural Affairs entrée to faculty to assess what diversity-themed courses exist and how to develop more; require all freshman students to take a designated minimum number of credit hours in diversity-themed courses, beginning with their first semester.
Director of Institutional Development	Assist analyzing/presenting diversity data campus wide; work with Media Relations in developing strategies for presenting diversity data.
Director of Multicultural Affairs	Facilitate diversity initiatives; assist admissions officers with recruiting diverse students.
Director of Enrollment Management	Develop an ethnic minority recruitment plan (outside of Anywhere, USA); assist in promoting learning opportunities leading to the success and retention of diverse students.
Director of Media Relations	Highlight the accomplishments of diverse faculty, staff, and students; analyze how effective the multicultural initiatives are in the regional marketing campaign.

Figure 3. Example of President's and Cabinet's Responsibilities Pertaining to Diversity

Subsequently, the university administration would be strategically planning to improve the diversity at its institution using the "hope-chest" approach to solve non-inclusive historical practices. Even if the desired changes in diversity are slow and meet expected resistance, at least solutions have been identified and may be used sometime in the future (Thomas, 2007). And, as Hoy and Tarter stated, "Although the garbage-can [read "hope-chest"] metaphor is an apt description of the ways some decisions are reached, it may not be as common in most public elementary and secondary schools as in universities. . ." (p. 64). But, they contended that, "The *garbage-can model* suggested that, especially in organizations where uncertainty is high and coordination loose, fortuitous events often influence the way decisions are made" (p. 74).

Hopefully, diversity improvement ideas, such as provided in the above Figure 3, "float" for only a brief time until people agree that the above solutions are good for institutional diversity problems and a

fortuitous match is made (Hoy & Tarter). Consequently, the hope-chest ideas for diversity will then have served a useful purpose.

The Bottom Line

Heagolka has to examine the environment it has created over the years and ensure that their "middle-class, dominant culture students see their own taken-for-granted values and styles and the institutional arrangements with which they are so familiar as simply illustrations of 'culture in action'" (Larkin, 1995). Vogt (1997) states "although education has a general tendency to promote tolerance by increasing commitment to civil liberties, it also promotes commitment to orderly, nondisruptive political procedures and to the values of white-collar, educated people" (p. 62). Overcoming prejudicial attitudes involves analyzing our beliefs about people, things and ideas that we perceive are different from us (Harvey & Allard, 2008). How is it possible for students to analyze some of their beliefs about racism, ageism, sexism and other human and cultural discriminations when some university administrators, faculty, and staff who are perceived by their students to be role models, avoid teaching about these matters as part of Heagolka culture?

Thoughts to Consider

Reverend Martin Niemoller provided sound words of advice: "In Germany, the Nazis first came for the Communists, and I didn't speak up because I was not a Communist. Then they came for the Jews, and I didn't' speak up, because I wasn't a Jew. Then they came for the trade unionist, and I didn't speak up because I wasn't a trade unionist. Then they came for the Catholics, and I didn't speak up because I was Protestant. Then they came for me, and by that time, there was no one left to speak for me" (Niemoller, 1945). Universities have to begin asking themselves: If we were put on trial for our commitment to diversity, would there be enough evidence to convict us? (Clements & Jones, 2002).

Another valued reference for this paper is the following pledge from the Anti-Defamation League that could and should be the first action that authentic diversity-minded individuals and institutional strategic planning teams recite, agree to, and internalize in order to make our university and world a better place for ALL:

A World of Difference

I pledge from this day onward to do my best to interrupt prejudice and to stop those who, because of hate, would hurt, harass or violate the civil rights of anyone. I will try at all times to be aware of my own biases against people who are different from myself. I will ask questions about cultures, religions and races that I don't understand. I will speak out against anyone who mocks, seeks to intimidate or actually hurts someone of a different race, religion, ethnic group or sexual orientation. I will reach out to support those who are targets of harassment. I will think about specific ways my school, other students, and my community can promote respect for people and create a prejudice-free zone. I firmly believe that one person can make a difference and that no person can be an "innocent bystander" when it comes to opposing hate.

By subscribing to this pledge, I recognize that respect for individual dignity, achieving equality, and opposing anti-Semitism, racism, ethnic bigotry, homophobia, or any other form of hatred is a non-negotiable responsibility of all people. (Anti-Defamation League, 1999)

SUMMARY AND DIVERSITY STRATEGIC PLANNING RESOURCES

Each of us, as educational planners and community leaders, must authentically embrace the appreciation of our human and cultural differences so as to serve as genuine role models and to facilitate a more civilized culture wherein individuals are not discriminated against because they are "different" (Clements & Jones; Cox, 2001; Davidson & Fielden, 2003). We each possess the "Power of One" and each of us can make a difference in our world by internalizing the values of diversity and recognizing the inherent dangers associated with the perspectives of homogeneity and standardization. We need to reflect upon the various ways that underrepresented groups have been maltreated and disrespected at our various institutions and in our specific workplace and we must individually pledge to do something about

it. If not, the contemporary mini-holocausts of hate may, again, evolve into another major holocaust. History has a habit of repeating itself unless we individually and collectively intervene to change the course.

As planners and leaders we have the power and the responsibility to provide valuable service to others who are working in their contexts to change discriminatory mindsets. We have the experience and the resources to help others make a difference and, thus, continue to advance a more humane world. The following note from a Nazis Holocaust survivor given to a teacher on the first day of a new school year sums up our view of the significance of valuing an appreciative humane approach to education:

> *Dear Teacher,*
> *I am a survivor of a concentration camp. My eyes saw what no man should witness:*
> *Gas chambers built by* learned *engineers.*
> *Children poisoned by* educated *physicians.*
> *Infants killed by* trained *nurses.*
> *Women and babies shot and burned by* high school and college *graduates.*
> *So I am suspicious of education.*
> *My request is: Help your students become human. Your efforts must never produce learned monsters, skilled psychopaths, educated Eichmanns. . .*
> *Reading, writing, arithmetic are important*
> *Only if they serve to make children more humane. (*Author Anonymous)

To assist you in planning to make a difference at your institutions and workplaces, we have provided a listing of some valuable diversity references, in addition to those used for this paper, which we have found to be very helpful in developing programs, projects, strategies and/or activities that accentuate diversity and promote the appreciation of difference. Of course, our recommended list is limited by our own experiences so we encourage you to assist us in facilitating a more respectful and appreciative world by adding references that you have used to our list and communicating them to us via e-mail so that we may continue to develop a veritable diversity resource cornucopia we may all use in our quest for enlightened understanding.

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PLANNING TO GROW YOUR OWN PRINCIPAL PREPARATION PROGRAMS: CULTIVATING EXCELLENCE IN TOUGH ECONOMIC TIMES

Shawn Joseph

ABSTRACT

School districts concerned with finding high quality principals for their schools should consider developing their own principals through "grow your own" programs. School district "grow your own" programs need system-wide leadership to be successful (Joseph, 2009; Morrison, 2005). If districts systemically incorporate such programs into their strategic plan as a form of succession planning, they have the potential to recruit and retain a talented workforce. The goals and outcomes of the program should be directly linked to the school district's strategic plan to ensure that it is a funding priority for the school system.

INTRODUCTION

There are fewer and fewer qualified candidates available to assume the role of principal in American schools (Educational Research Services, 2000). School systems around the nation are attempting to deal with this shortage of leadership at a time when standards and accountability demands are high, stress levels due to the job are high, pressures on local budgets are high, and salaries for the job are low. The shortage of people desiring to assume the principalship, especially at the secondary level, is detrimental to the future of American public school education because the principal has consistently been cited as a key factor to a school's success (Edmonds, 1979; Leithwood, Louis, Anderson, & Wahlstrom, 2004; Murphy, 2002; Waters et al., 2003).

Recruiting principal candidates is only one part of the challenge districts face in securing high caliber principals. Over the past 20 years, initial licensure programs for aspiring principals have been under scrutiny. In 1987, the National Commission on Excellence in Educational Administration (NCEEA) published *Leaders for America's Schools,* which was critical of schools of education and their educational leadership preparation programs as they related to recruitment practices, instructional leadership preparation, professional development, licensure standards, and use of real-world problems and experiences. The National Policy Board for Education Administration (NPBEA) published *Improving the Preparation of School Administration: An Agenda for Reform*, and in 1990, it published *Alternative Certification for School Leaders*. These two reports emphasized revising core curricula to focus on instructional practice and ethics, raising standards for licensure and certification, and stressing clinical experience. The Broad Foundation and the Thomas B. Fordham Foundation published *Better Leaders for America's Schools: A Manifesto* in 2003. This report argued that school leadership programs should be abolished and replaced with alternative programs that were created and implemented by schools, districts, and states instead of universities. Most recently, Levine (2005) identified weak criteria for admissions, irrelevant courses, weak academic rigor, unskilled teachers, and incoherent curricula as problem areas in traditional training programs. If graduate schools of education are not adequately preparing candidates to assume principalships, and if the shortage in the pipeline to the principalship continues, districts will face dire shortages in applicants for this critical position. In response, districts need to devise creative ways to maintain the quantity and quality of principal candidates for their schools.

PROBLEM STATEMENT

With a shortage of candidates to assume the principalship, and with traditional preparation programs being criticized for not adequately preparing future administrative candidates, many school districts are attempting to develop their own principals through district-run programs. "Grow Your Own" principal preparation programs are becoming more common in large school districts, but the literature on grow your own principal preparation programs is scarce (Joseph, 2009; Miracle, 2006; Morrison, 2005). According to Glasman, Cibulka, & Ashby (2002), there are growing numbers of innovative leadership preparation programs around the country, yet there is little or no systematic evaluation of them. As school districts grapple with shrinking budgets, investigations that explore the economic factors associated with grow

your own programs and how school districts manage to maintain high quality programs in changing budgetary times are needed. The purpose of this study was to evaluate a secondary principal development program in a large school district in a mid-Atlantic state. The original study used Stufflebeam's (2000) Context, Input, Process, Product (CIPP) evaluation model as a conceptual framework. This article will focus on the input evaluation from the original study. The input evaluation was heavily focused on resource allocation, and was intended to answer questions such as: How is the secondary principal training program funded? Were there barriers to implementing effective research-based practices due to funding limitations?

CONTEXT OF STUDY

The study was conducted in a school district in the mid-Atlantic region of the United States. District Y was the largest school district within its state during the study. District Y had both suburban and urban characteristics, and it was one of the most diverse school districts in the state. The average SAT score for the district during the time of the study was 1624 when averaging the scores on the critical reading, mathematics, and writing subtests. The total possible score on the SAT is 2400. The SAT was the most widely accepted college admissions test in the region in which this study was conducted. There were 200 schools within the school district, and it was highly diverse racially. The racial make-up of the school district during the time of this study was as follows: 22.9% African American, .03% American Indian, 15.2% Asian, 21.5% Hispanic, and 40.1% White. One fourth of the students within the district received free or reduced-price meals.

District Y began implementation of an Administrative and Supervisory Professional Growth System (A&S PGS) in the 2003-2004 school year with 50 principals. During the 2004-2005 school year, the implementation was expanded to all principals, school based administrators, and central office administrators. The school district described the purpose of the district's professional growth system for administrators as the following:

- Provides a comprehensive system for developing and evaluating administrators and supervisors;
- Sets clear expectations about the roles and responsibilities for each administrative and supervisory position;
- Describes professional growth opportunities to support and nurture all administrators and supervisors;
- Creates a dynamic structure for critical reflection, continuous improvement, and lifelong learning; and,
- Promotes personal ownership of professional development and incorporates self and peer appraisal.

The school district had developed a sequence of training programs to prepare future principals: the AP 1 program, the AP 2 program, and the internship. All of the candidates in these principal training programs had their initial licensure to be an assistant principal in the state in which the district resides. The programs began in the early1990s, prior to the existence of the comprehensive Administrative and Supervisory Professional Growth System (A&S PGS) created in the 2003-2004 school year, and have evolved over time due to budgetary constraints. Initially, cohort groups moved from the AP 1 program to the AP 2 program. After completing the AP 2 program, administrative candidates were considered assistant principals within the district. Assistant principals who were deemed ready to assume a principalship were invited to participate in the internship program.

The secondary AP1 and AP2 programs were for middle school and high school administrative candidates. Administrative candidates participated in a two-year program, which included participating in full-day monthly seminars as a cohort in addition to participating in a professional development team meeting with their principal, an outside principal consultant, and a central office supervisor. The professional development team met five times throughout the year for two hours each meeting. The AP 1 or AP 2 used this meeting to demonstrate proficiency on the school system's principal standards by sharing a portfolio of his or her work and reflecting with veteran district administrators and a mentor on the portfolio and related administrative experiences. Upon successful graduation from the AP2 program, candidates deemed ready were invited to participate in the third phase of the program, the

internship. This program was for experienced assistant principals, and it assisted these administrators with preparing for the principal interview process within the school district. The program also included a four-week internship program in which the administrative candidates assumed the responsibilities of the principalship.

METHODOLOGY

An input evaluation was conducted to answer the following research questions:

1. What resources (financial, facilities, human) were made available in the initial design of the secondary principal preparation program?
2. What resources (financial, facilities, human) were made available in the current implementation of the secondary principal preparation program?

Input evaluation identifies the resources and strategies needed to accomplish program goals and objectives (Gall et al., 1996). Stufflebeam et al. (2000) noted that input evaluations assess one's existing practice and whether or not the existing practice is appropriate compared to what is being done elsewhere or with what is proposed in educational research literature. The literature related to the development of aspiring principal programs identified the following resource considerations: principal candidate professional development, the internship experience, the cost to evaluate the program, and mentoring from experienced administrators (Bottoms et. al., 2004; Browne-Ferrigno, 2001; Educational Research Services, 2000; Jackson & Kelley, 2002; Maryland State Department of Education [MSDE], 1998).

This component of the study relied on three primary sources of data: individual interviews, focus groups of principals, and document reviews. Interviews with executive staff members of the school district, including the district superintendent, deputy superintendent, chief financial officer, associate superintendent for human resources, associate superintendent for organizational development, the former associate superintendent for organizational development, the chief performance officer, and the former chief performance officer were conducted. In addition, personal interviews were conducted with the administrative union president and the director of secondary training. Focus groups were conducted with principals that had trained principal candidates in previous years, and internal financial documents and program descriptions were analyzed. Data were coded, chunked, and triangulated to search for patterns and draw conclusions.

Table 1 summarizes the research questions, data collection methods, and analysis procedures for this study.

Table 1:

Research Questions and Data Sources, Collection, and Analysis

Research question	Data source	Method of collection	Data analysis procedure
What resources (financial, facilities, human) were made available in the initial design of the secondary principal preparation program?	Executive staff Director of secondary training Principals	Personal interviews Focus group interviews Document review	Qualitative: Organize into patterns Look for patterns Draw conclusions
What resources (financial, facilities, human) were made available in the current design of the secondary principal preparation program?	Executive staff Director of secondary training Principals	Personal interviews Focus group interviews Document review	Qualitative: Organize into patterns Look for patterns Draw conclusions

Records regarding the cost of the program at its inception were not available. The program had seen a change in leadership both with the associate superintendent for organizational development and the director of secondary leadership development. As a result, data from the programs early years were not accessible; however, a former executive staff member noted that resources of the program had not changed over time, with the exception of the program cutting "training representatives" from its budget. Training representatives were additional consultants that worked with the principal, outside principal consultant, and the central office supervisor on the developmental team. The training representatives' jobs were incorporated into the duties of the outside principal consultants when the training representative position was cut.

The total cost of implementing the secondary training program in District Y during the 2008-2009 school year was $471,761. This did not include the salary of the director of secondary leadership. The majority of these costs were for consultants that participated in the program. The consultant fees were approximately $440,819. A total of 105 individuals participated in the secondary principal training program during the 2008-2009 school year. The average cost per participant was $4,493. Based upon the financial documents analyzed, the secondary leadership development program was less expensive than other nationally job-embedded training programs. According to a 2005 case study conducted on a prominent national job-embedded training program, the total cost per participant for that program was $100,000. The total cost per participant for the district was $60,000, plus benefits. The total cost of private funding donated to the program was $2,000,000 (Clayton, Childress, & Peterkin, 2005). In comparison to this program, implementation of the secondary leadership training program in District Y was substantially less expensive. The executive staff member responsible for the operating budget shared that comparable training programs offered by a university would also be much more costly. Indeed, the cost of earning 12 graduate credits in education at the study state's flagship university was $5,328 during the 2008-2009 school year.

Further, the total cost of the program estimated by the district did not include the time invested by executive staff members and other employees throughout the school district to support the training of administrators. District Y effectively maximized the use of its existing personnel by having the majority of offices in the school system working with the secondary leadership training program--presenting system policies, procedures, and best practices to administrative candidates. In this way, the district "absorbed" the cost of the training program, rather than ascribed an additional cost to it.

Despite the apparent cost (versus budget) reductions over the years, the program was perceived to be meeting its goals. The superintendent of District Y was proud of the fact that the majority of principals within the district participated in the program. He stated, "We hire our own not because they are our own, but because they are the best candidates available" (Personal communication, May, 2008). Participants in the program perceived themselves to have moderately strong leadership skills. A review of the 2005-2006 organizational development annual report describing data on the performance of administrative interns revealed that 11 of 12 interns were selected for principal positions. In addition, 97% of the AP2s, 34 of 35 participants, and 100% of the AP1s, 28 of 28 participants, successfully demonstrated mastery on the school system standards.

Respondents noted only one major area of deficiency in the program – the internship. Difficulty in implementing an internship at the secondary level was a direct byproduct of the expense in providing that program feature. The internship is limited to one month in length and the number of internships offered by the district was limited to five per year since its inception due to the cost. System leaders and program participants all recognized the need to increase the number of internships and the amount of time of each internship, but they were not able to do so because of cost. Executive staff members shared that they would prefer to see the internship extend to a 9 week period at a minimum. The limited time did not give administrative interns time to address some of the tough, complex decisions principals make on a daily basis. One administrative intern shared:

> I got a sense that my staff was just going to wait for any major decisions until my
> principal returned because a 4-week period is so short, they could do that. So

perhaps it would have given more experience with working with staff on tough decisions because it would have given them more time to wait. I wasn't seeing nearly the issues I would face as a principal because they could wait out 4 weeks. (Aspiring principal intern A, personal communication, May, 2008)

"Grow your own" principal preparation programs can be cost effective in comparison to paying for an outside agency to develop a program for district participants. Much of the costs associated with "grow your own" principal preparation programs can be absorbed by utilizing district "experts" to serve as primary trainers. "Grow your own" programs assist with quality control and enable districts to effectively hire internal candidates for principal vacancies. In this way, they also reduce hiring costs. Yet, one major cost consideration for districts considering implementing a "grow your own" principal preparation program is the cost of implementing an extended, substantive internship program.

DISCUSSION

School districts concerned with finding high quality principals for their schools should consider developing their own principals through "grow your own" programs. School district "grow your own" programs need system-wide leadership to be successful (Joseph, 2009; Morrison, 2005), but if districts systemically incorporate such programs into their strategic plan as a form of succession planning, they have the potential to recruit and retain a talented workforce. The goals and outcomes of the program should be directly linked to the school district's strategic plan to ensure that it is a funding priority for the school system. As was the case with District Y, the budget for the "grow your own" programs can remain relatively stable, but the actual costs can be absorbed in the district in other ways, if the district strategically commits to maintaining the program over the long run. In this light, it is important for a system that is planning on implementing a "grow your own" program to have a well-designed strategic plan for the program. Program budgets should be realistic both with respect to costs but also program sustainability. A clearly articulated strategic plan for the program is essential to effective communication about the program and the program's intent to stakeholders.

The cost of implementing a secondary principal development training program in a school district can be manageable, if the school district is training large numbers of administrative candidates yearly. The average cost per participant of implementing the training program in the school district in this study during the 2008-2009 school year was approximately $4,493. This amount was relatively inexpensive considering that participants attended 10 full-day trainings in addition to two-hour professional development team meetings 5 times throughout the school year. The typical graduate school of education in the region in which this study was conducted requires 40 hours of class time for a graduate student to earn 3 credits. District Y's secondary training program exceeded 90 hours of development time and was less expensive. Hence, the program can be sold to district administrators as more value for less money.

For districts in dire financial situations, exploring opportunities to create a fee structure for participants that could be deducted through employee's payroll deductions in return for continuing education credits may be a solution to financing a training program. Many states allow school districts to offer courses to participants for continuing education credits (Roach, 2006). Requiring participants to bear a portion—or all—of the financial obligation associated with training is a viable option to addressing the financial concerns associated with establishing "grow your own" programs.

School districts seeking to implement a substantive internship program will need to consider creative options for minimizing the impact of the costs of such programs. The costs that are typically associated with implementing a fully-released internship experience include releasing the administrative candidate to assume an acting principal position for an interim time and paying the host principals' salaries while they are released from their principal duties to work on a school system project. One cost neutral option for school districts to consider is coordinating internship experiences between schools such that the principal of one school serves as an interim assistant principal in a cooperating school, thus allowing the assistant principal of the cooperating school to serve as the acting principal of the receiving school. The exchange would be a professional opportunity for both the intern and the cooperating principal as the cooperating principal could either provide support to the receiving school or conduct

action research within his or her own cooperating school. Either scenario provides opportunity for the cooperating principal to grow professionally and benefit the school. This exchange of personnel could provide district administrators with valuable insight into effective practices without costing the school district additional funds to pay for consultants to release administrators from their responsibilities. One concrete example of such an exchange would be for a principal of a high school that is not organized by smaller learning communities to visit, and perhaps serve as a visiting assistant principal for, a school that is organized by smaller learning communities. In this way, the principal has the opportunity to understand the processes, procedures, and resources that are associated with moving a school towards smaller learning communities while at the same time, vacating a position that can be temporarily filled by an intern. These immersion experiences, if structured and supported, could provide great learning opportunities for participants.

"Grow your own" programs' costs can be inflated through the fees of outside consults. In contrast, utilizing district administrators as "consultants" and mentors to aspiring principals can have the dual benefit of reducing out-of-pocket costs (marginal stipend versus full fee) as well as differentiating staffing and pay for principals. In difficult economic times, when cost of living increases for employees are politically difficult to obtain, an opportunity to structure additional stipends for principals to mentor and supervise administrative candidates is an attractive option. Interns would have the benefit of a structured mentoring program led by a sitting principal either in or outside the building to which they are assigned. School districts would benefit by paying a flat stipend to a principal versus an hourly rate of pay to an external consultant. Consultant principals would benefit by increased salary during difficult economic times when many districts are freezing administrator pay. Further, stipends are generally not subjected to the public scrutiny formal contractual salaries receive, as stipends often do not count towards pension formulas, thus, making them easier to implement.

School systems can also utilize the expertise of experienced assistant principals to serve as trainers and presenters in "grow your own" programs. One challenge of many school district training programs is that experienced assistant principals, if they do not assume a principalship immediately, do not receive support or attention. In District Y, for example, only five administrative candidates are considered for an internship. In a large school district with over 80 assistant principals with three or more years of experience, opportunities should be offered to assistant principals that are strong to share their expertise and be acknowledged for their contribution by developing others. Again, a stipend structure could be utilized that costs less than the fees associated with the use of external consultants. Equally as important, such a process would give assistant principals with experience opportunities to hone their leadership skills while training candidates on concrete topics. This would allow experienced assistant principals to demonstrate their abilities and be recognized in the larger political environment of the school district. Such exposure can lead them to be hired as a principal. In this way, the program would then be viewed as an ongoing professional development program for principals and experienced assistant principals to continue to learn and develop their skills while supporting others.

In these examples of utilizing existing capacity to develop new capacity, stipends can also be thought of broadly. For example, districts can pay for trainers to attend local or national conferences to continue to develop their skills. Stipends can also take the form of school-based grant money and internships in other levels of the system such as the central office or superintendent's office for principals who have such career aspirations.

There are numerous benefits for a district that decides to create a "grow your own" principal training program. Building the capacity of principal candidates requires planning and visionary thinking. The costs associated with developing a "grow your own" principal training program are minimal, and as difficult economic times plague school districts, these programs can survive with proper planning. School districts that chose not to develop the capacity of their leadership have missed an opportunity at ensuring a high level of quantity and quality control within their districts.

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