

## **ABSTRACT**

April LoFrane Abbott. A PHENOMENOLOGICAL STUDY OF FIVE HBCU CHANCELLORS IN ONE SOUTHEASTERN STATE (Under the direction of Dr. Sandra Seay). Department of Educational Leadership, November 2014.

Founded out of necessity due to overt racism that kept Blacks out of higher education, HBCUs today find themselves in precarious positions to stay relevant in an academic field where PWIs compete for Black students. There is scant literature on the leadership styles that HBCU chancellors use to address challenges; therefore, this phenomenological study explored the experiences of being a chancellor of five publicly-funded HBCUs in one Southeastern state. Their leadership styles provided supplemental evidences of how they experienced being a chancellor, revealed leadership traits, and identified and addressed challenges. The leadership styles--transformational, transactional, and passive avoidant--are components of the Full Range Leadership Development model. Experiences were explored using triangulation methodology: the MLQ 5X questionnaire, interviews, and speeches. From these data, overlapping experiences emerged. Words and statements that best represented the experiences were extracted and organized by themes. The major themes included financial concerns, motivation, student centeredness, and finding external and internal supporters. The chancellors' scores on the MLQ 5X were averaged to determine their leadership styles and behaviors. Based on the scores, one chancellor used a combination of leadership styles. Another chancellor had high transformational scores with higher than average transactional and passive avoidant scores. Three chancellors had higher transformational scores. The findings showed that these chancellors shared similar experiences and used a variety of leadership styles in leading their institutions.



A PHENOMENOLOGICAL STUDY OF FIVE HBCU CHANCELLORS  
IN ONE SOUTHEASTERN STATE

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the Faculty of  
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Doctor of Education

by  
April LoFranee Abbott

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## **CHAPTER ONE: INTRODUCTION**

### **Background of the Study**

There is no agreement on a definition for leadership (Northouse, 2003). Scholars define leadership differently. For example, Bolman and Gallos (2011) offer that leadership is an expression of oneself and one's talents, principles, ambitions, and ideas. According to Sosik and Jung (2010), leadership is about using behaviors that can be observed, described, and recorded. Furthermore, it is about crafting organizations and policies that develop people along the way. Leadership moves leaders and followers from passive to active styles of leadership, raising followers' work to excellence, and maintaining a positive and results-oriented environment. Leaders influence others to achieve goals. Leadership takes place at all levels in an organization, sometimes politically and charismatically, sometimes bureaucratically, sometimes at a distance, or at times, face to face (Bess & Dee, 2008). Even though scholars offer their own definitions of leadership, they agree that leaders cannot get the job done by themselves (Bess & Dee, 2008; Bolman & Gallos, 2011; Sosik & Jung, 2010).

In the 1800s in the United States, one person could exercise major influence over stakeholders at a university, as did Nicholas Butler at Columbia University, Andrew White at Cornell University, William Harper at the University of Chicago, and Daniel Gilman at Johns Hopkins. These presidents had the power to change considerably the course of education on their campuses (Bess & Dee, 2008). Such powerful influence may not be possible now. For stakeholders, the university chancellor and president carry significant power as the person in charge for guidance. Accolades, or culpability for institutional outcomes, fall to those who are viewed as being in charge. In higher education, leadership takes place not only at the top but throughout the organization. Therefore, vice-presidents, deans, chairs, and faculty have a formal

responsibility for leadership. Leadership in higher education is complex because of the need for leaders to be able to navigate the union of bureaucracy and shared governance. Effective leadership in private and public institutions requires individuals who have the ability to react to unexpected events in an informed manner, understand the importance of fund raising, and have the expertise to marshal institutional resources to attainment of academic goals (Mead-Fox, 2009, April 24; McCorkle & Archibald, 1982).

Chancellors and presidents of higher education institutions, whether two-year or four-year, private or public, are judged by their ability to lead their institution to meet certain goals as outlined by the boards of trustees of their institutions. Such constant scrutiny makes it even more difficult for chancellors and presidents to deal with critical issues, such as an oscillating economy, demographic changes, technological advancements, challenging stakeholders at their institutions, and globalization. Strong leadership is important for the survival and progression of any university (Cantey, Bland, Mack, & Joy-Davis, 2011), but it is imperative at private and special interest institutions, such as historically Black colleges and universities, colleges of art and design, and schools of dance and music. Chancellors and presidents, at these institutions, face multiple challenges that threaten the success of their institutions and many struggle to keep their doors open (Basham, 2012). Chancellors and presidents must be inclusive and involved with faculty, students, staff, trustees, alumni, and supporters. In addition, they must share their vision for the direction of the institution, establish a climate of greatness, instill trust, and enliven the stakeholders' participation (Basham, 2012).

It is crucial that the higher education chancellor and president be capable and informed because they are at the helm of the institution and are responsible for making sure that students are prepared to become viable members of the labor force. Students attend college with the

expectation that their studies will prepare them for specialized work. The responsibility for making decisions on how to prepare these students is a vital undertaking for the leaders of these institutions. Therefore, it is a collaborative effort by the chancellor and president, other administrators, faculty, and other internal and external leaders to make sure that the institutions are successful. It is the chancellor's and president's job to provide the leadership that will instill motivation for others to follow and become leaders themselves. This collaborative effort occurs at different types of higher education institutions. Some studies have provided historical and descriptive classifications of higher education institutions to include predominantly White institutions (PWIs) or historically White institutions (HWIs), tribal institutions, and historically Black colleges and universities (HBCUs). The focus of this study is on HBCUs.

HBCUs face the same challenges as other higher education institutions with the addition of unique problems based on their historical origins. HBCUs are academic institutions established prior to 1964 for the purpose of educating Black students who had been left out of the educational process (U.S Department of Education, 2011b). Two-year and four-year higher education institutions (community colleges and universities, respectively) are included in the definition of an HBCU. There are 105 HBCUs, but not all are accredited. Like all institutions of higher learning, HBCUs strive to prepare students for the job market, and this endeavor comes with many difficult tasks.

One aspect of the mission of HBCUs is the preparation of students for the labor force (United Negro College Fund, 2012). Historically and contemporarily, HBCUs remain one of the best ways for Black students or students of any race to receive an education. According to the United Negro College Fund (2012), the following statistics show the importance of HBCUs:

1. HBCUs graduate almost twenty per cent of the Black students who earn undergraduate degrees.
2. HBCUs graduate over fifty percent of Black professionals.
3. HBCUs graduate over fifty percent of Black public school teachers and seventy percent of Black dentists.
4. Fifty percent of Blacks who graduate from HBCUs go on to graduate or professional schools.
5. HBCUs award more than one in three of the degrees held by Blacks in natural sciences.
6. HBCUs award one-third of the degrees held by Blacks in mathematics.

Even though some HBCUs have done well preparing students for the workforce, many HBCUs are struggling to remain open. Projections that indicate that racial minorities will soon be the predominant members of the workforce do not guarantee that these students will attend HBCUs in the future. When selecting a university to attend, minority students now have more choices (Wenglinsky, 1996). Because of this, HBCUs have to compete in recruiting minority students. This is only one of the challenges that HBCU chancellors and presidents have to address successfully for the survival of their institution.

### **Conceptual Framework**

HBCU institutions are the avenues through which significant numbers of African Americans have arrived at economic and personal success (Mabajekwe, 2006). The need for these institutions continues as the numbers of educationally disadvantaged youth across economic and racial groups grow (U.S. Department of Education, 2011a). For all institutions, in times of crisis and prosperity the role of the chancellor/president is recognized as being



important for maintaining academic integrity and for insuring the appropriate and efficient use of resources (Densten & Gray, 2001). The need for effective leadership is especially important when academic institutions are operating under stress (Bensimon & Neumann, 1989). A significant number of HBCUs are operating under accreditation and financial stress (Gasman, 2008; Stewart, 2013)

Articles in the popular press and professional journals suggest that the sustainability of HBCUs requires leadership that uses work place behaviors associated with the transformational leader concept (Nichols, 2004; Schexnider, 2008). Transformational leadership is a concept attributed to Burns (1978) and Bass (1985). It describes leadership behaviors that result in a leader and followers motivated to achieve the same workplace goals. The concept of transformational leadership acknowledges that the accomplishment of workplace tasks requires interaction between the leader and the worker (Basham, 2012). Chancellors and presidents cannot perform every task associated with the operation of educational institutions (Richmon & Allison, 2003). Academic leaders can verbalize and communicate a vision to campus employees. However, the actual performance of work tasks requires the engagement of others. According to transformational leadership theory, the leader functions as a motivation source that inspires all on a campus to perform tasks with commitment (Bass, 1998). That inspiration then leads to engagement by workers and a commitment to the performance of their work tasks. Transformational leadership behaviors are only part of a range of leadership behaviors that a leader might use (Burns, 1978; Bass, 1998). The entire leadership behavior continuum moves from transformational to transactional to passive avoidant. Ranges along the continuum are associated with specific kinds of leader-employee interaction (Bass, 1998). The leadership

ranges are concepts developed in the Full Range Leadership Development model (FRLD) described below (Bass, 1998).

The Full Range Leadership Development model (FRLD) examines the leadership behaviors of administrators. Positive leadership characteristics have been embodied in the FRLD model. The FRLD model contends that leaders demonstrate leadership behaviors ranging from active and effective leadership to passive and less effective leadership. These leadership behaviors make up the three components of the FRLD model: transformational, transactional, and laissez-faire. The degree to which a leader is one of these components is measured by the Multifactor Leadership Questionnaire 5X (MLQ 5X) (Bass & Avolio, 2004). The three leadership orientations can be distinguished in terms of how the leader works with others and the leader's value orientation (Bass & Avolio, 2004). The transformation leader relies primarily upon a team approach to the accomplishment of tasks. This leader values learning, encourages professional development in employees, and is open to new ideas (Basham, 2012; Kaifi & Mujtaba, 2010). In order for transformational leadership to take place on an academic campus, presidents must be informed, influential, and technically capable, and they must be able to depend on the assistance of stakeholders who share the same vision (Basham, 2012). Unlike the transformational leader, the transactional leader is less concerned with eliciting ideas or solutions to problems from employees. Instead, the transactional leader sets the organizational goals and uses rewards when goals are met. This leader does not emphasize helping employees to develop their work skills (Sosik & Jung, 2010). Passive avoidant leadership is characterized by leaders who allow employees to determine work goals and the procedures for attending those goals. This leader does not display an emotional attachment to employees as does the transformational leader. Also, the passive avoidant leader does not set goals and does not reward employees for

the attainment of those goals as does the transactional leader (Sosik & Jung, 2010). Some research shows that effective leaders use a combination of transactional and transformative behaviors (O'Shea, Foti, Hauenstein, & Bycio, 2009).

Some reports have described HBCU presidents as tyrannical and not given to embracing the tenets of transformational leadership (Drewry & Doermann, 2001). From a research point of view, a central question that is not addressed in the literature is: If the reports are true, then why might HBCU chancellors and presidents not use transformational leadership behaviors? Obtaining first-hand data about presidential decision-making from five HBCU chancellors working at public institutions in one state provides insight into each president's personal perspective on appropriate leadership actions. As was found by Neumann and Bensimon (1990), allowing the heads of academic institutions to speak for themselves is in essence allowing chancellors to outline their personal theories of leadership and the reasons why they might behave in particular ways. In this study, the transformational leadership concept is used as a lens to understand how HBCU leaders define their leadership challenges and why they select certain approaches to address those challenges.

### **Statement of the Problem**

HBCUs have played a pivotal role in educating and preparing minority youth for the labor market (United Negro College Fund, 2012). Although this is no longer the case for many African Americans, at certain junctures in American history, HBCUs represented the primary, if not the only, college educational opportunity for many African Americans. These institutions remain a solid educational choice as demographics trend toward an increase in minorities' requiring a formal education (Bartsch, 2009; Hussar & Bailey, 2011). However, the ability of these schools to continue educating these youth is in jeopardy due to multiple challenges posed

by an oscillating economy, expanded opportunities for minority students, increasing competition among schools for qualified students, technological advancements allowing for distance education, student retention pressures, faculty governance, and globalization. An HBCU's history and financial status are strong indicators of its survivability, and, in order to survive, it must remain viable. HBCUs must adopt leaders who are capable of adequately addressing these challenges (Brown, 2010; Cantey et al., 2011; Gasman, 2012; McDemmond, 2010; Ricard & Brown, 2008). The chancellor and president are viewed as part of the leadership that will offer solutions (Basham, 2012; Minor, 2005).

Research has revealed that one of the factors associated with HBCUs falling into a precarious state is a lack of leadership (Brower & Balch, 2005; Gasman & Anderson-Thompkins, 2003; Minor, 2005). To improve the chances of effectively dealing with the aforementioned challenges, search committees and boards of trustees should consider these issues identified by scholars. They must find and retain good presidents by (a) finding leaders, not just managers, (b) dealing with the general stress of the economy, (c) finding contributors and donors, (d) clarifying the value of an HBCU to a larger public, and (e) using behaviors that are conducive for motivating and encouraging faculty and staff to do their work correctly (Gasman, 2012; Jackson & Nunn, 2003; Minor, 2005).

In regard to addressing these challenges, evidence has established the importance of strategic leadership at institutions of higher education in general (Adair, 2010; Morrill, 2010). In contrast, scant literature exists regarding the challenges HBCU leaders believe they are facing and how they have chosen to address these challenges.

## **Purpose of the Study**

This phenomenological study was designed to explore and describe the leadership styles and behaviors that chancellors in one Southeastern state used in dealing with the challenges of being leaders of HBCUs. More specifically, this study was driven by five main and four subset research questions:

1. What is the experience of being an HBCU chancellor in one Southeastern state?
2. What traits of leadership do the HBCU chancellors believe to be important?
3. What challenges do the HBCU chancellors face?
4. What approaches do HBCU chancellors use to address similar challenges?
5. What are the HBCU chancellors' leadership styles?
  - How do the HBCU chancellors exhibit transformational leadership behaviors?
  - How do the HBCU chancellors exhibit transactional leadership behaviors?
  - How do the HBCU chancellors exhibit passive avoidant leadership behaviors?
  - What are the HBCU chancellors' life experiences that they believe developed their leadership styles?

In order to find answers to these research questions, a phenomenological approach was used. A survey, an interview protocol, and a speech from each chancellor were analyzed to explore their leadership experiences at five publicly-funded HBCU institutions in a Southeastern state (see Appendices C, F, and G).

## **Significance of the Study**

This study gave the chancellors of five, publicly-funded HBCUs in one Southeastern state the opportunity to reflect on how they work with others to achieve basic institutional goals, such as recruiting and retaining sufficient enrollment numbers, maintaining academic standards,

working constructively with critical stakeholders, and dealing with the challenges of fundraising. All of these tasks are critically important to the viability and success of any academic institution. The literature contains reports of how chancellors and presidents, leading in times of difficulty, were successful because they were able to motivate faculty and staff to achieve organizational goals (Green & Levine, 1985). Successful leadership demonstrates the ability to use management as well as leadership skills (McCorkle & Archibald, 1982). The literature shows that the leaders, who are best able to motivate faculty and staff, use work techniques associated with transformational leadership (Bower & Wolverson, 2009; Brower & Balch, 2005). However, the literature also indicates that the majority of chancellors and presidents of HBCUs do not practice transformational leadership (Jackson & Nunn, 2003). Key to transformational leadership is the use of teamwork in accomplishing goals and a deliberate use of strategies that encourage the professional development of employees.

This study allowed a glimpse into thoughts that undergird the leadership actions taken by five HBCU leaders and an understanding of their leadership philosophies. In particular, in this study, information about these leaders' use of or none use of teamwork behaviors was explored. This was achieved through the triangulation of the data collected. The survey measured the degree or extent in which a chancellor exhibited certain behaviors that either represented or did not represent teamwork behavior. The interview protocol required the chancellors to respond to questions that asked them to provide narrative accounts of their work behaviors and to engage in dialogue that revealed why they behaved in certain ways (see Appendix D). Analyzing the speeches given by the chancellor to the stakeholders of his institution gave insight into which leadership behaviors were revealed in the address and how his ideas reflected the characteristics of a transformational, transactional or passive avoidant leader.

## **Delimitations and Assumptions**

This study explored the perceptions of five leaders who are the chancellors of publicly-funded HBCUs in one Southeastern state. It was assumed that all of the leaders were committed to maintaining the vitality of their institutions, and that their leadership perspectives and decisions were motivated to enhance the academic and financial integrity of their respective institutions. Because of the small sample size, no generalizations of the findings can be transferred to other presidents employed either at private or public institutions in other states. In addition, the findings from this study are based upon self-reported data. There is a possibility that self-reported data are not factual due to selective memory, exaggeration, and other factors detailed in the literature (Brutus, Aguinis, & Wassmer, 2013).

## **Summary of the Methodology**

This is a qualitative study that used a phenomenological approach. A phenomenological study describes what the participants have in common as they experience the phenomenon or occurrence of being chancellors of five public HBCUs in a Southeastern state (Creswell, 2013). This study used surveys, an interview protocol, and speeches. Using these three methods is triangulation, and it is a characteristic of phenomenological data collection. Triangulation searches for convergence and corroboration of results from different methods (Creswell & Clark, 2011). The purpose of triangulation is to use different sources of information in order to increase the validity of the study. This approach was used to investigate the leadership actions of five HBCU chancellors working at public institutions in a Southeastern state. By being state funded, neither of the institutions was facing financial exigency. Between June 2012 and the Spring of 2013, four of the chancellors took a customized version of the MLQ 5X. One chancellor took the paper version of the customized MLQ5X in the Spring of 2013. The customized MLQ 5X was made up of six

demographic questions and the Leader Form of the MLQ 5X. The modified version of the MLQ 5X is in Appendix F and the supplemental questions are in Appendix G. The MLQ 5X measures the extent to which the chancellor exhibits the behaviors associated with transformational, transactional, and laissez-faire theories, which make up the Full Range Leadership Development model. Each chancellor was interviewed between January and March 2013. The interview protocol is located in Appendix D. The protocol asked for demographic information and for a response to a series of statements that allowed the researcher to code each chancellor's responses as being associated with transformational, transactional, or passive avoidant leadership. The interview protocol also included a series of open-ended questions that allowed the presidents to recall how they reacted to specific leadership challenges. The response to these questions allowed the researcher to determine differences and similarities among the five presidents in terms of their perceptions of appropriate behaviors associated with the successful handling of challenges. The chancellors' individual narratives provided primary source data that allowed the researcher to understand how each leader framed his leadership challenges. In addition, the narratives allowed the researcher to determine to what degree the leaders' behaviors identified by the Full Range Leadership Development model matched the leadership behaviors of the five chancellors. The chancellors' speeches completed the triangulation process. The purpose of the speeches was to analyze and find common themes with the leadership styles of the chancellors as found in the customized MLQ 5X and the interview. The themes were analyzed to determine the chancellors' leadership styles as identified by the Full Range Leadership Development model.



## Definitions of Key Terms

*Carnegie Classification of Institutions of Higher Education* -This is a system developed to allow researchers to make comparisons among academic institutions. For this study, the institutions included institutions classified as:

- Baccalaureate Colleges-Diverse Fields. Institutions where baccalaureate degrees represent at least 10% of all undergraduate degrees and where fewer than 50 master's degrees or 20 doctoral degrees were awarded during the update year.
- Master's Colleges and Universities. Institutions that awarded at least 50 master's degrees and fewer than 20 doctoral degrees during the update year.
- Doctoral/research University. Institutions that awarded at least 20 research doctoral degrees during the update year (excluding doctoral-level degrees that qualify recipients for entry into professional practice, such as the JD, MD, PharmD)

*Chancellor/President* - These terms are used interchangeably to denote the leader responsible for the operation of one academic institution or an entire academic system. In the North Carolina public system, a chancellor is the head of the academic institution.

*FRLD* - This is an acronym for Full Range Leadership Development model. This model identifies leadership behaviors ranging in a continuum from leaders who are fully engaged both in working with employees to accomplish organizational tasks and in helping employees achieve self-goals, to leaders whose focus is on achieving organizational tasks, to leaders who do not engage in motivating employees or defining organizational tasks (Bass, 1998).

*HBCU* -HBCU is an acronym for Historically Black Colleges and Universities. For federal funding purposes, an HBCU is identified as one that was founded before 1964 for the education of Black students (U.S Department of Education, 2011b).

*HWI* - HWI is an acronym for Historically White Institution.

*MLQ 5X* -This is an acronym for Multifactor Leadership Questionnaire. This questionnaire is used to measure the range of leadership behaviors associated with the Full Range Leadership Development model. Leadership orientations range from transformational to transactional to passive avoidant (Avolio & Bass, 2004; Bass; 1999).

*PWI* - This is an acronym for Predominantly White Institution.

*Stakeholder* - A stakeholder is a person or persons, including businesses that have a special or supportive role in an institution. These persons include alumni, students, faculty, staff, administrators, and members of the boards of trustees.

*Transformational leadership* - Leadership behavior that focuses upon providing a vision to employees, articulates how the vision can be achieved, demonstrates caring for others and by doing so, creates a workplace in which employees are inspired to engage in achieving the leader's vision for the organization (Bass, 1998).

*Transactional leadership* - Leadership behavior that does not focus upon employee development or employee needs. Instead the focus is on rewarding employees for the accomplishment of work tasks (Bass, 1998; Northouse, 2004).

*Passive avoidant leadership* - A form of leadership in which the leader does not set organizational goals, does not provide feedback to employees, and makes little effort to help employees develop work skills (Bass, 1998; Northouse, 2004).

## **Summary**

Chapter 1 provides the background of the study, the conceptual framework, the statement of the problem, purpose of the study, significance of the study, delimitations, and the definitions of key terms. Chapter 2 contains the review of pertinent literature. The literature review focuses

on broad definitions of leadership, academic leadership, HBCU leadership, important events affecting the history and leadership of HBCUs, challenges affecting the existence of HBCUs, and effective leadership suggestions from stakeholders including former and currently serving HBCU leaders. In addition, this chapter contains information concerning transformational leadership and its relationship to the Full Range Leadership Development model and the Multifactor Leadership Questionnaire (MLQ 5X), an inventory used to identify three different types of leadership behaviors. The methodology for this study is discussed in Chapter 3. A discussion of the procedures used to answer the questions that guided this study is found in Chapter 4. Chapter 5 is a presentation of the findings, conclusions, and implications.

## **CHAPTER 2: REVIEW OF THE LITERATURE**

Research shows that HBCUs have fallen into a precarious state for a number of reasons including lack of adequate funding, competition for students, and accreditation concerns (Albritton, 2012). Another factor that has been identified is a lack of leadership (Brower & Balch, 2005; Gasman & Anderson-Thompkins, 2003; Minor, 2005). This lack of leadership exacerbates the challenges that HBCUs face because it has been established that strategic leadership at institutions of higher learning is essential for these academic institutions to exist (Adair, 2010; Fiedler & Garcia, 1987; Morrill, 2011). Strategic leadership requires sound solutions to challenges that academic institutions face. Yet, little literature exists that delves into how HBCU leaders define and address their challenges.

The purpose of this phenomenological study was to explore and describe the leadership styles and behaviors that chancellors in one Southeastern state used in dealing with the challenges of being a leader of an HBCU. The Full Range Leadership Development model (FRLD) examines the leadership behaviors of administrators. Positive leadership characteristics have been embodied in the FRLD model. The FRLD model contends that leaders demonstrate leadership behaviors ranging from active and effective leadership to passive and less effective leadership. These leadership behaviors make up the three components of the FRLD model: transformational, transactional, and passive avoidant.

This chapter contains a discussion of leadership in general, the challenges of leadership in higher education, the challenges of leadership at HBCUs, and suggestions for effective strategies a leader can use based upon the Full Range Leadership Development model.

## **Origins of Leadership**

The origins of the role of leaders are found in the writings of Greek thinkers. Xenophon wrote that the leader is the one who makes a business profit. Socrates found similarities between business leaders and military leaders. “Strategy” is derived from the Greek word “strategia.” “Stratos” referred to an army spread out; “egy” comes from the Greek verb “to lead” (Adair, 2010, p. 15). Socrates understood that being a strategic leader was the same no matter the endeavor. He believed in the following ideas about leadership (Adair, 2010).

1. The leader should be the right one for the job.
2. The leader should gain the support of his subordinates.
3. The leader should attract followers and supporters.
4. The leader should be a hard worker.

Presently, the strategic leader is viewed as the one who leads the entire organization and has operational and team leaders under his direction. The strategic leader also selects and develops future leaders. He or she makes sure that the organization is headed in the right direction (Adair, 2010). Morrill (2007) contended that strategic leadership is collaborative, explains goals, rallies support, and prepares for the future. A compilation of these scholars’ views on strategic leadership have the common theme of a leader setting goals for a group of followers, rallying support to achieve the goal, and obtaining the goal for the group.

## **Leadership Defined**

Scholars offer differing definitions of leadership. Northouse (2003) wrote that leadership always involves a course of action, a group context, persuasion, and an aspiration. Burns (1978) surmised that leadership is an influence process that makes possible sought-after goals, the realization of group members’ emotional needs, an intrinsic attribute of a person, and an

exchange process. Burns (1978) defined influence as having power. Leadership occurs when persons with certain intentions organize institutional, political and psychological resources so as to take on and please the wishes of followers (Burns, 1978). According to Bolman and Gallos (2011), leadership is an expression of oneself and one's talents, principles, ambitions, and ideas. For Sosik and Jung (2010), leadership is about creating organizations and policies that develop people along the way. Kouzes and Posner (2012) contend that leadership is a relationship. Adair (2010) wrote that leadership occurs when the group achieves a common undertaking; the group is expanded and sustained, and the individuals in the group are encouraged and developed. Matthews (2012) asserts that leadership is a relationship that should never be considered as a responsibility for one person. Some believe leaders are born and possess a trait that allows them to motivate followers. Others write that leadership depends upon circumstances and is situational in nature (Fiedler & Garcia, 1987). Even though scholars offer their own definitions of leadership, they agree that leaders cannot get the job done by themselves (Bess & Dee, 2012; Bolman & Gallos, 2011; Sosik & Jung, 2010).

### **Academic Leadership**

Being able to influence others is especially important for leaders in academia because of the shared governance concept. In academe, leaders must work collaboratively with faculty members and others in order to address their institution's missions (Bess & Dee, 2011; Morrill, 2010). For all institutions, in times of crisis and prosperity the role of the chancellor/president is recognized as being important for maintaining academic integrity and for insuring the appropriate and efficient use of resources (Densten & Gray, 2001). An effective academic leader performs tasks associated with both management and leadership (Fiedler & Garcia, 1987; Northhouse, 2004). As a manager, the academic president insures the effective use of resources,

establishes procedures for carrying out the mission of the institution and implements processes for resolving problems. As a leader, the academic president provides a vision for the academic institution, increases the flow of resources, encourages leadership within the institution and engages with members of off-campus communities (Northouse, 2004).

Higher educational institutions have the same organizational elements that are found in business, government, and military sectors, such as goals, administrative hierarchies, cultures, employees, and stakeholders. Thus, leaders in higher education can learn from the other sectors. However, higher education has unique organizational elements that include instruction, research, service, and community service. Furthermore, each of these elements is associated with a particular constituency that advocates for its individual concerns to be addressed on a priority basis. For example, faculty as well as accreditation bodies, such as the American Association of University Professors and the Southern Association of Colleges and Schools, hold academic leaders responsible for maintaining credible academic offerings and ensuring the student learning outcomes are appropriate for preparing students for existence in the world. Legislative bodies determine financial constraints and define the operational milieu for public institutions. Governing boards outline goals that they feel should be met. Academic leaders are expected to address the needs of these various constituencies while creating institutional vision statements that resonate with the members of these various groups.

Different sources agree that some of the most pressing challenges facing all academic institutions include uncertainty of support from governmental sources, rising tuition costs paired with fewer financial aid options, the creation of workplaces that promote gender, racial, and ethnic equity, and maintaining measures that guard against acts that cause physical harm to students, faculty and staff on a campus (Grummon, 2012; Nichols, 2004; Rai & Critzer, 2000).

Different sources also agree that to meet these challenges, academic institutions must have leaders who are effective at fundraising, developing collegial relationships with faculty and staff, keeping abreast of the management of financial resources, and maintaining academic integrity at their particular campuses (Cantey et al., 2013; Nichols, 2004). Nichols (2004) adds that the effective academic leader must have a certain amount of toughness. Toughness will help the leader to be persistent in addressing the aforementioned challenges.

Leadership in general and academic leadership in particular emphasizes the role a singular individual plays in bringing direction to an organization. One totally agreed upon definition of leadership does not exist, but there is agreement that leadership is present when organizations achieve their goals. Academic leaders operate in a more constrained environment than do military, political, or business leaders because of the concept of shared governance. Shared governance requires that academic leaders lead their institutions to financial solvency and academic excellence through the use of collaboration in addition to providing vision and gaining the confidence of campus employees and members of governing boards.

### **Historically Black Colleges and Universities (HBCUs)**

#### **History**

Historically Black Colleges and Universities (HBCU) are academic institutions established prior to 1964 for the purpose of educating Black students who had been left out of the educational process (U.S Department of Education, 2011b). Prior to the 1860s, a small number of Blacks had attended both White institutions and the handful of Black institutions. Oberlin College was one of the first White institutions to welcome Blacks, opening its doors in 1835 (Oberlin College, 2012). Berea College in Kentucky, considered a sister institution to Oberlin University, was founded upon the principles of diversity in 1855 (Berea College, 2012).



Historically Black pre-War institutions were established because most higher education institutions specifically excluded Blacks by custom, policy, or even by law. The five institutions established before the Civil War are as follows: Cheyney in Philadelphia in 1837, Avery College in Pennsylvania in 1849, Lincoln University in Pennsylvania in 1854, Wilberforce University in Ohio in 1856, and Miner Teachers' college in 1860 (now known as the University of the District of Columbia.) Only Lincoln and Wilberforce offered a bachelor's degree in 1865 (Drewry & Doermann, 2001). In 1865, after the Civil War ended, Shaw University, located in Raleigh, North Carolina was founded. Drewry and Doermann (2001) stated that only 28 Black college graduates could be accounted for prior to the end of the Civil War.

More institutions devoted solely to the education of Black Americans came into existence during the Reconstruction Era due to federal legislation in the form of two acts: The Morrill Acts of 1862 and 1890. The first Morrill Act established land grant universities. The second Morrill Act required states that had been a part of the Confederacy during the Civil War to establish educational institutions to serve Black citizens of their states (Albritton, 2012). During this same time period, churches and philanthropists played important roles in establishing institutions devoted to the education of Black Americans. Spelman College, Dillard University, Tougaloo College, and Talladega College were founded by religious associations (Albritton, 2012). Today there are 104 HBCUs located in the continental United States, the Virgin Islands, and the District of Columbia (U.S. Department of Education, 2011b).

Two different operating philosophies determined the academic focus of the early HBCUs. The classical education model was the more traditional version, offering curricula designed after historically White institutions (HWIs). Coursework included Greek and Latin languages, along with areas of study now considered as the liberal arts (Anderson, 1988). In contrast, the industrial

model was favored as the more useful model education for Blacks; the three components of an industrial education featured engineering, trade work, and manual labor.

The Hampton Normal school (later Hampton Institute) model in Virginia created a curriculum with a heavy emphasis on manual labor and tailored this model to Blacks. For example, even if a student were training to become a teacher, manual labor was emphasized over grammar, math or Latin classes (Anderson, 1988). The two main advocates of this industrial model were Samuel Chapman Armstrong, considered the northern friend of Blacks, and former slave, educator Booker T. Washington, later the president of Tuskegee Institute in Alabama. Armstrong felt that Blacks were not mentally equipped to become more than laborers. One of Armstrong's followers observed that even in jobs as laborers, Blacks worked diligently but not intelligently (Anderson, 1988). Washington became a disciple of Armstrong after passing the entry exam to Hampton Institute and was rewarded by being required to sweep the room (Anderson, 1988; Appiah & Gates, 1999). This industrial model of education, later called the Hampton-Tuskegee model, proved problematic for financial and interracial reasons.

In 2011, HBCUs served 324,000 students (U.S. Department of Education, 2013). While the majority of students attending HBCUs have been Black, members of other ethnic and racial groups have also been served by these institutions. In addition, the student populations at HBCUs have always included foreign exchange students (U.S. Department of Education, 1991). According to Baskerville (2010), the diversity percentage in terms of students for HBCUs is 30%. Today, a number of HBCUs are actively recruiting Latino and Hispanic students (Turner, 2006). In addition, Black students are not in the majority at a number of HBCUs. West Virginia State University, Bluefield State University, Lincoln University of Missouri, and Kentucky State

University have student populations that are either evenly split between Black students and others or in which Black students are in the minority (Baskerville, 2010).

### **Mission of Labor Market Preparation for African Americans**

One aspect of the mission of HBCUs is the preparation of students for the labor force (Baskerville, 2010, October 18; Jennings, 2013, January 6; United Negro College Fund, 2012). This mission commitment underscores a finding by Ricard and Brown (2008). These researchers found from their interviews with 15 HBCU presidents that one of their main leadership goals was to prepare students to be competitive in the global job market. HBCUs graduate more than 50 percent of Black professionals, including public school teachers. HBCUs' award more than one in three of the degrees held by Blacks in the natural sciences (Thurgood Marshall Fund, 2012; United Negro College Fund, 2014). An HBCU education can benefit students and the labor market since an increase in lifetime earnings occurs when members of any population group earn college degrees (Carnevale, Rose, & Cheah, 2011).

### **Challenges to the Longevity of HBCUs**

**Externally related challenges.** Like other academic institutions, HBCUs are also facing funding, work place security, and student need challenges (Jennings, 2013). In addition to these challenges, HBCUs have a unique set of challenges. Critics who call for the demise of HBCUs are one of these challenges (Riley, 2010; Wenglinsky, 1996; Williams, 2008). Riley (2010) wrote that in a post-segregation era, institutions created solely for educating Black students are no longer needed. Riley suggested that HBCUs could become community colleges that specialize in enhancing the basic skills of minority students. Echoing Riley's comments, Williams (2008) cited low graduation statistics as a reason for questioning the need for HBCUs to exist. Wenglinsky (1996) concluded that HBCUs were no better than historically White

institutions in training African American students for community leadership, for giving African American students attention, and for providing a good ratio of faculty-to-student interactions.

Advocates for the perpetuation of HBCUs feel that these institutions should remain because of the positive economic impact they have for area communities and for the nation as a whole, because they are respites for minority students from some inhospitable campus climates due to racism, and because of their relative affordability when compared to costs at other colleges and universities (Fields, 2001; Humphreys & Korb, 2006). Humphreys and Korb (2006) examined the impact HBCUs have on employment, labor income, and job generation. As an example of a local impact on job generation, Humphreys and Korb (2006) determined that Tuskegee University accounted for 24% of the jobs in its regional economy in 2001. Considered as one unit, HBCUs in 2001 had a gross impact of \$4 billion dollars on this nation's economy.

Dr. Joe Lee, a former president of Tougaloo College, stated that HBCUs are needed in order for students to be educated in an "environment that is free of racial tensions" (Fields, 2001). Wilson (2007) reported that on average, tuition costs at HBCUs are 52% lower than that at non-minority institutions. Couple this with the fact the majority of Black students attending HBCUs are low-income students (Nichols, 2004) and it becomes evident that these schools are engines of social mobility for many Black students (Wershale, 2010). In addition, there are others who feel that the educational and cultural traditions of HBCUs are of value and should exist for future generations (Hawkins, 2004).

In addition to calls for their demise, HBCUs are facing competition from majority schools and from for-profit schools for their traditional student base. For decades, HBCUs had been among the only institutions to prepare Blacks to enter the work force (Allen, Jewell, Griffin, & Wolf, 2007). The desegregation of historically White institutions (HWIs) and the

creation of for-profit institutions have opened more avenues for minority students to receive an education. According to Nichols (2004), 90% of Black students attended HBCUs in the 1950s. In 2007-2008, only 11% of Black students attending higher education were enrolled at HBCUs. During this same time period, 15% of Black students were attending for-profit institutions (Aud, Fox, & Ramani, 2010).

Much attention has been focused on the role HBCUs have played in educating students who enter higher education with deficient writing, reading, and computational skills (Albritton, 2012). There is a need for this kind of academic intervention as reports indicate that a substantial number of college bound high school graduates will require academic remediation and that many of these students will be minority students. According to the U.S. Department of Education (2011a), enrollment in post-secondary public and private institutions will see a 13% increase by 2020. Between 2009 and 2020, enrollment is projected to increase 1% for White students, 25% for Black students, 46% for Hispanic, and 25% for Asian/Pacific Islanders. Even though these projections include all types of institutions, the increase in racial minorities can be viewed as a continuing opportunity for HBCUs to prepare students for the job market.

However, academic success programs supported through federal dollars and state coffers are now found on a multitude of campuses to address the remediation needs of minority as well as majority students. For example, during the fall of 2000, 76% of degree offering institutions offered at least one remedial course either in reading, writing, or mathematics (Aud, Fox, & Ramani, 2010).

Other programs specifically addressed to increasing Black student degree completion rates can be found across the higher education spectrum. Northeastern University in Boston, Massachusetts and Virginia Commonwealth University in Richmond, Virginia have initiated

efforts that have resulted in high African American graduation rates (Nguyen, Bibo, & Engle, 2012).

**Internally related challenges.** Student retention, accreditation concerns, financial instability, and lack of shared governance are cited as internal challenges threatening the existence of many HBCUs (Brown & Freeman, 2004; Schexnider, 2008; Thomas, 2005; Williams & Ashley, 2004). Only Howard University, Spelman College, and Hampton University are reported to have endowments ranking among the top 300 colleges and universities in the nation (National Association of College and University Business Officers, 2013).

Beginning with student retention, opinions are mixed on the ability of HBCUs to retain and graduate students. A number of researchers have reported that Black students are more likely to obtain degrees at HBCUs (Allen et al., 2007; Drewry & Doerman, 2001; Ricard & Brown, 2008; Wenglinsky, 1996). Recent statistics show that degree obtainment is problematic for Black students at both majority institutions and HBCUs. Currently, the bachelor degree graduation rate for Black students is 16% (U.S. Department of Education, 2012).

Dependence upon financial aid monies paid to the majority of their students and small endowments are the ties that bind many HBCUs to accreditation difficulties. During the 2007-2008 academic year, 92% of Black students received financial aid, and many of those students received \$13,500, the maximum allowable financial aid disbursement (U.S. Department of Education, 2010). However, even with the receipt of financial aid dollars, many HBCU students withdraw from study. Clark Atlanta University had 300 out of 4,000 enrolled during the fall semester of 2008 not to return to class in the spring semester (Bigg, 2009). These students may leave for academic or social reasons. Each student who does not return to academic study represents a cut in operating expenses for many HBCUs. This is because a number of these

institutions do not have endowments sufficient to cover their operating costs or even to mount fundraising campaigns (Wershbale, 2010). Contributing to this problem is that the alumni base for HBCUs often does not have wealth (Nichols, 2004; Rowley, 2014).

Not having sufficient operating costs is often one of the reasons cited for HBCUs losing accreditation (Hawkins, 2013). Most HBCUs are located in the southern states and as such are under the accreditation mandates of the Southern Association of Colleges and Schools (SACS). Between 1996 and 2005, 25% of the institutions facing sanctions or accreditation removal by SACS were HBCUs (Wershbale, 2010). A lack of accreditation means that an institution cannot receive federal dollars in the form of student loans and grants (Wershbale, 2010). St. Paul's College in Virginia is an example of an HBCU that recently lost its accreditation because of a lack of revenue (Hawkins, 2013).

Wershbale (2010) contends that current accreditation standards are modeled around institutions that do not have the same concerns as HBCUs. He advocates for a collaborative accreditation process that would allow response to accreditation mandates to be made in increments and would allow institutions who have been sanctioned to have access to federal funds while making incremental improvements mandated by the accreditation sanctions.

Lack of shared governance is also cited as a challenge affecting the operation of all HBCUs (Guy-Sheftall, 2006; Lewis, 2011; Phillips, 2002). This is especially problematic as research indicates that the most effective leadership is leadership that includes others in designing and reaching goals (Lewis, 2011). Lewis interviewed faculty at a public and at a private HBCU. Her study recommends more communication between upper level administrators and faculty and more reliance on a campus operational model that includes faculty in planning and allocating resources for recruiting high achieving students and for exploring research

initiatives. In her conclusions, Lewis also spoke of the hierarchal organizational decision making and president-centric climate in many HBCUs. Lewis is not alone in concluding that authoritarian leadership behavior is one of the factors preventing HBCUs from achieving educational goals (Drewry & Doermann, 2001; Gasman, 2010a; Jencks & Riesman, 1967; Minor, 2005).

Almost 50 years ago, Jencks and Riesman (1967) claimed that HBCU presidents tyrannized faculty. For example, a former president at Philander Smith College was accused of not practicing shared governance. This president passed a rule that faculty could not speak to the press, and when one of the outspoken faculty members did so, the faculty member was fired (Gasman, 2010a). In 2009, the president of Clark Atlanta University in Georgia was investigated and consequently censured by the American Association of University Professors (AAUP) because 55 full-time faculty members were fired without the university's declaring financial exigency (Gasman, 2010). Phillips (2002) wrote that all HBCUs will experience similar consequences when it comes to not using shared governance. As evidence, he described situations in which the faculty senate at Virginia State University was abolished in 2001 and multiple instances at other institutions of faculty not being involved in evaluating administrators. In a more temperate tone, Nichols (2004) concluded that HBCU leaders are not that different from their counterparts at majority institutions, but to that conclusion, Phillips' response very likely would be that the faculty perspectives and empowerment at majority institutions would not allow the kind of authoritarian leadership styles associated with the operation of many HBCUs to exist at their institutions.

In summary, this section of the literature reviewed has described a number of unique leadership challenges that face HBCUs. Some of those challenges are outside the direct control



of HBCU leaders; others are specific to the operation of HBCU campuses. In both situations, however, it is the role of presidential leadership to craft strategies to address the challenges. For example, one challenge for HBCU leaders is to address the competition from both majority institutions and for-profit institutions for African American students. To do so would be an example of strategic leadership at work.

In the next section of this literature review, the focus will be on leadership patterns at HBCUs and leadership demographics.

### **HBCU Leadership Patterns**

From the inception of the first HBCU in 1837 to present times, the majority of HBCU leaders have been either White or Black males (Thomas, 2005). While the majority of HBCUs were founded by White philanthropists or religious denominations, one was founded by an African American female and three others by Black males. The HBCUs that were founded by Blacks are the following: Morris Brown College in Atlanta, Georgia; Paul Quinn College in Dallas, Texas; Allen University in Columbia, South Carolina; and Bethune-Cookman University in Daytona Beach, Florida (Drewry & Doermann, 2001). In the twentieth century, Blacks began to hold positions as presidents of HBCUs. For example, John Hope became the fourth president and the first Black president of Morehouse College in Atlanta, Georgia in 1906. It was not until 1953 that Albert E. Manley became the first Black president of Spelman College in Atlanta, Georgia and earlier, in 1931, Stuart Nelson became the first Black president of Shaw University in Raleigh, North Carolina (Carter, 1973). Other HBCUs followed suit: Howard University (Washington, DC) appointed its first Black president in 1926, while Saint Augustine's College (Raleigh, North Carolina) named its Black president in 1947. In 1945, Lincoln University's

(Pennsylvania) first Black president was appointed and Xavier University's (Louisiana) first Black president was named in 1968 (Thomas, 2005).

The HBCUs founded by religious denominations were often headed by ministers, and like their counterparts heading non-church related HBCUs, the cultures on these campuses were described as socially conservative and rigidly controlled. The terms paternalistic and authoritarian are often used by writers to describe the leadership styles prevalent on the early HBCU campuses. One researcher stated that this was an imitation of the charismatic, fatherly ways of a minister in African American churches (Minor, 2005). Over time, the leadership of HBCUs has transitioned from that of majority White to majority African American. By profession, the majority of the presidents are no longer ministers. Their numbers now include authors, scientists, business executives, government officials, and television personalities. Most are in their fifties and were born in the South (Mishra, 2007). In a study by Ricard and Brown (2008), it was found that 60% of HBCU presidents had attended an HBCU as undergraduates. In Mishra's study of 72 HBCU presidents, 61% received their PhDs from an HBCU. Forty percent had a degree in education, and 54% were faculty. Finally, 31% served as vice president/provost directly before becoming president of an institution (Mishra, 2007).

Ricard and Brown (2008) identified four pathways to leadership at an HBCU. These pathways are followed by: *the scholar president* who used to be a faculty member/administrator; *the steward president* who was not a faculty member but was an administrator; *the spanner president* who had left the academy and did something else only to return to academe; and *the stranger president* who was from outside academe (Ricard & Brown, 2008). These pathways can influence the leadership style of a leader.

From the above information, it appears that neither diversity of work experiences nor trudging different pathways to the presidency results in different leadership styles for HBCU presidents. In fact, writer after writer describes HBCU leadership both in the past and in present times as tyrannical. As Gasman et al. (2010) noted, it is important to understand why the notion of control appears so frequently in the commentary of HBCU leaders.

### **Leadership Suggestions from Current and Former HBCU Leaders**

Nichols (2004) wrote that former and current HBCU leaders feel that HBCU future leaders must have planning skills, engagement in federal and state political circles, and effective fundraising skills. The lack of financial resources is a factor in the lack of consistent leadership at HBCUs (Kelderman, 2012). Kelderman (2012) reported that burn out related to fundraising or calls for leaders to resign played a role in Julianne Malveau's resignation from Bennett College and in Hazel O'Leary's resignation from Fisk University. Financial difficulties also led to Cornell Thomas' leaving the presidency at Jarvis Christian College and Robert Satcher's leaving the presidency at St. Paul's college according to Kelderman (2012). Marie McDemmond, former president of Norfolk State University, described assuming a presidency and learning that institution was facing a \$6.5 million deficit (Taylor, 2005). McDemmond later resigned from Norfolk State because of health problems.

According to Abdul-Alim (2012), securing funds from health-related private and public sources should be pursued by HBCU leaders. Abdul-Alim reported that R. Timothy McDonald, a provost at Oakwood College, suggested that relationships should be built with corporations in order to gain lucrative contracts with non-governmental agencies. Abdul-Alim quoted Bill Thomas, an associate vice president at Hampton University, as emphasizing the need for

leadership to be persistent in securing large grants and establishing relationships with corporate and governmental agencies.

Fields (2001) interviewed a number of retiring HBCU leaders and asked that they enumerate three priorities that HBCU leaders must address. Securing financial security for their institutions was often first on the list. Leonard Dawson who retired from Voorhees College included fundraising, the need to secure qualified faculty and having a vision as his three top priorities for future HBCU leadership (Fields, 2001). Involvement with K-12 education was the number one priority on the list for Frederick Humphreys who retired from Florida A & M University (Fields, 2001). Joe Lee, who retired from Tougaloo College, listed fundraising, infrastructure enhancement, and making HBCUs more visible as priorities for incoming HBCU leaders. Julius Nimmons retired from the University of the District of Columbia. His priorities were instilling values in youth, building community relations, and campus technological upgrades.

Literature exists on how insightful HBCU presidents regard their role in the preparation of students for the labor force. Dr. Michael Lomax, former president of Dillard University, said in a study conducted by Mbajekwe (2006) that HBCUs must make students competitive in the global labor force and that Dillard must prepare its students to “transform the world” (p. 99). In the same study by Mbajekwe (2006), Dr. Marie V. McDemmond, former president of Norfolk State University, stated that more students were majoring in the sciences than in education, resulting in the university’s dedication to providing a prepared work force. Dr. Carolyn Reid-Wallace, former president of Fisk University in Tennessee, contributed to the labor force by seeking and employing top people to work at the university. She accepted that HBCUs serve a purpose as places of employment and that part of her role was to sustain jobs to keep the

university and its employees functioning at a high level. In order to create a high-achieving labor force at Fisk University, she asked those with the highest earnings to work at the university with a salary cut for three to five years in order to transform Fisk University into a stellar institution. She is also an advocate of shared governance, which she views as a basic tenet of academia (Mbajekwe, 2006). There is the long and successful career of Dr. Norman Francis, who has held the presidency at Xavier University since 1968. Under his guidance, Xavier University has become the leading institution in graduating students in biological sciences and having those graduates go on to medical school. He believes that the goal of HBCUs is to find a niche in educating students of all races and to prepare students for the labor force (Mbajekwe, 2006). He has been lauded for his transformational-like qualities by the scholar James T. Minor (Cooper, 2011) and has been deemed “visionary” by his institution (Xavier University, 2012).

This section of the literature review provided information about the leadership patterns at HBCUs and demographic statistics of HBCU leaders. Two facts can be gleaned from this information that relate to one of the questions posed in this study. That question concerns how HBCU leaders go about addressing challenges. The literature indicates that, for the most part, HBCU leaders do not engage others in designing strategies to address the operation of their institutions. The data in the literature suggest that hierarchal administrative operating patterns have a long history at HBCUs. This could suggest a long-lasting cultural phenomenon that had its beginning with the early ministers who headed HBCUs. In addition, the demographics of serving and former HBCU leaders show that the majority of these leaders are products of these institutions. This leads to the speculation that it is a cultural phenomenon that is at work and that this cultural phenomenon is evidenced in a tendency for HBCU leaders to use authoritarian leadership behaviors.

Another category concerns personality descriptors. The terms visionary and charismatic appeared in a number of studies as personality traits to be valued by HBCU leaders. These terms also appear in the literature as descriptors of transformational leaders (Bass, 1998). Transformational leaders are described as being articulate, confident, nurturing, and having high standards (Bass, 1998). Transformational leadership is one component of the full range leadership development model. The other leadership components of this model are transactional and passive avoidant. Although numerous leadership scholars assert that the most effective academic institutions are those whose leaders use transformational leadership behaviors, and the personality characteristics lauded by some HBCU leaders are transformational, the research is limited that measures the extent or degree to which HBCU leaders' behaviors are transformational, transactional, or passive avoidant.

### **Full Range Leadership Development Model**

There are numerous ways of describing and labeling leadership (Northouse, 2004). Trait leadership is associated with innate qualities that are primarily responsible for followers to accomplish tasks. Other leadership descriptions focus on the quality and amount of engagement a leader has with followers in the accomplishment of tasks (Northouse, 2004). The Full Range Leadership Development model is a schema for describing leadership behavior that focuses on actual interactions between a leader and followers (Bass, 1998; Barbuto, 2005). The schema is actually a continuum bounded at one end by a leader who uses motivation and interaction with followers to achieve a task. At this end of the continuum is a leader who has a vision, uses motivation to engage followers in having the vision come true, and works with followers; such a leader is labeled a transformational leader (Avolio & Bass, 2004; Bass, 1998; Burns, 1978; Downton, 1973; Wright & Pandey, 2009). At the other end of the continuum is a leader who

neither motivates nor works with employees to achieve tasks. These behaviors are associated with passive avoidant leadership (Bass, 1998). Between the two anchors is transactional leadership. Scholars define transactional leadership as being closely aligned to transformational leadership. What distinguishes one from the other is that transactional leadership involves followers' receiving rewards for completing a work task (Bass, 1998). According to Bass (1999), leaders use both transactional and transformational behaviors; however, the most effective leaders are those who more frequently use transformational behavior.

### **Multifactor Leadership Questionnaire**

Bruce Avolio and Bernard Bass created the Multifactor Leadership Questionnaire (MLQ), an inventory used to determine the frequency with which a leader uses the various behaviors associated with transactional, transformational, and passive avoidant leadership (Avolio & Bass, 2004; Bass, 1998). The inventory is now owned by Mind Garden (Mind Garden, 2012). The MLQ currently is available in a long and a condensed version. The condensed version is the MLQ 5X (Young, 2011). The MLQ 5X consists of 45 statements. The MLQ is used by academic researchers as well as by consultants for leadership development purposes (Mind Garden, 2012). When used for leadership development purposes, a leader and the employees of the organizational or organizational unit complete identical forms of the MLQ 5X. Both the leader and the employees are providing their perceptions of how frequently the leader uses behaviors associated with transformational, transactional, and passive avoidant leadership.

### **Transformational Leadership**

A transformational leader has people skills; that is, his/her followers believe that the leader is a caring individual who seeks the success of the organization and genuinely cares about

workers within the organization. The people skills of a transformational leader have been described as consisting of four innate skills and abilities (Bass, 1998; Northouse, 2004). First, transformational leaders have a charisma-like inner quality that motivates followers to emulate them. Their followers respect them and want to be like them. Second, the transformational leader has the ability to motivate followers to visualize a desired future for the organization. Third, the transformational leader has the ability to encourage creativity and problem solving among members of the organization. Fourth, the transformational leader has the ability to make employees feel that he/she genuinely cares about them as individuals and provides support according to the individual needs of the follower. The delegation of assignments is used by the transformational leader as a leader-created opportunity for employee growth and not a shirking of responsibility by the leader (Bass, 1998).

Transformational leadership is viewed as a way through which a single individual can motivate large numbers of employees to accomplish complicated tasks (Brown & Ratcliffe, 2000; Bass & Riggio, 2006; Brower & Balch, 2005; Drewry & Doerman, 2001; Thomas, 2005). The literature abounds with research on transformational leadership in business and in academic settings. In general, Basham's (2012) work reflects a commonly held view found in the literature that a transformational leader is the most effective leader behavior for addressing challenges and difficulties in businesses as well as at academic institutions regardless of the institutional type or work setting. Academic institutions are complex organizations that require leaders to possess a multitude of skills and abilities if they are to be viable institutions of learning. Transformational leadership is essential to meeting the challenges of today's higher education institutions (Basham, 2012). In order for transformational leadership to take place, presidents must be knowledgeable about financial issues, considerate of others, and able to



depend on the assistance of stakeholders who share the same vision (Bass, 1998; Basham, 2012; Brower & Balch, 2005). The transformational president is one who is committed to change, which is crucial to the survival of the institution (Basham, 2012; Kaifi & Mujtaba, 2010). According to the literature, the most effective leadership behaviors are those that make employees feel wanted and encouraged to be creative in achieving organizational goals. These kinds of behaviors are associated with transformational leadership.

Academic institutions are complex organizations that require leaders with ideas for sustaining enrollment growth patterns while meeting fiscal and other challenges. The literature shows that these challenges are present for the leaders of all academic institutions; however, they are especially acute for HBCUs. A lack of finances is the precipitating factor that leads to accreditation woes for HBCUs. Added to this is an assortment of other challenges including declining student enrollments and growing calls for their demise. Transformational leadership appears to be a viable option for HBCU leaders considering the multiple challenges facing their institutions.

The research questions asked in this study were used to identify writings on transformational leadership that were germane to this study. The research questions concerned leadership traits, styles, challenges, addressing challenges, consistency between traits and styles, and relationships between addressing the challenges and the FRLD model. A search of two databases using the descriptors transformational leadership, MLQ, and HBCUs yielded a few studies that actually focused upon presidents/chancellors at HBCUs. However, only one of those studies actually involved the completion of the MLQ by presidents/chancellors at HBCUs (Brown, 2010). In Brown's (2010) study of HBCU presidents' leadership behaviors, the majority of presidents rated themselves as being transformational. Out of the 61 presidents who

were surveyed, 87% rated themselves as transformational, 53% as highly transactional, and only 1% as passive avoidant (Brown, 2010). Various reports describe HBCU leaders as not using behaviors associated with transformational leadership. It should be pointed out these are writings *about* HBCU leaders and not statements *from* HBCU leaders. The literature lacks explanations from these leaders as to how they define and address leadership challenges.

### **Summary**

This chapter presented information that explained the important role academic leaders play in the effective functioning of academic institutions. The literature review also presented information that documented the need for the existence of HBCUs to continue in their mission of preparing all students, especially underserved students, for the labor market. Other studies reviewed discussed the ability of these schools to continue educating these youth due to external as well as internal, leadership challenges. Writings in the literature make the presumption that the adoption of transformational leadership behaviors by HBCU leaders may lead to more viable institutions. Engagement with others in problem solving is a primary characteristic of transformative leadership. Yet, the majority of writings reviewed indicated that HBCU presidents do not use a group approach to problem solving. In fact, there is limited data in the literature concerning how sitting HBCU presidents describe their leadership styles and their assessments of leadership challenges peculiar to their institutions. This limited data coming directly from HBCU presidents underscores the need for this study. In this study, primary data were collected from HBCU presidents that allowed these presidents to give voice to their perspectives on appropriate strategies for addressing institutional challenges.

In chapter 3, the methodology used to obtain this data from five HBCU chancellors is described. In chapter 4, analysis of the data obtained from the chancellors is presented. In chapter 5, the implications of the data findings are discussed.

## **CHAPTER 3: METHODOLOGY**

This phenomenological study was designed to explore and describe the leadership styles and behaviors that chancellors in one Southeastern state used in dealing with the challenges of being a leader of an HBCU. This chapter describes the process whereby data were collected from five sitting HBCU chancellors in North Carolina. The data collection was used to find themes that would describe their leadership style as defined by the Full Range Development Leadership model. Writings in the popular press and in scholarly literature detail challenges facing HBCUs. In these same writings, the leadership at HBCUs is often associated with institutions facing precarious states of existence. Much of the research on HBCU leadership focuses on what others say about the challenges faced by the leaders and what the leaders should do. Missing from the literature are the voices of actual HBCU leaders who, in one Southeastern state, have the title of chancellors.

### **Phenomenological Study**

A phenomenological study focuses on understanding what the participants have in common with a particular phenomenon or occurrence (Creswell, 2013). The researcher provides description and interpretation of shared or common experiences (Creswell, 2013). The phenomenon in this study is what the participants have experienced being an HBCU chancellor. Researching the chancellors' shared experiences can provide information that may help in hiring chancellors, developing policy, and gaining a deeper understanding of public-university HBCU leadership.

With a phenomenological design, a mixture of data collection can be used, which can also be described as triangulation. Creswell (2013) lists interviews and documents as parts of data collection for a phenomenological study, while van Manen (1990) counts formally written

responses as a part of data collection. Participants in a phenomenological study can provide both subjective and objective experiences, and the researcher can excerpt aspects from qualitative and quantitative research (Creswell, 2013). Surveys, interviews, and speeches were used to triangulate and, thus, validate the study. This study was driven by five main and four subset research questions:

1. What is the experience of being an HBCU chancellor in one Southeastern state?
2. What traits of leadership do the HBCU chancellors believe to be important?
3. What challenges do the HBCU chancellors face?
4. What approaches do HBCU chancellors use to address similar challenges?
5. What are the HBCU chancellors' leadership styles?
  - How do the HBCU chancellors exhibit transformational leadership behaviors?
  - How do the HBCU chancellors exhibit transactional leadership behaviors?
  - How do the HBCU chancellors exhibit passive avoidant leadership behaviors?
  - What are the HBCU chancellors' life experiences that they believe developed their leadership styles?

This study obtained first-hand, qualitative, exploratory data from HBCU chancellors serving as leaders of five publicly-funded institutions in a Southeastern state.

### **Sample**

The data obtained from this study were from the chancellors of five, publicly-funded HBCU academic universities in a Southeastern state. Table 1 contains demographic information from the supplemental questionnaire. Pseudonyms were used to protect the identity of the chancellors. Other descriptive data for each institution were obtained from the (College Portrait of Undergraduate Education, 2013 a-e).

Table 1

*Demographic Responses*

Name	Gender	Age	Tenure	Classification	Enrollment
Dr. Ang	Male	52-62	0-5 years	Public	5,001-10,000
Dr. Mills	Male	52-62	0-5 years	Public	10,001-15,000
Dr. Bauer	Male	63-74	0-5 years	Public	5,001-10,000
Dr. Givon	Male	63-74	6-10 years	Public	1,001-5,000
Dr. Reilly	Male	63-74	6-10 years	Public	5,001-10,000

Dr. Ang's institution has a Carnegie Classification of Master's Colleges and Universities (College Portrait of Undergraduate Education, 2013b). In the fall 2012 semester, 6,060 undergraduate and graduate students were enrolled at this university. The racial breakdown of the undergraduate students was 67% Black, 16% White, 6% Hispanic, and 11% Other. More females (69%) than males (31%) were enrolled at the university. The 2012-2013 cost to attend this university was \$14, 284. The percentage of low-income enrolled was 67%. Chancellor Ang has been at this university since 2008.

Dr. Mills' institution has a Carnegie Classification of Doctoral/research University (College Portrait of Undergraduate Education, 2013e). In the fall 2012 semester, 10,636 undergraduate and graduate students were enrolled at this university. The racial breakdown was 86% Black, 5% White, 2% Hispanic, and 7% Other. More females (54%) than males (46%) were enrolled at this university. The 2012-2013 cost to attend this university was \$15, 288. The percentage of low-income enrolled students was 61%. Chancellor Mills has been at this university since 2009.

Dr. Bauer's institution has a Carnegie Classification of Master's Colleges and Universities (College Portrait of Undergraduate Education, 2013d). In the fall 2012 semester, 8,604 undergraduate and graduate students were enrolled at this university. The racial breakdown of the undergraduate students was 84% Black, 5% White, 3% Hispanic, and 9% Other. More females (67%) than males (33%) were enrolled at this university. The 2012-2013 cost to attend this university was \$14,359. The percentage of low-income students enrolled was 64%. At the time of the interview, Chancellor Bauer had been at this university since August 2012. In June 2013, he became the interim chancellor at University A.

Dr. Givon's institution has a Carnegie Classification of Baccalaureate Colleges-Diverse Fields (College Portrait of Undergraduate Education, 2013a). In the fall 2012 semester, 2,878 undergraduate and graduate students were enrolled at this university. The racial breakdown of the undergraduate students was 73% Black, 13% White, 1% Hispanic, and 13% Other. More females (60%) than males (40%) were enrolled at the university. The 2012-13 cost to attend this university was \$11,309. The percentage of low-income enrolled students was 71%. At the time of the interview, Chancellor Givon had been at this university since August 2006. Chancellor Givon resigned in June 2013 and was replaced with interim Chancellor Bauer.

Dr. Reilly's institution has a Carnegie Classification of Master's Colleges and Universities (College Portrait of Undergraduate Education, 2013c). In the fall 2012 semester, 5,689 undergraduate and graduate students were enrolled at this university. The racial breakdown of the undergraduate students was 75% Black, 16% White, 2% Hispanic, and 7% Other. More females (70%) than males (30%) were enrolled at this university. The 2012-2013 cost to attend this university was \$17, 225. The percentage of low-income enrolled students was 62%. Chancellor Reilly has been at this university since 2007.

The sampling method was purposeful since the respondents were all public-HBCU chancellors from the same state and university school system. There are only five, publicly-funded HBCUs in this particular Southeastern state.

### **Procedure**

Before conducting the interviews, permission was obtained to conduct research with human subjects from the university's Institutional Review Board (IRB) (see Appendices B and C). The contact information for the chancellors was passed on to the dissertation author from the deans of the schools/colleges of education from each of the five public HBCUs. The chancellors



were sent an explanatory or invitation letter via an e-mail message (see Appendix A). They were informed that this is a doctoral research study on the chancellors' perceptions of themselves as transformational leaders and were provided with brief documentation explaining how not only they but also their institutions and students would benefit from their participation. The license for the MLQ 5X was purchased from Mind Garden. In July 2012, the company set up the online version of the MLQ 5X and the supplemental questionnaire. The chancellors were sent an explanatory e-mail message on how to access and take the online MLQ 5X. Data for the online survey and questionnaire were collected from July through September of 2012 by Mind Garden and kept in a file that the researcher could access. Two of the chancellors took the MLQ 5X and the supplemental questionnaire in the online format. From February through April 2013, each of the five chancellors was interviewed using the protocol found in Appendix D. By requests of the chancellors, there were face-to-face and phone interviews. For the face-to-face interviews, the meetings took place in the chancellors' offices. They were all asked the same questions from the interview protocol. At the end of each interview, the chancellor was given a paper form of the MLQ 5X to take or retake. For the phone interviews, the chancellors' administrative assistants provided the interviewer with a phone number and time to call the chancellor. The chancellors were asked the same questions from the interview protocol. One of the chancellors, who was interviewed by telephone, had already taken the MLQ 5X and supplemental questionnaire online and another one faxed his completed MLQ 5X and supplemental questionnaire to the researcher. The chancellors were asked in a follow-up, e-mail message to provide a speech that reflected their views on leadership. One chancellor had already provided a copy of a speech during the interview. The remaining chancellors' executive assistants or public relations representatives e-mailed a copy of their speeches.

## Measures

### MLQ 5X

The Multifactor Leadership Questionnaire 5X (MLQ 5X) is used to measure the degree to which a leader exhibits transformational, transactional or passive avoidant behavior. The MLQ 5X gauges the full range of leadership development. The MLQ 5X is divided into two sections, the Leader Form and the Rater Form, both containing 45 questions. The Leader Form asks the respondent to rate the frequency of his/her behavior, while the Rater Form asks the followers to rate the leaders' behavior. The choices on the form are based on the Likert scale and contain the following range of values: (a) 0 for not at all, (b) 1 for once in a while (c) 2 for sometimes (d) 3 for fairly often (e) 4 for frequently (Bass & Riggio, 2006). Only the Leader Form was used in this study so that HBCU chancellors would rate their own behavior. Each component of the FRLD model is made up of scales. Transformational behavior has five scales: idealized attributes, idealized behavior, inspirational motivation, intellectual stimulation and individualized consideration. Transactional behavior has two scales: contingent reward and management-by-exception active. Passive avoidant behavior has two scales: management-by-exception passive and laissez-faire.

There are nine questions on the MLQ 5X that measure the outcomes of leadership: extra effort, effectiveness, and satisfaction. Thirty-six questions on the MLQ 5X represents a scale of transformational, transactional or passive avoidant behaviors. For example, four questions measure idealized attributes (transformational). One of these questions (#25) reads, "I display a sense of power and confidence." Four questions measure contingent reward (transactional). One of these questions (#35) reads, "I express satisfaction when others meet expectations." Four questions measure management-by-exception (passive avoidant). One of these questions (#3)

reads, “I fail to interfere until problems become serious.” Two questions measure satisfaction (outcomes of leadership). One of these questions (#41) reads, “I work with others in a satisfactory way.”

### **Validity of the MLQ 5X**

The MLQ Form 1 was created by Bass (1985). Its structure has undergone several changes to strengthen its construct validity. The MLQ Form 1 was revised to become the MLQ 5R which was revised to become the presently used MLQ 5X. The MLQ 5X is a refined instrument based on criticisms of the MLQ Form 1 and the MLQ 5R (Bass & Avolio, 2004). The MLQ has changed from a six-factor leadership structure to a five-factor leadership structure to a final nine-factor leadership structure. The changes represent efforts to define more accurately the constructs associated with leadership styles and behaviors of Avolio and Bass’ (1991) full range of leadership. The MLQ has been criticized for having inadequate discriminate validity among the factors comprising the survey and because Bass’ factor structure had failed to be replicated in empirical studies. The following are studies that have validated and cross-validated the MLQ 5X.

Armstrong (2008) performed confirmatory factor analysis on multi-data from 138 cases to measure whether the data confirmed the structural validity of the MLQ 5X. The purpose of Confirmatory Factor Analysis (CFA) was to evaluate how well the MLQ 5X fit to its data. With CFA, the prediction of the interrelationships between the latent and observed variables within the model is given before the analysis. The difference between these predicted interrelationships and the actual interrelationships is referred to as “fitted residual” (Armstrong, 2008, p. 8). The closer these residuals are to zero, the better the model fits the data. Also, the root mean square error of approximation (RMSEA) is another fit index used to evaluate a given model. Brown and

Cudeck (1993) suggested that the RMSEA value of .05 or less indicated a close fit between data and the model. Joreskog and Sorbom's (1989) goodness of fit index (GFI) and the adjusted goodness of fit index (AGFI) were used when conducting CFA. The values greater than 0.0 for GFI and greater than 0.8 for AGFI indicate a good fit of the model. Armstrong (2008) examined the construct validity of the MLQ 5X using the confirmatory factor analysis. The results were that all fit measures were significant in a nine-factor model. It could be concluded that the MLQ 5X nine –factor model was a reasonable fit for the data.

Another definitive study that tested the validity and reliability of the MLQ 5X was conducted by Antonakis, Avolio, and Sivasubramanian (2003). Their test is lauded by Avolio and Bass (2004) as proof of the validity of the MLQ 5X. They conducted a meta-analysis of studies obtained from major databases, a leadership center, and independent research. They hypothesized that the MLQ 5X may be affected by the context in which leadership is observed and evaluated and found that the nine-factor model was stable within homogenous contexts. The homogenous samples consisted of 2,279 male and 1,089 female raters who evaluated same gender leaders. The nine factor model provided adequate representation of the full range model as assessed by the MLQ 5X.

Armstrong (2008) and Antonakis et al. (2003) used confirmatory factor analysis to confirm the nine-factor structure of the MLQ 5X. It is evidence of construct validity.

### **Supplemental Questionnaire**

The supplemental questionnaire contained five demographic questions and one multiple choice question. The Supplemental Questionnaire measured perception, gender, age range, length of service, funding classification, and size of the institution. The first question asked was, “Would you categorize yourself as transformational?” The response choices were (a) Yes (b) No

(c) Not sure (d) Don't know what that means. A demographic question asked, "What is your gender?"

### **Interview Protocol**

The interview protocol was used in both face-to face and two telephone interviews. In the interview protocol, the chancellors were asked demographic questions and questions that explored whether they had held leadership positions before they became chancellors. For example, they were asked, "Prior to assuming the role of chancellor, have you ever served as a provost, dean of a college/school, chair of a department?" In addition, the chancellors were asked questions designed to ascertain their leadership behaviors. These questions were intended to accomplish the following: (a) to describe their leadership styles, (b) to identify the five most important traits of leadership, (c) to identify the five biggest challenges HBCU leaders face, (d) to explain how they addressed the challenges, (e) to describe the relationships between actions and the FRLD Model, (f) to find commonalities in behavior, approaches and solutions.

In another part of the interview protocol, the chancellors were read six statements from the MLQ 5X Leader Form. The MLQ 5X rates the degree to which a leader exhibits behaviors described in the FRLD Model. After the statements were read, each chancellor was asked to indicate if the statement described (a) something he would not use (b) something he would use once in a while (c) something he might use sometimes (d) something he uses fairly often or (e) something he uses frequently or even always. Each statement's relationship to an item on the MLQ 5X Leader Form is indicated below. In addition, the statement's categorization as indicating either transactional, transformational or laissez-faire leadership behavior is indicated. The statements are as follows:

1. I concentrate my full attention on dealing with mistakes, complaints, and failures. (#22 on the MLQ 5X Leader Form; Transactional)
2. I seek differing perspectives when solving problems. (#8 on the MLQ 5X Leaders Form; Transformational).
3. I show that I am a firm believer in “If it ain’t broke, don’t fix it.” (#17 on the MLQ 5X Leaders Form; Passive Avoidant).
4. I spend time teaching and coaching. (#15 on the MLQ 5X Leaders Form; Transformational)
5. I make clear what one can expect to receive when performance goals are achieved. (#16 on the MLQ 5X Leader Form; Transactional).
6. I demonstrate that problems must become chronic before I take action. (#20 on the MLQ 5X Leaders Form; Laissez-Faire).

### **Speeches**

During the face-to-face interviews, one chancellor voluntarily gave a copy of a speech that provided an example of that chancellor’s leadership values, goals, and style. Three other chancellors provided speeches that were examples of their leadership values, goals, and styles. By the time this data collection took place in the spring of 2014, one of the five chancellors had left the university. As a result, four speeches were analyzed.

### **Triangulation**

In using triangulation, the MLQ 5X, the supplemental survey, the interview protocol, and speeches provide corroborative evidence. This process entails corroborating evidence from different sources of data to find themes (Creswell, 2013). Using the different data sources provides validity to the findings (Creswell, 2013).

## **Data Analyses**

Descriptive statistics was used to analyze the data. Data collections for this phenomenological study included the MLQ 5X questionnaire, the supplemental questionnaire, the interviews, and the speeches. The interviews were transcribed from the researcher's notes, and all documents were analyzed for themes. Only four transcribed interviews could be approved and only four speeches could be analyzed because one of the chancellors resigned shortly after the interview.

### **MLQ 5X Leader Form**

Table 2 shows how the MLQ 5X is constructed and it provides a visual to see how the scores are averaged. The averages are used to determine the extent or degree to which the questionnaire taker is transformational, transactional, and passive avoidant (Bass & Avolio, 2004). Each one of the 45 questions is called an "item" with each item corresponding with a scale name and characteristic. For example: Scale name, Inspirational Motivation (IM), is a transformational characteristic that corresponds with items 9, 13, 26, and 36 on the Leader Form. To get the score, the answers are summed and divided by the number of items. For example, using the above scale name IM, suppose the leader gives item 9 a "2" rating, item 13 a "1" rating, item 26 a "3" rating, and item 36 a "4" rating. The sum (10) is then divided by the number of items (4) for that particular scale name. The total comprises the average for the scale name. Analyses can also be made by comparing the leaders' score against a norm table provided by Bass and Avolio (2004).

Table 2

*Information Used to Average Scores on the MLQ 5X*

Characteristic	Scale Name	Scale Abbreviation	Items
Transformational	Idealized Attributes	IA	10,18,21,25
Transformational	Idealized Behaviors	IB	6,14,23,34
Transformational	Inspirational Motivation	IM	9,13,26,36
Transformational	Intellectual stimulation	IS	2,8,30,32
Transformational	Individual Consideration	IC	15,19,29,31
Transactional	Contingent Reward	CR	1,11,16,35
Transactional	Management by Exception Active	MBEA	4,22,24,27
Passive Avoidant	Management by Exception Passive	MBEP	3,12,17,20
Passive Avoidant	Laissez-Faire	LF	5,7,28,33
Outcomes of Leadership	Extra Effort	EE	39,42,44
Outcomes of Leadership	Effectiveness	EFF	37,40,43,45
Outcomes of Leadership	Satisfaction	SAT	38,41

*Note.* Source (Avolio & Bass, 2004, p. 111).



## **Supplemental Questionnaire**

The responses on the supplemental survey were analyzed for similarities. This information may be used to clarify results, responses, and analyses from the MLQ 5X and the demographic information was represented by a table.

## **Interview Protocol**

These were open-ended questions that allowed the chancellors to provide their unique perspectives on leadership (Neumann & Bensimon, 1990). The interviews were transcribed from the interviewer's notes. The transcribed interviews were e-mailed to the chancellors for their approval. All four chancellors approved their transcribed interviews. These data were analyzed using strategies associated with qualitative analysis (Kathwohl & Smith, 2005) and with phenomenological studies. The responses from the interview protocol were put into categories. These categories were traits of leadership, challenges, addressing challenges, and behaviors. Quotes that provided an explanation of how the participant experienced the phenomenon were recorded. From these quotes, themes were developed. The information was recorded in tables. There are tables with themes for each category. In particular, the data were examined to determine if commonalities existed among the chancellors' perspectives on their leadership styles, important leadership traits, leadership challenges, and approaches to solving problems. The data were also examined to determine relationships between the chancellors' perspectives on leadership and the tenets of transformational, transactional, and passive avoidant leadership theory.

The fourth question on the interview protocol consisted of six statements. The statements as have been detailed above mimicked statements found on the MLQ 5X Leader Form. Each statement was associated with transformational, transactional, or passive avoidant leadership

behavior. Frequency counts were used to determine how often each statement was identified by the chancellors as a behavior they do not do at all, something they do once in a while, a behavior they might do sometimes, a behavior they engage in fairly often, or a behavior that they do frequently or always. Frequency counts are appropriate for summarizing data on one or more variables (Huck, 2004).

### **Speeches**

The speeches were analyzed to describe and categorize the leadership styles of the chancellors. The findings were compared with those from the MLQ5X and the interviews to see if the findings were consistent. Analyzing the speeches completed the triangulation process.

### **Summary**

The purpose of this study was to explore and describe the leadership styles and behaviors of HBCU leaders currently serving as chancellors of five publicly-funded institutions in one Southeastern state, allowing others to understand, explore, and describe their leadership styles and behaviors. The chancellors were interviewed between February 2013 and April 2013. A survey, a protocol of interview questions, and speeches were used to obtain the chancellors' definition of leadership challenges and how they set about addressing the challenges. Questions adopted from the MLQ 5X Leader Form were a part of the interview protocol. This allowed the researcher to consider each of the chancellors' responses in terms of leadership approaches associated with three different types of leadership style: transformative, transactional, or passive avoidant.

## **CHAPTER 4: RESULTS**

This phenomenological study explored and described the leadership styles and behaviors that chancellors in one Southeastern state used in dealing with the challenges of being a leader of a publically-funded HBCU. All five of the chancellors were male and between 52 and 74 years old. Three chancellors had been at their institutions for five years or less and two had been at their institutions for at least ten years or less. The enrollments at their institutions were in a range between 1,001 and 15,000 students.

### **Research Question One**

The themes for the first research question were derived from this inquiry: What is the experience of being an HBCU chancellor in one Southeastern state? The results are summarized in Table 3. Three themes emerged from the chancellors' responses.

#### **Understanding the Chancellor's Role**

All five chancellors, through different examples, spoke about their roles as chancellors. Their experiences as an HBCU chancellor included "create[ing] the circumstances for change" (Ang), "understanding the university standards and brand and managing through it all" (Mills)," "flat out embrace[ing] the strategic directions of the University enthusiastically" (Bauer), "transparency" (Givon), and "If you worry about holding on to the job, you don't get much done" (Reilly).

#### **Motivation**

With terms such as "motivated," and "enthusiastically," two of the chancellors, Ang and Bauer, showed that their experience included motivating stakeholders.

Table 3

*The Experience of Being an HBCU Chancellor*

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Chancellor	Significant Words and Statements
Ang	Change begins when you are motivated to change and then create the circumstances for change. (speech)
Mills	Understanding the role of chancellor and the board of trustees, understanding the university standards and brand and managing through it all (interview)
Bauer	I assure you that I will flat out embrace the strategic directions of the University enthusiastically.(speech)
Givon	Transparency * (interview)
Reilly	If you worry about holding on to the job, you don't get much done. (interview)

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*Notes.* The Significant Statements are based on the responses from the questionnaire, interview or speech that best represents the chancellors' experience. \*In response to the important traits of leadership.

## **Teamwork**

Chancellor Mills reiterated his belief in making all stakeholders knowledgeable about the status of the university. He used words, such as “understanding’ in the same sentence with “chancellor” and “board of trustees.” Chancellor Givon used the word “transparency,” which indicated that he was open to making his actions known to others.

## **Research Question Two**

The second research question asks the following: What traits of leadership do the HBCU chancellors believe to be important? A summary of the responses is shown in Table 4. Two themes emerged from the analysis of the responses related to this research question.

## **Working Together**

In describing what they considered to be a trait of leadership, the chancellors used the words “collaborative,” “transparency,” and “consensus builder.” These words incorporated aspects of working together. Being collaborative is a trait of leadership that was pointed out by Chancellors Mills and Bauer during their interviews. Chancellor Mills mentioned “growing together as a family,” and, similarly, Chancellor Bauer stated that “Leadership is a collaborative effort” and that he would make phone calls to utilize stakeholders’ talents for the better of the university. Other examples of working together are Chancellor’s Mill’s assertion that “any goal that we set could be achieved” and Chancellor Reilly’s belief that the stakeholders “on-going interest in the university” makes achieving goals less solitary and more collaborative.

## **Work Ethic**

In an interview and in speeches, the work ethic theme was evident. Bauer used the word “work ethic” in his interview response to the traits of leadership. Students are the audience for Chancellor Ang’s speech.

Table 4

*Traits of Leadership*

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Chancellor	Significant Words and Statements
Ang	Visionary, transparency, ethical (interview). Wallowing in mediocrity with others is a choice and you deserve the consequences of such choices. (speech)
Mills	Consensus builder, collaborative, visionary (interview). We are excited to have you look forward [to] growing together as a family and an institution. Our institution had the necessary ingredients for greatness and with the proper planning, a robust work ethic and a willingness to evolve; any goal that we set could be achieved.(speech)
Bauer	Work ethic, collaborate, engage and motivate (interview). You have heard this before and it's true. Leadership is a collaborative effort. Most importantly, I have your phone numbers. And I'll be calling. I intend to fully cash in on your collective genius, your wisdom and experience, and your love and passion for the continued growth of .... Chancellorship is not about me and it could never be about any one person. It's about what we can do together to make this great university better. (speech)
Givon	Transparency decisive, risk taker (interview). I'm elated to have the title of chancellor...and I look forward to serving...as its chancellor (article)
Reilly	Decisiveness, knowledge, political suaveness (interview). In talking with some of you, I am really pleased to hear that as a result of these briefings, you know more about the university. What I plan to do this morning is to deliver a message about the role of the university ...kind of a history lesson with a look forward. You are the first audience to receive this message, and that's because of your on-going interest in the university and your increased knowledge of your efforts. (speech)

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Chancellor Ang was not only advocating this trait for himself but for students as well. He stated in his speech: “Wallowing in mediocrity with others is a choice and you deserve the consequences of such choices.” In order for students to do well, they must set goals and work diligently to do well. Chancellor Mills continued the work ethic theme in his state of the university speech: “Our institution had the necessary ingredients for greatness and with the proper planning, a robust work ethic and a willingness to evolve; any goal that we set could be achieved.” Dr. Givon’s example showed his enthusiasm to work: “I’m elated to have the title of chancellor ...and I look forward to serving ...as its chancellor.”

### **Research Question Three**

The third research question is the following: What challenges do the HBCU chancellors face? The responses to this research question are summarized in Table 5. Two themes emerged.

#### **Budget Concerns**

Whether it is assessing the budget situation at a university, lamenting state and federal budget cuts, trying to secure funds in difficult economic times, or developing external partnerships to help manage the budget concerns, four out of five of the chancellors mentioned budget concerns as a major challenge. The chancellors expressed concerns from Chancellor Mills’ “assessing the resource needs of the university” to Chancellors Bauer’s “even considering the impact of draconian budget cuts .”

As if to emphasize the harshness of the budget challenges, the chancellors used connotative words, such as Chancellor Mills’ “cuts” and Chancellors Bauer’s use of the words “downward,” “spiral,” “deficits” and “draconian.” Chancellor Reilly summed up the challenging budget concerns with the statement “that [the] problem is simply dollars.”

Table 5

*Challenges the HBCU Chancellors Face*

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Chancellor	Significant Statements
Ang	<p>Changing an anachronistic culture; varied levels of competency throughout the organization; underdeveloped academic reputation and vision (interview)</p> <p>The requirements associated with becoming a competitive and attractive job applicant of the 21<sup>st</sup> century are rigorous. To believe that one can graduate with a low GPA and be in demand is sheer folly. (speech)</p>
Mills	<p>Analyzing the fiscal environment of the institution; establishing and building relationships with key external and internal constituents; assessing the resource needs of the institution (interview)</p> <p>Unfortunately, this year won't be without its challenges. With the passing of more budget cuts, we must carefully manage external factors and their potential effects on our university. (speech)</p>
Bauer	<p>State budget cuts and downward economic spiral and funding cutbacks; firing people (interview)</p> <p>And I see both challenges and opportunities. Even considering the impact of draconian budget cuts, the less than expected enrollment numbers, and the deficits associated with Division 1 membership. We have challenges we can turn into opportunities. ( speech)</p>
Givon	<p>Budget, energizing alumni, motivating faculty</p>
Reilly	<p>Being afraid of losing their [chancellors'] jobs; very limited experience outside of an HBCU. (interview)</p> <p>Yet, with all of our efforts, we are facing a mounting challenge that has begun to negatively impact our potential for success. That problem is simply dollars. (speech)</p>

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## **Competency**

Competency was mentioned in its various forms. Chancellor Ang mentioned the challenge of dealing with the “varied levels of competency throughout the organization.” The capability of some of the students, faculty, and administrators was a challenge. Perhaps, it was a challenge in part because Chancellor Ang mentioned dealing with “...an anachronistic culture” of faculty and deans who were not positively promoting the university. As Chancellor Bauer reasoned, “firing people” was a challenge, yet a necessity.

Concerns also focused on students’ being prepared for their futures. Chancellor Ang offered that it was asinine for students ‘...to believe that one can graduate with a low GPA and be in demand.’ He described this thinking as “sheer folly.” For faculty, the concern was having the drive to work well with others or as Chancellor Givon acknowledged, “motivating faculty” was a challenge. For administrators, the challenge was about being skilled enough to deal productively with HBCU students, faculty, and other stakeholders. Chancellor Mills stated that “establishing and building relationships with key external and internal constituents” was a challenge. Chancellor Givon expressed that “energizing alumni and motivating faculty” were among his challenges.

## **Research Question Four**

The fourth research question asks the following: What approaches do HBCU chancellors use to address similar challenges? Table 6 shows a summary of the responses. There were three themes to emerge from the analysis of the responses to this question.

Table 6

*Approaches to Address Challenges*

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Chancellors	Significant Statements
Ang	<p>Link budgeting and planning, faculty incentives, student centeredness(interview)</p> <p>Self-regulation refers to learners’ beliefs about their capability to engage in appropriate actions, thoughts, feelings, and behaviors in order to pursue valuable academic goals while self-monitoring and self-reflecting on their progress toward goal completion. (speech)</p>
Mills	<p>Educated boards, defined peers, best practices (interview). We will plan more strategically, create a budget planning process for more effective resource allocation, communicate openly and honestly with our constituents and diversify our resource base and require more of our stakeholders. (speech)</p>
Bauer	<p>Listen/ open-door policy, won’t micromanage, post-tenure review process, branding university, foster public/private partnerships (interview). I know you will do everything possible to ensure that I am successful...that will mean that this cruise ship of a university continues to sail smoothly. I am confident that you professionals-true pros- are intensely loyal to...and that it takes team work to make dreams work. And I am thrilled that members of this Executive Leadership team work so well together. (speech)</p>
Givon	<p>Knowledgeable and creative budget team, energizing alumni, motivating faculty (interview)...students across the nation and around the world must know there is a university that still offers personalized attention and a quality education at a reasonable rate (article)</p>
Reilly	<p>Support from top administrators, [be] bold, don’t worry about job stability. (interview)...Are attracting a higher quality student. We have raised the bar for faculty to obtain tenure....students who need remedial attention are steered toward community colleges. (speech)</p>

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## **Strategic Budget Planning**

Strategic planning demands that a well thought out approach be used to tackle budget concerns. The strategies that developed this theme include Chancellor Ang's "budget planning," Chancellor Givon's "creating a knowledgeable and creative budget team," Chancellor Bauer's "branding the university," Chancellor Mills' having better "defined peers" and "educating boards," and Chancellor Bauer's "fostering public and private partnerships."

## **Student Centeredness**

To address the challenge of preparing competent students, the theme of student centeredness emerged. Chancellor Ang promoted it in a speech to students: "Self-regulation refers to learners' beliefs about their capability to engage in appropriate actions, thoughts, feelings, and behaviors in order to pursue valuable academic goals while self-monitoring and self-reflecting on their progress toward goal completion." Chancellor Reilly espoused a twofold approach to addressing student competency. His take on student centeredness included "attracting a higher quality student" and steering "students who need remedial attention toward community colleges."

## **Faculty Incentives**

Faculty incentives became a theme for addressing the challenges of incompetent faculty. In his interview, Chancellor Bauer advocated a "post tenure review process" for faculty who had become complacent or non-caring after they had earned tenure. He shared the belief with educators and politicians who believed that tenure should not become a safe-haven for incompetent faculty. Chancellor Givon stated that "motivating faculty" was his way to address competency concerns.

### **Research Question Five**

The themes were extracted from the responses to the fifth research question: What are the HBCU chancellors' leadership styles? To aid in interpreting the results related to the MLQ 5X, Table 7 contains a summary of the subscales for three main scales. Tables 8 and 9 summarize the results for this research question.

#### **Leadership Styles**

Two chancellors completed an online version of the MLQ 5X Questionnaire Leader Form, and five completed a paper version. The license to use the questionnaire and the scoring key were provided by Mind Garden (Bass & Avolio, 2004). Each statement or item on the questionnaire represented a characteristic of leadership styles (see Table 8). For example, transformational, is comprised of four subscales: idealized attributes (IA), idealized behaviors (IB), inspirational motivation (IM), and intellectual stimulation (IS). All of the subscales included four items on the questionnaire. For example, items 10, 18, 21, and 25 represent transformational/idealized attributes. The response option of each item ranged from zero to four. The average score of each subscale was calculated. The range of the average score was between 0 and 4.

In order to analyze the chancellors' leadership styles, the average score for each subscale was compared with the score on the norm tables provided by Mind Garden (Bass & Avolio, 2004). The norm table shows percentiles for individual scores based on self-rating from a normed population. The percentiles in the table represented the percentage of the population whose averages were lower (Bass & Avolio, 2004). For instance, the average score of 2.5 for idealized attributes is at the 20<sup>th</sup> percentile, which means 20% of the normed population scored lower.

Table 7

*Scales and Subscales of the MLQ 5X*

Scales	Subscales
Transformational	<p>Idealized Attributes (IA)-leader is so dynamic, ethical, and moral that the followers want to emulate him or her.</p> <p>Idealized Behavior (IB)-leader expresses morality in reaching common goals.</p> <p>Inspirational Motivation (IM)-leader offers meaning, inspiration in reaching the institution's mission.</p> <p>Intellectual Stimulation (IS)-leader encourages creativity and new ideas.</p> <p>Individual Consideration (IC)-leader is mentor.</p>
Transactional	<p>Contingent Reward (CR)-follower is rewarded for successfully completing a task.</p> <p>Management by Exception-Active (MBEA)-leaders monitor the followers' actions and make corrections as needed.</p>
Passive Avoidant	<p>Management by Exception-Passive(MBEP) – leader waits until the situation is chronic before taking action.</p> <p>Laissez-Faire (LF)-leader avoids decision making and involvement.</p>

*Note.* Adapted from Bass and Avolio, 2004.

Table 8

*Leadership Styles*

Chancellors	Transformational Leadership					Transactional Leadership		Passive/Avoidant Leadership	
	IA	IB	IM	IS	IC	CR	MBEA	MBEP	LF
Ang	2.75 (30-40%)	3.5 (80%)	3.5 (70%)	2.75 (30%)	3 (30%)	2.5 (20%)	2.25 (10%)	.25 (5-10%)	0 (5-10%)
Mills	4 (100%)	4 (95%)	4 (95%)	3.75 (90%)	4 (95%)	3 (40-50%)	1.5 (50%)	.25 (5-10%)	.5 (40-50%)
Bauer	4 (100%)	3.5 (80%)	4 (95%)	4 (100%)	4 (95%)	3.5 (80%)	3 (95%)	1.25 (60-70%)	.5 (40-50%)
Givon	3 (50%)	3.5 (80%)	3.6 (80-90%)	3.5 (80%)	3 (30-40%)	2.75 (30%)	1.25 (40%)	0 (0-4%)	0 (5-10%)
Reilly	2.5 (20%)	3.75 (90%)	2.5 (20%)	2.25 (10%)	2.5 (10%)	3 (40%)	2 (0-4%)	0 (0-4%)	.25 (20-30%)

*Notes.* **Transformational:** IA=Idealized Attributes, IB=Idealized Behavior, IM=Inspirational Motivation, IS=Intellectual Stimulation, IC=Individual Consideration; **Transactional:** CR=Contingent Reward, MBEA=Management by Exception (Active); **Passive Avoidant:** MBEP=Management by Exception (Passive), LF=Laissez-Faire. The values in the parentheses denote the percentile of the normed population that scored lower.

Table 9

*Outcomes of Leadership Behavior*

Chancellor	Extra Effort	Effectiveness	Satisfaction
Ang	3 (60-70%)	3 (30-40%)	2.5 (10-20%)
Mills	3.6 (90%)	3.75 (90%)	3.5 (70%)
Bauer	3 (60-70%)	3 (30-40%)	2.5 (10-20%)
Givon	3 (60-70%)	3.5 (70-80%)	3 (50-60%)
Reilly	3.6 (90%)	3.75 (90%)	3.5 (70%)

*Note.* The values in the parentheses denote the percentile of the normed population that scored lower.

Table 8 shows the rankings of leadership styles for each chancellor. Chancellor Ang's highest transformational normed percentile for IB was 80%. His highest transactional normed percentile for CR was 20%. He was between the 5-10<sup>th</sup> percentiles for passive avoidant. Chancellor Mills was more transformational than the norm for all subscales ( $\geq 90\%$ ). His highest transactional percentile was 50% for MBEA. He measured in the 5-10<sup>th</sup> percentiles for MBEP and in the 40-50<sup>th</sup> percentiles for LF. Chancellor Bauer measured more than the norm for all subscales ( $\geq 60-70\%$ ) except for the last: LF, which was between the 40-50<sup>th</sup> percentiles. Chancellor Givon measured less than the norm for all transactional and passive avoidant scales: 30<sup>th</sup> percentile for CR, 40<sup>th</sup> percentile for MBEA, 0-4<sup>th</sup> percentile for MBEP, and 5-10<sup>th</sup> percentile for LF. Out of the five transformational scales, he measured less than the norm for one: IC and just 50% for IA. Other transformational subscales reached at least 80<sup>th</sup> percentile. Chancellor Reilly measured less than the norm for all subscales ( $\leq 40\%$ ) with the exception of IB in the 90<sup>th</sup> percentile.

### **Outcomes of Leadership Behavior**

Three scales (extra effort, effectiveness, and satisfaction) were used to assess the outcomes of leadership. The outcomes of leadership scores showed the extent to which the chancellors felt their leadership was successful. Extra effort has three items. Effectiveness has four items, and satisfaction has two items.

The average score of each outcome scale was obtained by summing the responses to the corresponding items and dividing by the number of items. The average score for each outcome scale was also compared with the score on the norm tables provided by Mind Garden (Bass & Avolio, 2004).



Table 9 shows the ratings of outcomes of leadership behavior for each chancellor. Chancellor Ang had the highest percentiles (60-70%) for extra effort, 30-40<sup>th</sup> percentiles for effectiveness, and 10-20<sup>th</sup> percentiles for satisfaction. Chancellor Mills' highest percentiles were 90% for extra effort, 90% for effectiveness, and he had a high percentile, 70%, for satisfaction. Chancellor Reilly's percentiles mirrored Mills'. He scored highest in effectiveness (90%) and extra effort (90%) and lowest in satisfaction (70%). Chancellor Bauer's highest percentile was 60-70% for extra effort. He scored lower for effectiveness (30-40%) and satisfaction (10-20%). Chancellor Givon scored highest for effectiveness (70-80%), followed by extra effort (60-70%), and the lowest in satisfaction (50-60%).

### **Subset Research Questions**

#### **Transformational Behaviors**

Table 10 contains a summary of responses related to transformational leadership. The first subset research question asks the following: How do the HBCU chancellors exhibit transformational leadership behaviors? Believing in others is a transformational behavior. The transformational leader's belief in others can be seen in the following: "empowered" (Ang), "open-door policy" (Bauer), "won't micromanage" (Bauer), and "need your ideas" (Reilly).

The chancellors' identifying their relationships with the stakeholders as family-like is a transformational behavior. The transformational leader's promotion of the family-like atmosphere can be seen in the following: from Chancellor Mills' "building relationships," "our university wide goals and initiatives," and "growing together as a family and an institution" to Chancellor Bauer's, "The chancellorship is not about me . . . It's about what we can do together."

Table 10

*Transformational Leadership Behaviors*

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Chancellors	Significant Words and Statements
Ang	<p>Empowered vice chancellors and raised expectations for them. (interview)</p> <p>Change begins when you are motivated to change and then create the circumstances for change. (speech)</p>
Mills	<p>Establishing, building relationships with key external and internal constituents. (interview)</p> <p>It is my hope that your contributions bring us closer to obtaining our university-wide goals and initiatives. We are excited to have you and look forward to growing together as a family and an institution. (speech)</p>
Bauer	<p>Ability to engage and motivate. I do listen. I have an open-door policy. I won't micromanage. (interview)</p> <p>The chancellorship is not about me and it could never be about any one person. It's about what we can do together to make this great university even better. (speech)</p>
Givon	<p>Motivating faculty. Being an example with passion (interview)</p>
Reilly	<p>Of course, you can always help. We need your ideas on what we can do to better meet the financial needs of our students. (speech)</p>

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Being a motivator is a behavior of transformational leaders. Motivational behavior was found in the following: Chancellor Ang's: "Change begins when you are motivated to change and then create the circumstances for change." Chancellor Bauer's: "ability to engage and motivate. I do listen," and Chancellor Givon's: "motivating faculty."

### **Transactional Behaviors**

Table 11 contains a summary of responses related to transactional leadership. The subset research question asks the following question: How do the HBCU chancellors exhibit transactional leadership behavior? The transactional behavior of rewarding followers for their participation was evident in these examples: "[I] provide faculty incentives" (Ang), "I intend fully to cash in on your collective genius, your wisdom . . . for the continued growth of" (Bauer). "Ed Smith\* hired me. He was supportive. I told him that I have to be bold and you have to back me up. Also, you [stakeholders] have made an investment in the future" (Reilly).

### **Passive Avoidant Behavior**

Table 12 contains a summary of responses related to passive/avoidant leadership. The subset research question asks the following: How do the HBCU chancellors exhibit passive avoidant leadership behaviors? During the interviews (this question was also #17 on the MLQ 5X Leader Form), the chancellors were asked to respond to the statement "If it ain't broke, don't fix it," which is an example of passive avoidant behavior. Four of them responded that to some degree that they agreed with that particular passive avoidant behavior. Only one chancellor, Reilly, responded that he does not agree with this passive avoidant statement.

Table 11

*Transactional Leadership Behavior*

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Chancellor	Significant Statements
Ang	Provide faculty incentives (interview) If you want to get your dream job after graduation or after attending graduate school, you must make a commitment to self-regulation.
Mills	N/A
Bauer	If people don't measure up, they have to go. (interview) I intend fully to cash in on your collective genius, your wisdom and experience, and your love and passion for the continued growth of. . . . (speech)
Givon	N/A
Reilly	Ed Smith* hired me. He was supportive. I told him that I have to be bold and you have to back me up. (interview) To each of you, who made a contribution to this building renovation, please know that we are deeply grateful for you support. Also, you have made an investment in the future success of all of our students. As a person with a finance background, I can tell you that you will never get a better investment than your gift to this project. (speech)

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*Note.* \*pseudonym.

Table 12

*Passive Avoidant Leadership Behaviors*


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Chancellors	Significant Statements
Ang	In response to whether he agrees with the statement, If it ain't broke, don't fix it, the chancellor responded: I do once in a while.(interview)
Mills	In response to whether he agrees with the statement, If it ain't broke, don't fix it, the chancellor responded: rarely. (interview)
Bauer	In response to whether he agrees with the statement, If it ain't broke, don't fix it, the chancellor responded: all the time. (interview)
Givon	In response to whether he agrees with the statement, If it ain't broke, don't fix it, the chancellor responded: fairly often. (interview)
Reilly	In response to whether he agrees with the statement, If it ain't broke, don't fix it, the chancellor responded: not at all. (interview)

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## **Life Experiences**

Table 13 shows a summary of statements related to life experiences. The themes were extracted from the final subset research question: What are the HBCU chancellors' life experiences that they believe developed their leadership styles?

**Family.** The chancellors' responses revealed that their leadership styles were coming from other significant people in their lives. Chancellor Mills explained that he had “mentors from childhood.” Chancellor Bauer was specific that his style was influenced “probably [by] lessons taught to me by my mother, aunt, and grandmother—all the people who raised me.”

**Job experience.** Job experience is based on the chancellors' own jobs and their observing the styles of other leaders. Chancellor Ang said that “a successful administrative experience” developed his leadership style. Chancellor Mills credits “professional experience” including that as being the “chancellor of two institutions.” Chancellor Givon mentioned, “watching previous leaders in various careers.” “The experiences I've had have been in higher education for thirty years,” responded Chancellor Reilly.

## **Detailed Individual Analyses**

### **Chancellor Ang**

Ang focused on raising the competency of the students and faculty at his institution; he attributed the problem to a culture that needs to be changed. As a result, he felt that his institution had a weak academic reputation. His strategies to deal with the challenges were to focus on the students and to provide faculty incentives. Ang scored the highest on the MLQ 5X in idealized behaviors and inspirational motivation. In these scales, he was more transformational than the norm. Ang scored in the 80<sup>th</sup> percentile in idealized behavior. Question #14 on the Leader Form of the MLQ 5X measures idealized behavior. It states the following: I specify the

Table 13

*Life Experiences*

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Chancellors	Significant Statements
Ang	Excellent mentors, a successful administrative experience (interview)
Mills	From childhood, professional experience: dean, provost, chancellor of two institutions (interview)
Bauer	Lessons taught by my mother, aunt, and grandmother—all the people who raised me. (interview)
Givon	Watching previous leaders in various careers (interview)
Reilly	The experiences I've had have been in higher education for thirty years. (interview)

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importance of having a strong sense of purpose. He responded, "Fairly often." Ang's warning students not to wallow in mediocrity and accepting the consequences if they did is an example of considering the moral and ethical consequences of decisions or idealized behavior. Another example of idealized behavior was his advising students to work towards and maintain a high GPA, which instills a strong sense of purpose in the students. He scored in the 70<sup>th</sup> percentile in inspirational motivation. Question #36 on the Leader Form of the MLQ 5X measures inspirational motivation. It states the following: I express confidence that goals will be achieved. He chose, "Sometimes." Being visionary was a trait that he believed to be important, and it is a trait that is a characteristic of inspirational motivation.

In his interview, Ang stated that he believed in providing faculty incentives, which is a transactional behavior. However in contradiction to his interview statement, he scored less transactional than the norm in both transactional scales. For contingent reward, Ang scored in the 20<sup>th</sup> percentile. Question #16 on the Leader Form of the MLQ 5X measures contingent reward. It states the following: I make clear what one can expect to receive when performance goals are achieved. He answered, "Sometimes."

For the outcomes of leadership, Ang scored less than the norm for effectiveness and satisfaction 30-40% and 10-20% respectively. Question #43 on the MLQ 5X Leader Form measures effectiveness in meeting organizational requirements. Question #41 on the MLQ 5X Leader Form measures satisfaction with working with others in a satisfactory way. Ang answered, "Fairly often" and "Frequently, if not always," respectively. Since the outcomes of behavior are synonymous with transformational and transactional behaviors, a contradiction exists between his low scores for effectiveness and satisfaction and his belief in providing incentives to faculty.



## **Chancellor Mills**

Mills focused on the challenges of securing the financial needs of the institution. He attributed the challenge to budget cuts. His strategy to address the financial challenge was to include and educate internal and external stakeholders in the management of the university. Mills scored more transformational than the norm in all transformational scales. He scored in the 100<sup>th</sup> percentile for idealized attributes. Question #10 on the MLQ 5X Leader Form measures idealized attributes by asking the following: I instill pride in others for being associated with me. He responded, “Frequently, if not always.” His strategies for dealing with challenges included characteristics associated with idealized attributes: going beyond self-interest for the good of the institution; idealized behaviors: emphasizing the importance of having a collective sense of mission; inspirational motivation: vigorously vocalizing the needs to be accomplished; intellectual stimulation: soliciting differing perspectives; and individual consideration: educating. Mills had a 40-50<sup>th</sup> percentile for laissez-faire. Question #5 on the MLQ 5X Leader Form measures laissez-faire by avoiding getting involved when important issues arise. He selected, “Fairly often.” There are no examples from the interview or documents to support 40-50<sup>th</sup> percentile for laissez-faire.

Mills scored more than the norm in extra effort, effectiveness, and satisfaction. The transformational and transactional behaviors that are associated with the three outcomes of behavior shaped the way he viewed the traits of leadership: consensus builder and getting others to do more than they expected (extra effort), visionary and effectiveness in meeting occupational needs (effectiveness), and collaboration and satisfactorily working with others (satisfaction).

## **Chancellor Bauer**

Bauer focused on the effects of state budget cuts and funding cutbacks on the institution. The effects included firing employees and low enrollment numbers. His strategy to address challenges included an open-door policy and branding the university. He scored more transformational than the norm in all transformational scales. Bauer scored in the 95<sup>th</sup> percentile in inspirational motivation. His strategies of an open-door policy and branding the university align closely with inspirational motivation. He scored more transactional than the norm in all transactional scales. Bauer scored in the 80<sup>th</sup> percentile in contingent reward. On the MLQ 5X Leader Form, question #11 measures contingent reward and states the following: I discuss in specific terms who is responsible for achieving performance targets. He chose, “Frequently, if not always.” Bauer’s assertion in a speech that he fully intended to cash in on stakeholders’ collective genius, wisdom, experience, love, and passion for the continued growth of the university is an example of contingent reward behavior. He also scored more passive avoidant than the norm for management-by-exception: passive (MBEP). He scored in the 60-70<sup>th</sup> percentiles for MBEP. On the MLQ 5X Leader Form, question #17 measures MBEP: I show that I am firm believer in “If it ain’t broke, don’t fix it.” He answered, “Fairly often.” In a speech, he informed the audience that because he was serving as an interim chancellor, he would not change the strategic plans of the university. MBEP is characterized by not interfering until the worst happens. He scored less than the norm for effectiveness and satisfaction, but more than the norm for extra effort. His scores for the outcomes of leadership were 30-40% (effectiveness), 10-20% (satisfaction), and 60-70% (extra effort). On the MLQ 5X Leader Form, question #42 measures extra effort by stating the following: I heighten others’ desire to succeed.

He responded, “Frequently, if not always.” Bauer stated motivation as a trait of leadership; additionally, motivation is a characterization of extra effort.

### **Chancellor Givon**

Givon focused on being able to give personalized attention to students at a reasonable rate. The challenge was being able to do so in spite of budget cuts. His strategy to deal with the challenge was to create a knowledgeable and creative budget team. Givon scored more transformational than the norm for idealized behaviors, inspirational motivation, and intellectual stimulation. These scales are characterized by having a collective sense of mission, expressing confidence in achieving goals, and welcoming differing perspectives when solving problems (Bass & Avolio, 2004). Givon scored in the 80-90<sup>th</sup> percentiles for inspirational motivation. Question #9 on the MLQ 5X Leader Form measures inspirational motivation. It states the following: I talk optimistically about the future. Givon answered, “Frequently, if not always” and demonstrated this behavior by motivating faculty. Givon scored less transactional than the norm in both transactional scales. He scored in the 30<sup>th</sup> percentile for contingent reward. Question #1 on the MLQ 5X Leader Form measures contingent reward: I provide others with assistance in exchange for their efforts. He chose, “Once in a while.” There are no examples of this type of behavior from his interview and speech. These characterizations shaped his strategy in dealing with his challenges. He scored more than the norm for extra effort, effectiveness, and satisfaction with the leadership. Respectively, he scored in the 60-70<sup>th</sup>, 70-80<sup>th</sup>, 50-60<sup>th</sup> percentiles. Question #38 on the MLQ 5X Leader Form measures satisfaction and states the following: I use methods of leadership that are satisfying. Givon selected, “Fairly often.” Being transparent was a trait that he believed to be important, and which factored in to the outcomes of leadership behaviors.

## **Chancellor Reilly**

Reilly focused on negating the fear of losing his job. His strategy to address this problem was to gain support from top administrators. He scored more transformational than the norm in the idealized behavior scale. Idealized behavior is characterized by the leader's expressing his most important beliefs (Bass & Avolio, 2004). He scored in the 90<sup>th</sup> percentile for idealized behavior. On the MLQ 5X Leader Form, question #6 measures idealized behavior: I talk about my most important values and beliefs. Reilly chose, "Not at all." Expressing his belief in securing administrative support shaped his strategy in addressing his challenges. Reilly scored in the 40<sup>th</sup> percentile for contingent reward. He is less transactional than the norm in that scale. On the MLQ 5X Leader Form, question #11 measures contingent reward and states the following: I discuss in specific terms who is responsible for achieving performance targets. Again, Reilly chose, "Not at all." He reminds stakeholders in a speech that students' success is an investment in the future. Reilly scored in the 0-4<sup>th</sup> percentiles for MBEP. MBEP is a passive avoidant behavior. Question # 3 on the MLQ 5X Leader Form measures MBEP: I fail to interfere until problems become serious. He selected, "Fairly often." There are no examples of passive avoidant behavior from any of the documents.

Reilly scored more than the norm in all outcomes of leadership scales by scoring in the 90<sup>th</sup>, 90<sup>th</sup> and 70<sup>th</sup> percentiles, respectively. Question #37 on the MLQ 5X Leader Form measures effectiveness and states the following: I am effective in meeting others' job-related needs. He answered, "Fairly often." Effectiveness seems to be the one theme that shaped his strategy for dealing with his challenge because one characterization of effectiveness is for the leader's being able to represent his group to top authorities (Bass & Avolio, 2004). Being politically savvy is a trait that he believed to be important and factored into his idealized and effectiveness behaviors.

## **Summary**

In Chapter 4, the participants and methodology were reviewed. Tables 4 through 7 contained data from the study in the form of significant words or statements. From these significant words and statements, themes were derived. An explanation of the themes was discussed for each table. Tables 8 and 9 represented averages and percentiles that determined the degree to which a chancellor was more or less than the norm. Tables 10 through 13 showed representative responses related to various leadership styles and life experiences.

## **CHAPTER 5: DISCUSSION, IMPLICATIONS, RECOMMENDATIONS**

Historically Black Colleges and Universities are in precarious positions because of the challenges they face. In order to address these challenges, their chancellors and presidents must be effective leaders. The literature shows that transformational leadership is effective in dealing with challenges. This style is characterized by inspirational leadership. Even though there is limited literature on the leadership styles of HBCU chancellors and presidents, there is evidence that portrays HBCU leadership as being didactic and, therefore, non-transformational (Gasman et al., 2010; Jencks & Riesman, 1967; Lewis, 2011; Phillips, 2002). This phenomenological study adds to the literature by describing the experiences of being a chancellor of a publically-funded HBCU in one Southeastern state. This was achieved by researching questions that centered on the experience of being a chancellor- -defining traits of leadership, identifying challenges and the approaches used to address their challenges, and measuring their leadership styles. To answer these questions, the chancellors completed a questionnaire, participated in interviews, and submitted speeches.

### **Summary of the Results**

The chancellors were asked what it is like being a chancellor in this particular Southeastern state. Their responses revealed three themes: understanding the chancellor's role, motivation, and teamwork. Chancellors Ang's understanding of his role included ". . . creating circumstances for change" at his university. Chancellor Mills' role included establishing of the university standards, branding the university, and managing the university. Embracing the strategic directions of his university was the view of Chancellor Bauer, who was serving as interim chancellor. Chancellor Givon espoused transparency, while Chancellor Reilly advocated not worrying about job stability in order to focus on getting work done. Serving as a motivator

was another duty they viewed as being essential to their job. Chancellors Ang, Mills, and Reilly believed in motivating themselves and other stakeholders. Ang and Reilly directly stated and implied that motivation began with the chancellor's belief in himself first and then in others. In addition to being motivators, the chancellors were advocates for teamwork. For example, Chancellor Givon stated that being transparent conveyed one experience of his job. With transparency, the leader does not keep secrets in his interactions or dealings with others as chancellor, but includes others in the different stages of management. This inclusion connotes teamwork.

The experience of being a chancellor of a publically-funded HBCU included exploring the challenges that impacted their universities. The two themes derived from their responses were budget concerns and faculty and student competence. Out of five interviewed chancellors, four named budget cuts as a main challenge in providing for their students and universities. Chancellors Mills and Bauer lamented that their institutions suffered because of state budget cuts. Chancellors Ang and Givon also revealed that their challenges were centered on their students. The former mentioned the challenge of the lack of preparedness of students and the latter felt that giving personalized attention to students was compromised by budget cuts. The exception, Chancellor Reilly, surmised that chancellors' fear of losing their jobs was a major challenge to overcome.

The chancellors offered different and, at times, similar strategies for dealing with the abovementioned challenges. Analyses of their interviews and speeches disclosed strategic budget planning, student centeredness, and faculty incentive themes. Chancellor Ang's strategy to deal with his challenges was to focus on the students and to provide faculty incentives. Chancellors Mills' and Givon's strategies to address their financial challenges were similar since

they both included informing stakeholders about the financial problems and enlisting their help in solving the financial woes of the university. Chancellor Bauer's strategies included being readily available to anyone who wanted to speak to him and promoting the distinctiveness of the university. In keeping with his theme of self preservation, Reilly's solution was to gain the support from top administrators.

How a chancellor viewed his role and addressed issues may be explained by identifying and understanding his leadership style. A chancellor's leadership style provided context to the experiences of being a chancellor. Their leadership styles were explored using interviews, speeches, and the survey, the MLQ 5X Leader Form, which measures the extent of their transformational, transactional, and passive avoidant behaviors. The data disclosed that the chancellors credited prior administrative or work experience as a factor in influencing their leadership styles. Chancellors Mills and Bauer also gave credit to the influence of their family members. Their influences and other experiences may have been a factor in forming their leadership styles.

The results from the survey provided supplementary evidence of the chancellors' leadership styles. Chancellor Bauer's scores placed him above the norm in all subscales, which implies that he used a combination of leadership styles in his job. Chancellor Mills' strongest scores reflected a transformational leadership style. However, his other scores showed that he also used a combination of all three leadership styles. Chancellors Ang, Givon, and Reilly scored high in transformational subscales (IB/IM, IB/IM IS, and IB respectively) and lower than in transactional and passive avoidant subscales. The three are more likely transformational leaders. The outcomes of leaderships were measured as well in the MLQ5X. It asked chancellors' judgments of their effectiveness on followers. Their responses revealed whether



they viewed their leadership as being examples of exerting extra effort, as effective, and whether their followers were satisfied with their leadership. These are called outcomes of behavior and are associated with transformational and transactional behaviors. The outcomes of behavior percentiles showed that Chancellors Ang and Bauer scored low in effectiveness and satisfaction, whereas Chancellors Ang, Mills, and Reilly scored high in all categories (extra effort, effectiveness, and satisfaction).

## **Discussion**

### **Experiences of Being HBCU Chancellors**

This phenomenological study focused on the experiences of being HBCU chancellors of publically-funded universities. This study disclosed whether the chancellors' experiences were unique, similar to, or different from the experiences that other chancellors had had in different institutions. Overall, the chancellors understood their roles as HBCU chancellors, which included motivating others and advocating teamwork. In order to put into context the environment in which these chancellors perform their duties, it seems beneficial to discuss the Board of Governors.

**Board of Governors.** The experience of being a chancellor in this study was influenced by a governing board. The chancellors' institutions in this Southeastern state are a part of a consortium of statewide higher-education institutions. The consortium includes HBCUs and predominantly White institutions (PWIs). Each of these institutions is governed by a Board of Governors, which dictates strategic directions and "oversees the alignment [of an overall] vision with institutional resources, investments, and results" (Board of Governors, 2013-2018, p. 3). The chancellors serve on Board of Governors' committees and are expected to promote its goals.

The experiences expressed by the chancellors in interviews, speeches, and an article also reflect the commitments expressed by the Board of Governors:

1. Admitting and educating academically prepared students
2. Performing duties with integrity and ethical standards
3. Remaining committed to low tuition
4. Fostering collaborations
5. Supporting and rewarding faculty
6. Sharing knowledge to advance the state's economy
7. Being shaped by the state's economy, society, and politics (Board of Governors, 2013-2018, p. 11)

Adhering to the goals and strategies set by the Board of Governors accounted for how the chancellors experienced their positions. In this study, the chancellors expressed some of the same commitments as outlined by the Board of Governors.

**Challenges.** Being an HBCU chancellor means they each had to face a lot of challenges and issues on a daily basis. They were leading an institution, which requires not only educating students and supporting faculty, but also sharing knowledge to improve the state economy as well. It is not surprising that the current study showed that budget concerns and competency (faculty and student) were deemed as the main challenges for the chancellors. Though those challenges echo the commitments set by the Board of Governors, they showed the realities with which HBCU chancellors had to cope. For instance, based on the Board of Governors, the chancellors should remain committed to low tuition. The reality was that four of five interviewed chancellors pointed out that budget concerns were a major challenge and that they greatly needed money to make the institution function. Institutions must get more financial

support by raising tuition (Board of Governors, 2013-2018). Therefore, maintaining a commitment to low tuition would be a challenge for the HBCU chancellors. Statistics show that between the school year 2008-2009 to 2012-2013 there was an average increase in tuition by \$277,423,066 or a 53.2% increase for the Southeastern state university system (UNC-GA Finance, 2009-2013). Three of the HBCUs studied had lower increases for the same time period. Chancellor Ang's university had a 31.1% increase. Chancellor Bauer's students saw a 40.6% increase. The tuition at Chancellor Reilly's university increased by 40.5%. Two HBCUs experienced increases higher than the system average: Chancellor Givon at 60.2%.and Chancellor Mills' at 60.4% (UNC-GA Finance, 2009-2013).

The second challenge mentioned by the chancellors was competency. The Southeastern university system is committed to educating students who are “academically prepared to succeed” (Board of Governors, 2013-2018, p.11). Students are considered as potential investments for the Southeastern state. The return on the investment is for students to graduate, become gainfully employed, and give back to the state. The Board of Governors (2013-2018) is committed to recruiting faculty who use their knowledge and creativity in guiding students to success. Even before students matriculated on campus their competencies were an issue because HBCUs are in competition with PWI institutions for Black students, who are no longer regulated to attending HBCUs (Wenglinsky, 1996). Therefore, admitting academically prepared students would challenge the HBCU leaders. Students who apply for college come from diverse backgrounds with diverse academic preparedness. The Board of Governors (2013-2018) is committed to admitting and educating students “who are academically prepared to succeed” (p. 11). These are the students who can handle rigorous training and are more likely to graduate with well-honed thinking and communication skills.

The chancellors also expressed concern with the competency of their faculty. Some pointed out that there were faculty members who did not want to be led, those who were indifferent, and those who were unhappy. Nevertheless, competency concerns were not all negative because there were chancellors who believed in promoting and lauding effective faculty who led committees well or had published or won awards for scholarly achievements. Teaching, conducting new and innovative research, publishing, and engaging in collaborative endeavors with internal and external environments highlight the importance of faculty in an institution.

It is documented in the literature that HBCU chancellors and presidents often had combative relationships with faculty because of a lack of shared governance (Lewis, 2011; Phillips, 2002). A lack of shared governance implies an absence of teamwork or working together between the chancellor or president and the faculty. Some faculty members' indifference and unhappiness stemmed from being excluded from making decisions. Dr. Reid-Wallace, former president of Fisk University in Tennessee was an advocate of shared governance, which she viewed as a basic tenet of academia (Mbajekwe, 2006). Lack of shared governance is also cited as a challenge affecting the operation of all HBCUs (Lewis, 2011; Phillips, 2002). This is especially problematic since research indicates that the most effective leadership is leadership that includes others in developing and reaching goals (Lewis, 2011). Lewis interviewed faculty at a public and at a private HBCU. Her study conclusions recommend more communication between upper level administrators and faculty and more reliance on a campus operational model that includes faculty in planning and allocating resources for recruiting high achieving students and exploring research initiatives. A publically-funded HBCU that bases goals on the commitments of a system-wide governing board may find it difficult to deny shared governance or teamwork. The chancellors followed Lewis' findings when they

talked about teamwork with faculty in instances of budget planning and readying for reaccreditation.

The chancellors' experiences revealed concerns about the budget and the competency of students and faculty. These concerns were the major challenges expressed by the chancellors. Their challenges were consistent with the literature: funding and student-need challenges. A study conducted by Mbajekwe (2006) about Dillard University concluded that HBCUs must make students competitive in the global labor force and that the university must prepare its students to "transform the world" (p. 99). In the same study, Dr. Marie V. McDemmond, former president of Norfolk State University, stated that more students were majoring in the sciences than in education, resulting in the university's dedication to providing a prepared work force. Dr. Reid-Wallace, former president of Fisk University in Tennessee, prepared students by seeking and employing top faculty (Mbajekwe, 2006). She accepted that part of her role was to hire the most competent faculty to keep the university functioning at a high level.

**Meeting the challenges.** The chancellors' experiences aligned with the Board of Governors' commitments to advancing the state's economy, selecting and retaining academically prepared students, and supporting and rewarding faculty (Board of Governors, 2013-2018). Similarly, the chancellors sought to address their challenges through strategic budget planning, student centeredness, and faculty incentives.

Student centeredness is a form of budget planning. Strong enrollments, low financial aid default rates, consistently good graduation rates, and job attainment all affect the budget. However, none of these goals can be obtained if students are not prepared for the rigors of a university education. To meet this challenge, chancellors realized that they had to be competitive in attracting and selecting academically-prepared students while rerouting

underprepared applicants toward community colleges. They emphasized personalized attention and insisted that students set goals. The literature supported a student-centered approach to addressing challenges, and the mission of HBCUs' being integral in educating remedial students (Albritton, 2012). Students at HBCUs are more likely to graduate (Drewry & Doermann, 2001). A study by Wenglinsky (1996) found that Black students at HBCUs have a greater likelihood of pursuing a graduate education and become professionally employed. Black students at HBCUs have higher occupational aspirations (Ricard & Brown, 2008). One scholar recommended that students worked on obtaining an education so that they would be able to attain a job in a globally competitive world (Wormley, 2010). HBCUs contribute considerably to the graduation of Black students (Allen et al., 2007). These factors provide evidence that HBCUs are student-centered institutions. Former and present HBCU presidents, such as those at Norfolk State University in Virginia, Savannah State University in Georgia, Morgan State University in Maryland, and Bowie State University in Maryland, have recently added science and engineering programs in an effort to ensure that their students will be competitive in the domestic and global labor force (Mbajekwe, 2006). Their decisions advocate a kind of student centeredness that may provide financial stability for the students and their alma mater.

Those at the forefront of preparing students for their post-university lives are faculty who can be a solution to the challenges the HBCU chancellors face. However, the literature on the relationship between faculty and the leadership is such that chancellors and presidents have been labeled as tyrannical towards faculty (Gasman et al., 2010; Jencks & Riesman, 1967). This authoritarian attitude has been manifested in not sharing governance. This negative view does not describe the chancellors in this study. Based on the results of this study, the chancellors did not represent tyrannical behavior or resist sharing governance. They talked about motivating

faculty, raising the bar for obtaining tenure, and providing faculty incentives--issues more aligned with transactional behavior, and, in their cases, were effective. The chancellors' views were similar to the Board of Governors' commitment to supporting and rewarding faculty. For example, Chancellor Mills said in his interview that he wanted his faculty to have research experience from major institutions. In turn, they would use their experience and skills to create and promote research that benefitted the university. Even though Chancellor Bauer pointed out in his interview that tenure was not enough for his faculty to be deemed as competent, he offered a system of checks and balances that would identify incompetent faculty. His approach was not tyrannical.

The commitments the chancellors used to address the challenges of their universities were parallel with some of the commitments espoused by the Board of Governors. In many instances, the financial stability of a university is predicated upon admitting the right student for the rigors of academe and the expertise of the faculty member' s preparing students for post-graduation life.

### **Leadership Traits and Styles**

What the chancellors valued as traits of leadership and the extent to which they used transformational, transactional, and passive avoidant behaviors were explored in this study. The chancellors believed effective leaders exude traits for working together and a strong work ethic that helped their universities and complemented the Board of Governors' commitments to "fostering collaborations" and "performing duties with integrity and ethical standards" (Board of Governors, 2013-2018, p. 11). These traits are characteristics of transformational behavior. Bess and Dee (2012) identified the need for affiliation (working together) and integrity (strong work ethic) as traits of leadership. According to Brower and Balch (2005), transformative behaviors

create educational effectiveness at institutions. For the chancellors, the traits were evident in how they addressed challenges. Major themes that evolved from the study included teamwork (working together) and a variety of methods (strong work ethic) to run a university.

Historically, HBCU chancellors were viewed as being controlling and resistant to sharing power. Black college presidents have had a wide range of authority, which has left the faculty with little power to override ineffective leaders (Drewry & Doermann, 2001). This raises the issue of shared governance with faculty at HBCUs because presidents at HBCUs have proven difficulty with relinquishing their power and sharing governance with faculty. A lack of shared governance may translate into the chancellor and president not working as a team. Faculty members' authority may be diminished, resulting in questioning the competency of the faculty. Historically, some of the HBCU presidents have been regarded as a negative example. In the article, "The Negro College," in the *Harvard Educational Review*, researchers Jencks and Riesman (1967) claimed that HBCU presidents tyrannized faculty. For example, a former president at Philander Smith College was accused of not practicing shared governance. This president passed a rule that faculty could not speak to the press, and when one of the outspoken faculty members did so, the faculty member was fired (Gasman, 2010). In 2009, the president of Clark Atlanta University in Georgia was investigated and consequently censured by the American Association of University Professors (AAUP) because 55 full-time faculty members were fired without the university's declaring financial exigency (Gasman, 2010). Such behavior is the antithesis to being a transformational or even a transactional leader.

With this historical context in mind, researching the chancellors' leadership styles revealed whether they were standard bearers of ineffective leadership behaviors. All of the chancellors in this study responded in the affirmative that they were transformational leaders.



There were only two chancellors who measured at or above the 50<sup>th</sup> percentile in all transactional subscales (Mills and Bauer). These two also posted high percentiles in all transformational subscales. Even their combined passive avoidant subscales were in the 50<sup>th</sup> percentile or higher for 75% of the subscales. Those results implied that those two chancellors used combinations of different leadership styles in leading a HBCU institution. However, in his interview and speech, Chancellor Mills expressed strong transformational behaviors. For example, he advocated educating the board of trustees and faculty in the jargon of higher education and the needs of the university (transformational), and he also promoted the accomplishments of faculty who had brought positive recognition to the university (transactional). Chancellor Bauer emphasized in his interview his goal to keep the university from floundering under his interim direction. In his speech to the board of trustees, he declared that in his interim position his intention was not to change the strategic direction of the university (passive avoidant). Yet, in the same speech, he expressed his desire to work with them for the good of the university (transformational). He also expressed in his interview his frustration in working with faculty who were not inspired to work with him, an interim chancellor, towards common goals. In his opinion, these faculty had been long-time employees of the university and were resistant to change. He felt that they needed to be dismissed but could not be because of good evaluations. He advocated a post tenure review process that would help to get rid of those who were benefitting from past evaluations that no longer reflected the current situation. According to Bass (1999), leaders use both transactional and transformational behaviors; however, the most effective leaders are those who more frequently use transformational behavior. The remaining three chancellors' scores were more reflective of the literature. In a study by Brown (2010), 61 presidents were surveyed. Eighty-seven percent rated themselves as transformational, 53% as highly transactional, and only 1%

was passive avoidant. The findings in this study are consistent with the literature in that the chancellors defined themselves as transformational, but the data from the survey, interviews, and speeches indicated that they used transactional and passive avoidant behaviors as well.

### **Limitations of the Study**

First, this is a phenomenological study and it is qualitative in nature. The number of participants is small because there are only five publically-funded HBCUs in this particular Southeastern state. The findings cannot be generalized to other populations. Secondly, the self-reported data may have led to desirable responses as opposed to honest, truthful, or forthright responses. Thirdly, data collected in the study could not reflect the whole picture of the experience of being an HBCU chancellor: one was an interim chancellor; one had a change in position before a speech could be collected. The unstable leadership and turnover of positions could leave the university in a precarious position with recyclable leadership. The phrase “recycled presidents” was used by Gasman (2009) to illustrate the fact that often the leadership is stagnant, static, and lifeless. In her narrative, she discussed how too often with HBCUs leadership vacancies are filled with the same chancellors and presidents who often believe in antiquated ideas and practices that are not beneficial to the university. However, search committees often overlook this and hire ineffective leaders. Additionally, all five chancellors were male, which excluded a female chancellors’ perspective. However, the interim chancellor was replaced with a female after the study began. Time limitations prevented an interview with this new female chancellor. Last, data were not collected from students, faculty, administrators, staff or board of trustees though they are the important sources to help understand HBCU chancellors’ experiences of being a chancellor and their leadership styles.

## **Implications of the Study**

### **Effective Transactional Leadership**

Transformational leadership style is not the only answer to the success of an HBCU. Two of the most forthcoming and impressive chancellors, who led two of the more successful HBCUs in terms of stakeholder satisfaction, pride, stability, retention, and graduation rates, scored above the 50<sup>th</sup> percentile in all of the transactional subscales. The meaning of these results is that Chancellors Mills and Bauer used a variety of leadership styles to lead. The proof is their thriving universities. For example, Chancellor Mills is at the helm of an institution that is beloved by many of its alumni. The campus is visually impressive, and its academic reputation is rigorous. During the interview, Mills acknowledged that alumni express great love and school spirit for their alma mater. Yet, he cautioned that some of the alumni needed to realize that what worked in the past no longer works-an exciting marching band does not solve all of the university's problems. Mills made it clear that he did not want to hire faculty without major research experience. Hiring someone with specialized experience is an example of transactional leadership because those faculty will be expected to use their skills for something in return, whether it is a promotion or accolades. In his speech, he lauded the accomplishments of a professor who had won accolades for a successful business model. Mills believed that his university would benefit from the positive actions of his professor, which is another example of transactional leadership.

In their interviews, two chancellors dwelled on dismissing unmotivated and indifferent faculty. Chancellor Bauer and Chancellor Givon spoke emphatically about the need to dismiss faculty who were not interested in supporting the goals of the university. For them, a lack of support or indifference from the faculty warranted dismissal. The chancellors were aware that

faculty members' actions advanced the positive reputations of their universities. In order to do so, they needed faculty who were committed to the goals of the university. Those who were not were not welcomed to stay. Transactional leadership involves followers' working toward a common goal in order to be rewarded in some way. In an attempt to invigorate unmotivated faculty, the abovementioned chancellors used the threat of dismissal as an incentive for employment. It is as if they are saying, "If you shape up, you'll be rewarded with the assurance of keeping your job." Assurances of being rewarded are examples of classic transactional leadership.

### **Students' Academic Preparedness**

The results of this study indicated that it is important for HBCUs to admit academically-prepared students who are more likely to graduate, become gainfully employed, and contribute financially and/ or altruistically to their universities. The chancellors were aware that they had to have selective admissions policies because of the competition with PWIs to attract and retain competent students. They emphasized that capable students were more likely to graduate, build a positive reputation for their universities, and become supportive alumni. Chancellor Ang discussed the need for students' setting goals and not wallowing in mediocrity. Chancellor Mills spoke at length about the necessity of being selective in admissions policies because a well-chosen student was more likely to graduate. Chancellor Givon mentioned the implications of the Board of Governors' raising the academic standards for admission into the state's public universities. He lamented that raising the grade point average for admission made it more difficult for some minority students to gain admission at his university. The history of HBCUs' having been the only option for minority and underserved students was in jeopardy. Chancellor Reilly advocated redirecting remedial students into community college systems. Doing so, he

reasoned, could ensure the academic success of a student's matriculation at the university level. By focusing on the academic preparedness of the students, the chancellors were strengthening the students' chances of graduating and giving back to their alma maters.

### **Teamwork**

The results of this study showed that working together is one of the most important strategies in leading an HBCU university. Teamwork was especially mentioned in finding solutions to financial problems and in preparing students for their careers. Transformational and transactional leadership styles are associated with teamwork. Transformational teamwork is based on working towards a goal-the common good. Transactional teamwork is based on working towards a goal in order to be rewarded for one's contributions. The implication of valuing working together and a strong work ethic shows that the chancellors know that leading an institution is not a solitary assignment. Chancellor Ang mentioned mentors. Chancellor Mills suggested "requiring more from stakeholders." Chancellor Bauer rhymed that it "takes teamwork to make things work." Chancellor Givon promoted "energizing alumni." Chancellor Reilly emphasized "support from top administrators." To enhance leadership, the leader must scrutinize and recognize the relationships and interactions between the leader, follower, state of affairs, and other elements that encompass the entirety of the system (Sosik & Jung, 2010). The more stakeholders who are willing to work together towards common goals for the university may make it easier to reach those goals. For example, a university may organize a series of fundraisers. If stakeholders volunteer their time, money, expertise, support, special services, tangible items, and creativity in these fundraisers, the easier it is to reach goals. Students may call alumni to solicit donations. Local businesses may donate tangible items, school supplies,

free advertising or money for fundraisers. The chancellors realized the importance of teamwork in an effectively run university.

### **Financial Awareness**

The results of this study showed financial awareness is necessary for the survival of the university. Even though the chancellors' institutions receive funds from the state, they were all aware that the tight economic landscape calls for an acute awareness of all budgetary issues. In order to succeed in leading a HBCU institution, they have to be aware of the financial needs. Including stakeholders' participation in strategic budget planning builds financial stability and transparency for the university, which may lead to more money flowing in to the university. Strategic budget planning also satisfies mandates from the Board of Governors (2013-2018) to set goals to "Establish actionable strategies that are clear, measurable, and affordable; and define sources and uses for all funds, creating clear accountability for strategic investments" (p. 4). Chancellors Ang, Mills, and Bauer emphasized being financially aware; Bauer and Reilly indirectly mentioned actions that revealed financial awareness. Bauer suggested forging public and private partnerships and branding the university. Successfully doing so may lead to financial contributions. Reilly indicated that attracting an academically prepared student can help the university recoup money in the future. As with any university, the center of the focus is the student. Raising and securing financial resources is for the student's benefit. When Chancellor Givon received his chancellorship, he promised students "personalized attention and a quality education at a reasonable rate." Immediately, he realized the focus had to be on students and the budget.

## **Recommendations for Future Research**

The results of this study indicated that future research could focus on the following areas.

### **Triangulation**

**Stakeholders' view.** Exploring the experiences of being an HBCU chancellor led to results that opened up the possibilities of further research. This study focused on only five male HBCU chancellors. As we know, students, faculty, staff, board of trustees, and administrators are the important sources to help understand HBCU chancellors' experiences of being a chancellor and their leadership styles. Future research would focus on others' perceptions of their chancellors. More data sources could give more accurate and detailed information about the study interest, which is why a future study should collect data from different people.

**Gender.** By coincidence, all five chancellors in this study were males. During the course of the study, interim Chancellor Bauer was replaced with a female chancellor. Even though female chancellors are rare, their experiences of being a HBCU chancellor would be valuable. What they have experienced might be different from what male chancellors have. A future study should explore the experiences of female chancellors at publically-funded HBCUs. Research has shown that HBCU male and female presidents tended to remain in their positions for an average of seven to nine years (Brown, 2010). A gap exists between retirement (Ryu, 2010) and the lack of prepared replacements. A possible solution to this gap would be for more higher education institutions to consider the female candidates that exist in the hiring pool.

The leadership styles of female chancellors are mixed in the analyses of transformational female leadership. Bass (1998) reports that measurement scales have shown that more women than men are labeled as transformational leaders. A study by Bass et al. (1996) found that more women were active management by exception (MBEA-transactional) leaders, while men were

more passive management by exception (MBEP-passive avoidant) leaders. Eagly et al. (2003) conducted a meta-analysis of 45 studies on the differences between women's and men's transformational leadership, finding that women were somewhat more transformational than men on the self-rater measurement. However, a woman's transformational leadership may not be as productive as a man's. The higher a woman scored with intellectual stimulation and individualized consideration (transformational subscales), the lower men rated them as effective leaders (Ayman & Korabik, 2010; Ayman, Korabik, & Morris, 2009). These two studies seemed to differentiate between scoring high as a transformational leader on a survey and the actual practice of using transformational behavior.

These two studies concluded that a woman who measures as more transformational than the norm does not necessarily mean that female leader should use or practice transformational leadership in mixed-gender environments. Women may use transformational behavior, but based on issues of bias by the followers, the woman may not be as effective. The woman may be the quintessential definition of a transformational leader but that does not assure that others will accept her as one. Conversely, Chen et al. (2010) found that regardless of their leaders' gender, employees expressed the same job satisfaction under transformational leadership. This is a judgment on practice, not just a measurement of outcome. Though identifying women's leadership styles is complex, future research might serve well to focus on females as leaders at publically-funded HBCUs given that a female was hired to be the chancellor at one of the studied HBCUs, and that there is the possibility that females may be considered for other vacancies.

**Training program.** HBCUs were created to serve a demographic population that has historically been underserved. In the beginning, students who attended HBCUs were not allowed to attend PWIs, thus obviating the need for universities that would educate them. Now,



admission is no longer denied by law based upon race, but HBCUs still tend to serve students who are disadvantaged in some way, whether it is socio-economically or due to limited access to programs that promote academic preparedness. Add to that other complex issues: students bypassing HBCUs to attend PWIs, as well as students' lowered expectations of the value of HBCUs (Gasman, 2012). In 2008-2009, there was a decrease in enrollment at HBCUs. Furthermore, HBCUs tend to operate with funding that is more limited compared to their PWI counterparts. Their alumni tend to show their support enthusiastically but not necessarily financially. Graduation rates may be lower, and career earnings of those who do graduate, may not place them in positions to endow their alma maters. Another trend exhibited in HBCUs is that trustee boards and president search committees may not know what to look for when choosing leaders. Another trend among schools is to simply choose leaders who have left another university without examination of the past performance or capability of that candidate. Despite the fact that HBCU presidents are retiring in unprecedented numbers, successors have not been identified (Ryu, 2010). This lack of available candidates creates instability, leading to the potential for a rocky transition from one presidency to the next. HBCU trustees are tasked with the responsibility of selecting viable presidents. The director of the White House Initiative on Education stated that HBCU trustees often do not understand the transformative tactics when finding a president (Gasman, 2012). Care should be taken to find a chancellor who can deal effectively with the unique challenges that affect HBCUs. In order to do this, search committees need to know how to conduct an effective search, much the way a caring parent might know to use certain criteria when selecting a babysitter. A pool of highly qualified babysitters can exist, but your child will not benefit if you do not know what to look for and where to look. There is a need to hire chancellors who are prepared to tackle HBCU issues. To increase this likelihood,

they may be trained. The Kellogg MSI Leadership Fellows program is such an initiative designed to prepare minorities to become university chancellors and presidents at minority serving institutions (MSIs). The effectiveness of a preparatory program, such as The Kellogg MSI Leadership Fellows program, would make an interesting study. The selection process is highly selective with sitting chancellors and presidents recommending the participants. The participants are expected to attend workshops that focus on topics, such as budgeting, relating to the board of trustees, understanding the presidential search process, implementing institutional development, fundraising, and applying leadership theory and practice. Upon completion of the workshops, they enter into a two-week internship with a Model President. After the internship, they are paired with a Mentor, or sitting MSI president, with whom the participant is expected to reflect about his or her experiences in the program (The Institute for Higher Education Policy, 2004). A study about the efficacy of the program could disclose valuable information for search committees and other stakeholders invested in finding chancellors and presidents.

### **Conclusion**

The experience of being a chancellor at a publically-funded HBCU is not very different from the one of being a chancellor at other public institutions. Though they were facing financial and competency challenges, they understand and believe in the importance of teamwork in leading an institution. They were more likely transformational leaders. Using a combination of transformational, transactional and even passive avoidant leadership styles was also common. The experiences add to the goals of the significance of the study by giving the HBCU chancellors a chance to reflect on how they work with others to achieve basic institutional goals, such as recruiting and preparing students, maintaining academic standards, working constructively with critical stakeholders, and dealing with the challenges of fundraising.

In accordance with the literature, accomplishing these goals using transformational behaviors would benefit their institutions (Bower & Wolverton, 2009; Brower & Balch, 2005). However, the results of this study indicated chancellors' transactional behaviors could benefit the institution. Their experiences provide answers to the statement of the problem by adding to the literature how HBCU chancellors use strategic leadership to identify and address challenges. The ultimate goal of research on chancellors at publically-funded HBCUs is to add to the literature on a topic that is not often studied in the hopes of obtaining information *from them* and relaying valuable information *to them* so they can become the best leaders for their institutions.

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## **APPENDIX A: INVITATION LETTER FROM APRIL ABBOTT**

February 18, 2013

Dear Chancellor:

I am a doctoral student in Leadership, Higher Education at East Carolina University in Greenville, North Carolina. I am requesting that you participate in a research study investigating the perceptions that HBCU chancellors/presidents have of their leadership styles. The purpose of the research is to make chancellors/presidents aware of leadership styles that are most beneficial to their institutions. There is a need for more research that can benefit HBCUs. As a former long-term employee of HBCUs in North Carolina, I realize the importance of HBCUs and the unique problems they face. There is a need to add more to the literature about HBCUs and leadership; therefore, I request your support for this study.

My methodology is two-fold. This is a follow-up to MLQ 5X that I sent to HBCU presidents in 2012. Now, I am asking that you permit me to meet with you for a brief interview and for you to complete a brief questionnaire (if you did not complete it in 2012), the MLQ 5X, that measures your frequency of using different leadership styles. You are also being asked for your permission to audiotape this interview, but if you wish not to be recorded, only notes will be taken. Although the results of this study will be published, no information that could identify you will be included.

If you have any questions about the survey and/or the research, please contact me or my dissertation chair, Dr. Sandra Seay.

Thank you, in advance, for your participation.

Sincerely,  
April Abbott  
abbotta87@ecu.edu  
919/612-9488

Dr. Sandra Seay  
252/328-5313

**APPENDIX B: IRB AMENDMENT APPROVAL DATED 4/7/2014**



**EAST CAROLINA UNIVERSITY**  
**University & Medical Center Institutional Review Board Office**  
4N-70 Brody Medical Sciences Building · Mail Stop 682  
600 Moye Boulevard · Greenville, NC 27834  
Office **252-744-2914** · Fax **252-744-2284** · [www.ecu.edu/irb](http://www.ecu.edu/irb)

Notification of Amendment Approval

From: Social/Behavioral IRB

To: [April Abbott](#)

CC: [Sandra Seay](#)

Date: 4/7/2014

Re: [Ame2 UMCIRB 12-001023](#)  
[UMCIRB 12-001023](#)

HBCUs' Presidents' Perceptions of Themselves as Transformational Leaders

Your Amendment has been reviewed and approved using expedited review for the period of 4/7/2014 to 4/6/2015. It was the determination of the UMCIRB Chairperson (or designee) that this revision does not impact the overall risk/benefit ratio of the study and is appropriate for the population and procedures proposed.

Please note that any further changes to this approved research may not be initiated without UMCIRB review except when necessary to eliminate an apparent immediate hazard to the participant. All unanticipated problems involving risks to participants and others must be promptly reported to the UMCIRB. A continuing or final review must be submitted to the UMCIRB prior to the date of study expiration. The investigator must adhere to all reporting requirements for this study.

Approved consent documents with the IRB approval date stamped on the document should be used to consent participants (consent documents with the IRB approval date stamp are found under the Documents tab in the study workspace).

The approval includes the following items:

Document	Description
Dissertation 2014 March 17 Chapters 1,2,3.doc(0.01)	Study Protocol or Grant Application
Interview Protocol(0.01)	Interview/Focus Group Scripts/Questions
The Chairperson (or designee) does not have a potential for conflict of interest on this study.	

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IRB00000705 East Carolina U IRB #1 (Biomedical) IORG0000418  
IRB00003781 East Carolina U IRB #2 (Behavioral/SS) IORG0000418

**APPENDIX C: IRB AMENDMENT APPROVAL DATED 2/24/2014**



**EAST CAROLINA UNIVERSITY**  
**University & Medical Center Institutional Review Board Office**  
4N-70 Brody Medical Sciences Building · Mail Stop 682  
600 Moye Boulevard · Greenville, NC 27834  
Office **252-744-2914** · Fax **252-744-2284** · [www.ecu.edu/irb](http://www.ecu.edu/irb)

Notification of Amendment Approval

From: Social/Behavioral IRB

To: [April Abbott](#)

CC: [Sandra Seay](#)

Date: 2/14/2013

Re: [Ame1\\_UMCIRB 12-001023](#)

[UMCIRB 12-001023](#)

HBCUs' Presidents' Perceptions of Themselves as Transformational Leaders

Your Amendment has been reviewed and approved on 2/14/2013 using expedited review. It was the determination of the UMCIRB Chairperson (or designee) that this revision does not impact the overall risk/benefit ratio of the study and is appropriate for the population and procedures proposed.

Please note that any further changes to this approved research may not be initiated without UMCIRB review except when necessary to eliminate an apparent immediate hazard to the participant. All unanticipated problems involving risks to participants and others must be promptly reported to the UMCIRB. A continuing or final review must be submitted to the UMCIRB prior to the date of study expiration. The investigator must adhere to all reporting requirements for this study.

The approval includes the following items:

Name	Description	Modified	Version
<a href="#">Dissertation 2013 Interview Questions 2.doc</a>   <a href="#">History</a>	Interview/Focus Group Scripts/Questions	2/8/2013 12:51 PM	0.02
<a href="#">Dissertation 2013 Letter Requesting Presidents' Participation.doc</a>   <a href="#">History</a>	Consent Forms	2/11/2013 12:12 PM	0.01

The Chairperson (or designee) does not have a potential for conflict of interest on this study.

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IRB00000705 East Carolina U IRB #1 (Biomedical) IORG0000418

IRB00003781 East Carolina U IRB #2 (Behavioral/SS) IORG0000418 IRB00004973



**APPENDIX D: INTERVIEW PROTOCOL**

Project: HBCU Presidents' Perceptions Date: \_\_\_\_\_ Time: \_\_\_\_\_  
ID Code: \_\_\_\_\_ Place: \_\_\_\_\_  
Participant's Title: \_\_\_\_\_  
Interviewer: \_\_\_\_\_

Opening:  
Good morning/afternoon. Thank you for giving me the time today to talk with you. My name is April Abbott, and I am a doctoral student at East Carolina University. My dissertation is about the leadership styles of presidents of HBCU institutions and the challenges they face in leading their respective organizations. This interview should not take longer than 30 minutes. Also, may I have your permission to record this interview?

Before I start with my questions, do you have any questions?

First, I would like to find out or clarify a few details.

What is your full name? I want to make sure that I am spelling it correctly.

What is your full title?

How long have you been in this current position? \_\_\_\_\_  
*(no. of years)*

Were you an employee of this institution before you became President/Chancellor?

Yes \_\_\_\_\_ No \_\_\_\_\_

If yes, then what position(s) did you hold? \_\_\_\_\_

If no, then where were you previously employed? \_\_\_\_\_

What was your position? \_\_\_\_\_

How long did you hold that position? \_\_\_\_\_

Prior to assuming the role of president at this institution, have you ever served as a/an:

Position Held	Response	Response
Provost	Yes? If yes, for how long?	No?
Associate Provost	Yes? If yes, for how long?	No?
Dean of a College/School	Yes? If yes, for how long?	No?
Associate Dean of a College/School?	Yes? If yes, for how long?	No?
Department Chair?	Yes? If yes, for how long?	No?

1. Please identify what you believe to be the five most important traits of leadership.

2. Identify what you believe to be the three or four biggest challenges that presidents of HBCUs face in leading their organizations?

3. Have you taken any measures to meet these challenges? If so, what was/were your strategy (ies), and what has/have been the results?

4. Now, I will read six leadership behaviors and ask you to rate each one as it relates to your personal style of leadership. I will ask you if the behavior is a) something you do not do at all, b) if the behavior is something you do once in a while, c) if the behavior is something you might do sometimes, d) if the behavior is something you use fairly often, or e) the behavior is something you do frequently or even always.

I will also ask you why you rate each behavior in a particular way.

1. I concentrate my full attention on dealing with mistakes, complaints, and failures.

2. I seek differing perspectives when solving problems.

<p>3. I show that I am a firm believer in “If it ain’t broke, don’t fix it.”</p> <p>4. I spend time teaching and coaching.</p> <p>5. I make clear what one can expect to receive when performance goals are achieved.</p> <p>6. I demonstrate that problems must become chronic before I take action.</p>
<p>5. What factors or events have shaped your leadership style?</p>
<p>6. I would like to close this interview by asking you to complete a brief questionnaire. This questionnaire contains a number of demographic questions. It also asks questions that will measure the degree that leaders use behaviors from the full range of leadership.</p>
<p>7. If you completed the questionnaire previously, would you like to review the questionnaire and perhaps make comments or redo the questions?</p>
<p>Thank you for taking time out of your busy schedule to meet with me.</p>

## APPENDIX E: PERMISSION FROM MIND GARDEN

For use by April Abbott only. Received from Mind Garden, Inc. on February 18, 2013



[www.mindgarden.com](http://www.mindgarden.com)

To whom it may concern,

This letter is to grant permission for the above named person to use the following copyright material;

Instrument: *Multifactor Leadership Questionnaire*

Authors: *Bruce Avolio and Bernard Bass*

Copyright: *1995 by Bruce Avolio and Bernard Bass*

for his/her thesis research.

Five sample items from this instrument may be reproduced for inclusion in a proposal, thesis, or dissertation.

The entire instrument may not be included or reproduced at any time in any other published material.

Sincerely,

A handwritten signature in black ink, appearing to read "Robert Most", with a long horizontal line extending to the right.

Robert Most  
Mind Garden, Inc.  
[www.mindgarden.com](http://www.mindgarden.com)

## APPENDIX F: SAMPLE MLQ 5X LEADER FORM

### Multifactor Leadership Questionnaire Leader Form

Use the following rating scale:

Not at all.....0  
Once in a while.....1  
Sometimes.....2  
Fairly Often .....3  
Frequently, if not always.....4

1. I provide others with assistance in exchange for their efforts.....0 1 2 3 4
2. I fail to interfere until problems become serious.....0 1 2 3 4
3. I specify the importance of having a strong sense of purpose..... 0 1 2 3 4
4. I get others to do more than they expected to do.....0 1 2 3 4
5. I display a sense of power and confidence..... 0 1 2 3 4

## APPENDIX G: SUPPLEMENTAL QUESTIONNAIRE

Please select the response that best applies to you or your institution. Your identity will remain confidential.

1. Would you categorize yourself as transformational?

- Yes
- No
- Not sure
- Don't know what that means

2. What is your gender?

- Male
- Female

3. Your age falls under which range?

- 30-40
- 41-51
- 52-62
- 63-74
- 75+

4. How long have you been president of this institution?

- 0-5 years
- 6-10 years
- 11-15 years
- 16-20 years
- 21-30 years
- 31+ years

5. This institution is categorized as . . .

- Public
- Private

6. Based on the number of students, what is the size of your institution?

- 500- 1,000
- 1,001-5,000
- 5,001-10,000
- 10,001-15,000
- 15,001-20,000
- 20,001+