

PERCEPTIONS OF TRANSFORMATIONAL AND TRANSACTIONAL
LEADERSHIP AT HISTORICALLY BLACK COLLEGES
AND UNIVERSITIES

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ABSTRACT

College and university presidencies have become increasingly more complex under the weight of enormous internal and external changes. That complexity is significantly amplified at Historically Black Colleges and Universities whose presidents lead institutions that are significantly under-resourced amid decreases in state and federal funding and increases in academic costs. This study surveyed middle and senior managers at HBCUs to determine their perceptions of the college and university presidents. The results suggested that the HBCU presidents under examination largely exhibited transformational leadership characteristics. The results also suggest that male participants had higher individual consideration scores than female participants, suggesting that the presidents under review were perceived to have more interests in the Individual Concerns of their male employees vs. their female employees.

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CHAPTER I:
INTRODUCTION

In the 20th century, the number of Historically Black Colleges and Universities (HBCUs) decreased from 119 to 105 (Lovett, 2011). HBCUs are colleges or universities established prior to 1964 with a principal mission of educating African Americans (“White House Initiative,” n.d.). So what caused the demise of 14 HBCUs in the 20th century? Some closed or merged due to competition or state orders, while others closed because of lack of resources caused by sagging enrollment, decreases in federal and state aid, and insufficient alumni and private financial support (Lovett, 2011; Suggs, 1997). Moreover, of the 105 HBCUs currently in existence, several are at the brink of closure or have lost accreditation (Gasman, 2009).

Dozens of HBCUs, both private and public, are struggling to survive amid a flurry of troubling issues. The extraordinary changing climate in American higher education exposes the fact that HBCUs are under-resourced due to declining government funding, sagging enrollment and inadequate private support (Gasman & Drezner, 2009; Palmen & Gasman, 2008; Kezar & Eckel, 2004; Jackson, 2004). Public Predominately White Institutions (PWIs), with the historical context of segregated white higher education (“Predominantly White Institutions,” n.d.), are capturing African American students at the academic margins (McPherson & Schapiro, 1998). HBCUs lack alumni support both in the number of alumni who give and the total amount that they give (Gasman & Drezner, 2009; Gasman, 2009). The costs to educate, particularly those in scientific and technologically driven majors, are increasing (Gasman, 2009; McPherson & Schapiro, 1998). And some HBCUs suffer from poor presidential leadership and/or governing

boards, and high turnover among HBCU presidents due in part to increased pressure to raise money, and a dearth of traditionally qualified applicants for HBCU presidencies (Gasman, 2009; Gasman & Drezner, 2009; Gasman & Tudico, 2008; Williams & Kritsonis, 2007; Chandlre, 2006; Mbajekwe, 2006; Holmes, 2004; Jackson, 2002).

Against that troubling backdrop, HBCUs continue to be valuable institutions in American higher education. Though HBCUs make up only 3% of the nation's institutions of higher learning, they grant 25% of the baccalaureate degrees awarded to African Americans (Minor, 2005). Moreover, three-fourths of African American PhDs earn their bachelor's degrees from HBCUs (Mbajekwe, 2006). "Nationally, 85 percent of African American physicians, 75 percent of African American PhDs, 50 percent of African American engineers and 46 percent of African American business executives received either their undergraduate or graduate-level training at a historically black college" (Mbajekwe, 2006, p. 32). HBCUs enroll 16% and graduate about 20% of African Americans who attend college (Gasman, 2009).

Though the value of HBCUs to American higher education has been well documented, they face significant challenges in contemporary American higher education (Gasman & Drezner, 2009; Mbajekwe, 2006; Holmes, 2004; McPherson & Schapiro, 1998). Notwithstanding, little research has been conducted on HBCU senior leadership, particularly the presidency (Holmes, 2004).

And virtually no research has been conducted to examine what type of presidents currently lead today's HBCUs amid obstacles from within and unprecedented changes in American higher education from without. However, research suggests that HBCUs would benefit if more research is conducted on them (Holmes, 2004). This study, therefore, provides valuable new research on HBCUs in general and HBCU presidents in particular, determining what types of presidential leaders – transformational or transactional – currently lead nearly 10% of today's HBCUs. This

question will be answered through the survey responses of middle and senior managers who will be providing their perceptions of their college or university presidents. These two leadership styles are significant measurements in part because research suggests that transformational leaders possess the full range of leadership characteristics that are more effective during extraordinary changes and times (Avolio & Bass, 2004).

Background to the Study

The role of the college or university president can be essential in the direction and relative success or failure of an institution (Hurtado et al., 1998). The history of the American college president is steeped in the so-called heroic leader who was at once president and statesman, politician and fundraiser. Indeed, from the early colonial colleges of the 1600s and 1700s to the university builders of the 1800s, college and university presidents were often charismatic leaders (Thelin, 2004) who effectively developed the American higher educational system. At Harvard, it was Charles Eliot; and Yale, it was Noah Porter; at the University of Chicago, it was William Rainey Harper; and Tuskegee, it was Booker T. Washington (Thelin, 2004).

Around the turn of the 20th century, particularly during the years after World War I, the role of the college and university president slowly shifted due in large part to an enrollment explosion (Thelin, 2004). Between World War I and World War II, the number of students attending American colleges increased more than five-fold, from 250,000 to 1.3 million (Lucas, 2006; Thelin, 2004; Rudy & Brubacher, 1997). In 1917, about 5% of Americans between the ages of 18 and 20 attended college. By 1937, the number climbed to 15% (Thelin, 2004). With this enrollment explosion, American higher education between the 1920s and 1930s began to change. Increasingly, higher education became more insular, compartmentalized by expertise,

various majors, graduate programs, and the likes (Thelin, 2004). Notwithstanding, new colleges and universities emerged, enrollment climbed, and presidential leadership became more complex. This enormous enrollment and organizational shift in American higher education skyrocketed after World War II (Thelin, 2004). Total student enrollment by 1950 was almost 2.7 million, an increase of about 80% in one decade. By 1960, it was 3.6 million. By 1970, it was 7.9 million, a more than 100% increase in one decade (Lucas, 2006; Thelin, 2004; Rudy & Brubacher, 1997). Higher education was now a mass-access enterprise, with the emergence of community colleges, vocational and trade schools, academically selective programs for undergraduate and graduate students. With this explosion, the American president, in general, seemed to change from a transformational charismatic leader with big ideas to a transactional leader concerned more with managing the enormous complexities of higher education: people, programs, and emerging problems.

On the cusp of the turn of the 21st century, the changes began effecting institutions differently. For the most part, elite private colleges and universities and flagship public universities, both of which have significant endowments and external backing, were doing well (McPherson & Schapiro, 1998). By contrast, institutions with small endowments and limited external funding, rather private and public, were having significant difficulties (McPherson & Schapiro, 1998). Today, perhaps the greatest among this latter groups are HBCUs, who have small endowments, external funding far below the national average and attract African American students who statistically require more financial aid and educational support (Gasman, 2009; Mbajekwe, 2006; Holmes, 2004). For that reason, and in keeping with research suggesting that presidential leadership can be critical to the success or failure of an institution (Hurtado et al.,

1998), the role of HBCU college or university presidents is critical to the relative success or failure to that institutional type.

Historically, predominately white colleges emerged 200 years before HBCUs, a significant gap of time during which predominately white institutions experienced a significant evolution. Against that historical backdrop, HBCUs came of age amid American slavery, Reconstruction, Jim Crow and the Civil Rights era. Indeed, as their names indicate, Historically Black Colleges and Universities existed as the institutions where African Americans could receive post-secondary education (Mbajekwe, 2006). Against that backdrop, HBCUs carried the responsibility of providing the social, intellectual, political and economic foundation upon which African Americans would need to justify themselves on equal footing in American society. For that reason, in part, HBCUs have largely been unable to mature as solely academic institutions devoid of a race-based, social-uplift mission (Mbajekwe, 2006).

Leadership theories in American higher education have focused on two primary subjects: people and structures. As early as 1948, leadership research centered on the characteristics and attributes of successful university presidents (Bass, 1985; Stodgill, 1948). By the 1960s, as universities became increasingly more complex, leadership research tended to deemphasize the importance of presidential leadership, instead focusing on structures and governance models (Kezar & Eckel, 2004; Birnbaum, 1988; Bass, 1981, 1985). By the 1980s, leadership research on university presidents reemerged, suggesting that presidents were of singular importance in the direction and transformation of colleges and universities (Hurtado, 1999; Cote, 1985). In such research, which has expanded into the present, distinctions had been made between presidents who are transactional leaders and those who are transformational leaders (Avolio & Bass, 2004; Bass, 1985; Burns, 1978). Transformational leaders, who were also called extraordinary leaders,

altered their environments, empowered their employees, provided a moral ethos, and instituted significant and progressive change; by contrast, transactional leaders managed their environments, developed incentive-based rewards among employees, and discouraged outside-the-box thinking (Avolio & Bass, 2004; Bass, 1985).

This study, therefore, seeks to understand whether transformational or transactional leaders currently lead nine of the Top 25 Historically Black Colleges and Universities at a time when they are at a critical crossroad in which presidential leadership could be both a central reason for their many challenges and a solution to their uncertain future.

Evidence of Effectiveness of Transformational Leadership

Research suggests that transformational leadership qualities produce a higher level of organizational effectiveness and follower satisfaction than transactional leadership styles (Dumdum et al., 2002; Lowe, Kroeck, & Sivasubramaniam, 1996). In what was believed to be the first meta-analysis of transformational and transactional leadership studies, Lowe, Kroeck and Sivasubramaniam (1996) found that transformational leadership styles had the most positive impact on organizational effectiveness and satisfaction. A subsequent meta-analysis of the literature by Dumdum et al. (2002) confirmed this earlier finding. In 2004, Avolio and Bass concluded that transformational leadership styles incorporate what they called a “full-range of leadership styles” in contrast to a narrower range of transactional leadership styles. The researchers further concluded that contemporary organizations, amid extraordinary changes in society, required the full range of leadership styles that transformational leaders typically possessed (Avolio & Bass, 2004).

A transformational leader differs from a transactional one by not merely recognizing associates’ needs, but by attempting to develop those needs from lower to higher levels of maturity. Transformational leaders engage the full person so that associates are developed

into leaders. ...Transformational leadership encourages others to both develop and perform beyond standard expectations. (Avolio & Bass, 2004, p. 16)

This study, therefore, examines whether nearly 10% of contemporary HBCU presidents exhibit the transformational leadership characteristics that have been associated with better effectiveness under extraordinary circumstances.

Measuring Transformational and Transactional Leadership

Bass (1985) developed the multifactor leadership questionnaire (MLQ) to determine whether a leader exhibited the primary characteristics of a transformational or transactional leader. The survey instrument was initially tested in political and military settings, later expanding its use to private sector companies and universities and colleges. Since the survey instrument was developed 25 years ago, the MLQ has been used extensively in more than 30 countries in field and laboratory research. The most recent MLQ – revised in 2004 – was designed to measure the “full range” of leadership styles not initially covered in the earlier versions (Avolio & Bass, 2004). While the initial questionnaire paid significant attention to charismatic leadership characteristics, the current MLQ replaces charisma with an assessment of “idealized leadership” characteristics (Avolio & Bass, 2004), a distinction designed to more substantively explore a leaders’ ability to motivate.

The current MLQ is a 45-item questionnaire that uses a five-point scale for rating the frequency of observed leadership behavior in the person being assessed (Avolio & Bass, 2004). The questionnaire bears a magnitude estimation based on a ratio of 4:3:2:1:0, according to a tested list of anchors provided by Bass, Cascio, and O’Connor (1974). The responses to the questionnaire “identify and measure key leadership and effectiveness behaviors shown in prior research to be strongly linked with both individual and organizational success” (Avolio & Bass, 2004, p. 12). Nine leadership behaviors are “measured by four highly inter-correlated items” (p.

12) and then defined as one of two leadership styles: transformational or transactional leadership. The current MLQ includes a third leadership style called passive/avoidant leadership, which was previously included as a characteristic of transactional leadership.

In using the MLQ, the following research questions drive this study:

1. Is there a difference in means score between transactional vs. transformational leadership;
2. Is there a difference in means score between males and females with regards to leadership expectations;
3. Is there an association between active and passive leadership and a) public and private institutions, and b) male and female administrators;
4. Is there a difference in means score between public and private HBCUs in administrative concerns with regards to group success; and
5. Is there a difference in public vs. private institutions in the means Idealized Influence scores?

To a large extent, research question one is the central question of this study. Based on the data, question one seeks to determine if a distinctive style of leader – transformational or transactional – currently exists at the institutions being examined. Though the answers to question one may appear to have logical implications, this study only answers that nominal baseline question, leaving room for further research studies that seek to explore those intriguing implications. Research questions two, three, and four are so-called *a priori* questions that provide interesting insight into the perceived leadership differences along gender lines and between two institutional types. Research question five further examines whether there is a correlation

between perceived idealized leaders – which is heavily associated with transformational leaders – and private and public colleges and universities.

Problem Statement

College and university presidencies have become increasingly more complex amid enormous internal and external changes. Presidents of Historically Black Colleges and Universities have added pressures because HBCUs are significantly under-resourced due to decreases in state and federal funding, poor private funding, and increases in academic costs. HBCU presidents are also facing enormous competition with well-financed Predominately White Institutions as well as for-profit and two-year colleges that are heavily recruiting African American students (Gasman & Drezner, 2009; Palmen & Gasman, 2008; Kezar & Eckel, 2004; McPherson & Schapiro, 1998). In addition, poor presidential leadership, high turnover among presidents, and a dearth of traditionally qualified applicants for presidencies place many HBCUs at considerable risks of closure (Gasman, 2009; Gasman & Drezner, 2009; Gasman & Tudico, 2008; Williams & Kritsonis, 2007; Chandre, 2006; Mbajekwe, 2006; Holmes, 2004; Jackson, 2002).

Against that troubling backdrop, HBCUs continue to be valuable institutions in American higher education, granting 25% of the baccalaureate degrees awarded to African Americans while representing just 3% of American colleges and universities (Minor, 2005). Moreover, three-fourths of African American PhDs earn their bachelor's degrees from HBCUs, and 85% of African American physicians, 50% of African American engineers and 46% of African American business executives either earn their undergraduate or graduate-level training at HBCUs (Mbajekwe, 2006).

But little research has been conducted on HBCU senior leadership, particularly the presidency (Holmes, 2004), and virtually no research has been conducted to examine what type of presidents currently led today's HBCUs amid these unprecedented changes. Yet, research suggests that more scholarship on HBCU leadership could have a positive impact on the success of HBCUs (Holmes, 2004). This study therefore builds on a very limited body of research in order to aide those institutions that are both seeking future HBCU presidencies and those bodies that will be selecting them.

Purpose of Study

The purpose of this study is to determine which types of presidential leaders – transformational or transactional – are currently leading nine of the Top 25 ranked Historically Black Colleges and Universities as assessed by the 2012 *U.S. News & World Report*. These two leadership styles are significant measurements in part because research suggests the transformational leaders possess the full range of leadership characteristics that are more effective during today's extraordinary changes in American higher education (Avolio & Bass, 2004). These nine colleges and universities makeup nearly 10% of the 105 HBCUs currently in existence. With a limited body of research on HBCU senior leadership in general and HBCU presidents in particular, coupled with the significant obstacles that HBCUs are facing, this research study fills a critical vacuum of research and, in so doing, further informs both future HBCU presidents and the bodies that select them of prevailing thought regarding presidential leadership at 21st century HBCUs.

Significance of the Study

As stated above, this study provides needed research in an area within American higher education that has seldom been explored: presidential leadership at Historically Black Colleges

and Universities. This research study adds to the body of research on HBCUs by scholars such as Gasman (2010) and Mbajekwe (2006), to name a few, and adds to how Bass' (1985) Multifactor Leadership Questionnaire (MLQ) is used to measure transformational and transactional leadership. In using Bass' MLQ to assess the current leadership styles of nine HBCU presidents, the findings create valuable data as future decisions are made in hiring the next era of HBCU presidents. The next chapter reviews selected literature most relevant for examining the sweeping changes within American higher education today, the evolution of college presidents, the present state of Historically Black Colleges and Universities, and the body of research on presidential leadership, including research on transformational and transactional leadership and the survey instrument used to assess both.

Organization of Study

This dissertation is divided into five chapters. The first chapter outlines the introduction of the study, the background of the study, the problem statement, the purpose of the study, and the significance of the study. Chapter II is the review of the literature and contains the broad research areas that impact the study, among them: 1) changes in American higher education in the 21st century; 2) history of presidential leadership in American higher education; 3) historical and contemporary contexts of Historically Black Colleges and Universities; 4) leadership theories in American higher education; 5) transformational and transactional leadership research; 6) gender differences in workplace leadership; and 7) distinctions and similarities between public and private colleges. Chapter III consists of the study's methodology, including the research method, research questions, research perspective, research design, sample population, research instrument, pilot study, data collection procedure, data analysis, bias and error, reliability and validity, limitations, and assumptions. The findings of this study are found in Chapter IV, which

consists of study's results, data screening, descriptive statistics, findings of each research question, and a summary. Chapter V includes the results and further discussion, conclusions, limitations of the study, implications for future research, implications for practice, and a final summary.

CHAPTER II: REVIEW OF THE LITERATURE

The review of the literature is organized around seven themes: 1) changes in American higher education in the 21st century; 2) history of presidential leadership in American higher education; 3) historical and contemporary contexts of Historically Black Colleges and Universities; 4) leadership theories in American higher education; 5) transformational and transactional leadership research; 6) gender differences in workplace leadership; and 7) distinctions and similarities between public and private colleges. The literature review for each theme, taken both separately and collectively, has direct influence on 21st century presidential leadership at Historically Black Colleges and Universities.

Changes in American Higher Education in the 21st Century

The rapid changes in American higher education in the 21st century are unprecedented, requiring university presidents to reexamine and restructure how colleges and universities function. The changes cover virtually every critical aspect of American higher education: from funding to curriculum to faculty restructuring to student demographics to technology and how education is delivered to university governance (Kezar & Eckel, 2008; Rich, 2006). Though robust change in American higher education is not unique to contemporary times, what is unique is the degree to which American higher education is being influenced by external factors and the consequences of that influence (Rich, 2006). Many of these changes are placing new challenges on the role of university presidents, and some researchers suggest that 21st century presidents must be more imaginative and business-like than ever before (Rich, 2006). And, as the research

suggests, amid the significant internal and external changes that are impacting American higher education in the 21st century, HBCUs are among the most vulnerable and therefore must pay careful attention to the selection of their presidents and how they lead their institutions (Mbajekwe, 2006).

Not since the 1960s has American higher education undergone such extraordinary and rapid changes as it is experiencing today (Kezar & Eckel, 2008). Sharp decreases in federal and state funding have caused spikes in tuition costs and a fund-raising imperative. Partnerships with private industry and global organizations have become more significant and are influencing a number of strategic decisions made by university trustees and leaders, including curricular decisions. Demographic and diversity changes in students have stretched the college-attendance age, requiring new programs, new departments, and new accommodations for older students. Technological advances have drastically changed teaching modalities and programs. Politics within American higher education have complicated how universities are governed and the role of the presidents (Kezar & Eckel, 2008; Minor, 2005; Kezar, 2001; Hoff, 1999; Gaff & Simpson, 1994; Anderson, 1993; DePree, 1989). Such issues are causing university and college leaders to make critical decisions about a multiplicity of issues affecting a broad spectrum of people and programs, including institutional missions, access to minority groups, capital improvements and infrastructures, program expansion and elimination, allocation of finite resources amid decreasing government aid and increasing costs, and more (Kezar, 2007; Altbach, Berdahl & Gumport, 1999; McPherson & Schapiro, 1998; Leslie & Fretwell, 1996).

The five changes this study found to be the most critical in contemporary American higher education are funding, external influences, demographic shifts, technology, and

governance. This section will explore each, with the exception of governance, which is examined separately in a different section of the literature review.

Changes in the Funding

In 1975, 83% of net revenues for public institutions came from federal, state and local governments (Paulsen & Smart, 2001). Of that 83%, 57% came from state appropriations (Paulsen & Smart, 2001). The rest, 17% of net revenues, came from private sources of which 13% was net revenues from tuition and fees. For private schools, the figures were understandably different. Only 28% of net revenues came from public sources with the vast majority – 25% – coming from government grants and contracts. As one would imagine, most of the net revenues – 72% – came from private sources, including 47% from net tuition and fees, 16% from private gifts and contracts, and 9% from endowment income (Paulsen & Smart, 2001).

By 1995, some 20 years later, those numbers changed substantially. In the aggregate, public financial support for public colleges and universities decreased by 11 percentage points, including a 10% decrease in state appropriations (Paulsen & Smart, 2001). Conversely, private support for public colleges and universities increased by 11 percentage points, including a 7% increase in net revenues from tuition and fees. For private institutions, net funding sources also shifted. Public funding for private higher education dropped 6 percentage points from 1975, and private funding increased by 6 percentage points, including a 12% increase in net revenues from tuition and fees (Paulsen & Smart, 2001). These net revenue shifts came amid 20 years of inflation of resources, goods and services necessary to educate college students (Paulsen & Smart, 2001).

Indeed, tuition increases have outpaced inflation every year since 1980 (Paulsen & Smart, 2001), and the financial burden of both private and public education has increasingly shifted

from state and federal funding to students and their families in the form of increased tuition and fees. Some have suggested that the four main reasons for tuition increases are 1) a political shift in thinking that students should be responsible to pay for their education; 2) inflation; 3) increases in resources; and 4) growth in the student aid program (Paulsen & Smart, 2001). Notwithstanding, the responses from both public and private institutions have been to develop tuition discounts, create new ways to stretch institutional aid, and raise more private funds (Paulsen & Smart, 2001). “These shifts in roles, responsibilities and resources are unlikely to moderate. Instead, they are more likely to persist, and perhaps even accelerate” (Paulsen & Smart, 2001, p. 2). Sharp spikes in tuition costs, coupled with more emphasis on merit-based student scholarships over need-based scholarships, are making access to four-year higher education more difficult for low-income families (McPherson & Schapiro, 1998). Moreover, public and private four-year institutions with small endowments are at significant risks of losing more students and resources to elite private and flagship public four-year institutions with large endowments (McPherson & Schapiro, 1998). To be sure, Historically Black Colleges and Universities enroll a significant number of students from lower-income households, and HBCU endowments are extremely low (Gasman, 2009).

In response to decreases in public funding, and in an effort to maintain competitiveness, both private and public institutions are increasing efforts to raise private funds. To be clear, private gifts have always been a part of the formation and growth of American higher education (Thelin, 2004) from Matthew Vassar’s \$1.25 million gift starting Vassar College in 1861 to the \$7 million gift in 1876 establishing Johns Hopkins University and its Baltimore hospital to the Fisk Jubilee singers’ European tour that raised money to keep Fisk University afloat at the end of the 19th century (Thelin, 2004; Fisk University website).

Today, colleges and universities amass investment revenue from private donations from four primary funding categories: endowment funds, non-endowed funds, deferred funds, and real estate. Endowment funds are generally financially large private gifts that are restricted to a certain aspect of the university (Paulsen & Smart, 2001). Endowed gifts are placed in accounts whereby the principal is not spent but rather earnings – typically 4% of the principal – are issued to the university. Non-endowed funds are private gifts that are unrestricted, meaning the college or university has the ability to use the money however its leader desires. Deferred gifts are generally trust assets typically attained in planned giving arrangements after the death of the estate holder. Real estate is land and building assets (Paulsen & Smart, 2001).

Endowment earnings are often used to fund student scholarships. Leaders of large research institutions, including four-year publics, are now using more of their endowment earnings toward their institutions' operating budgets. For example, about \$1 billion of Harvard University's annual operating budget comes from its \$30 billion endowment (HMC Year End Report, n.d.). In 2007, Stanford's annual operating budget was boosted with an \$800 million allocation from its \$19.7 billion endowment (Stanford Management Company Report, n.d.). Perhaps this should be expected from elite private research universities, but flagship public universities are also using endowment earnings for operating expenses. For example, the University of Georgia receives approximately \$24 million to its annual operating budget from its \$585 million endowment (Online Athens, n.d.). Conversely, institutions with small to virtually no endowments, like HBCUs, do not have the financial luxury of using significant endowment earnings for their operating budgets and therefore are having difficulty competing with larger institutions for top students, faculty and other education resources (Gasman, 2009; McPherson & Schapiro, 1998). In particular, HBCU presidents carry the burden of this financial conundrum

because fundraising has become one of their chief imperatives as a way of improving their institutions (Mbajekwe, 2006). But with small endowments, relatively small grant funding, and low external and alumni giving, HBCU presidents are losing top African American students to elite private and flag ship public schools that are able to provide significant scholarship packets due to large endowments (Mbajekwe, 2006; McPherson & Schapiro, 1998). The fundraising dilemma is so significant that it has caused some HBCU presidents to leave presidencies (Mbajekwe, 2006).

External Influences in American Higher Education

Increased reliance on private funds to support American higher education has led to more private-sector influence in higher education decision making, and many researchers believe the influence of external funding is eroding the traditional mission of American higher education (Slaughter & Rhoades, 2004). Since the 1980s, market forces have engulfed American higher education unlike any other previous time period due to tremendous technological advances and a new knowledge-based economy (Bok, 2003). Cutbacks in federal and state appropriations, a new entrepreneurial focus for increasing revenue, and lack of clarity regarding the fundamental mission of American higher education have helped exacerbate what Bok calls the “commercialization” of higher education (Bok, 2003). The researcher asserts that the explosion of new technology and a knowledge-based economy ultimately led to today’s unprecedented commercialization of American higher education. Regardless of the reasons, some say the net results are that universities are compromising academic standards, academic freedom, and academic integrity in pursuit of increased external revenues (Slaughter & Rhoades, 2004; Bok, 2003).

According to Bok (2003), the commercialization of American higher education has emerged in three primary areas: intercollegiate athletics, scientific research, and education. The commercialization of intercollegiate athletics has fundamentally eroded the academic integrity of American higher education by compromising admissions standards and trading academic standards for athletic prestige; the commercialization of scientific research has led university administrators and researchers to chase corporate funding and support for patents and new discoveries while creating excessive secrecy, financial conflicts, and increased corporate efforts to manipulate or suppress research results; and the commercialization of education through leveraging new technology like the Internet has undermined academic standards, pitted faculty against each other, and placed the traditional reputation of universities at risk (Bok, 2003). Though the author acknowledges some benefits of commercialization, he asserts that colleges and universities must establish policies that ultimately safeguard against being disproportionately revenue driven.

Slaughter and Rhoades (2004) offer three plausible reasons for this “market-like” behavior: 1) decreases in higher education funding at the state level; 2) federal policy changes that have given financial aid awards directly to students, thereby treating students as “customers;” and 3) a federal competitiveness policy that has created new guidelines for patenting, copyright and technology transfer laws and policies in higher education. The latter two, the researchers suggest, create the incentives for the commercialization within colleges and universities. Slaughter and Rhoades suggest that academic capitalism has taken shape in five areas: 1) patenting, 2) copyrighting, 3) academic departments, 4) administrators and trustees, and 5) markets in students and marketing to students. The researchers conclude that academic

capitalism is ascending and comes at the expense of the traditional, “democratic missions” of higher education in providing access to disadvantaged groups.

By contrast, a study by Zemsky, Wegner, and Massy (2005) on the subject reaches a slightly different conclusion. Zemsky et al conclude that colleges and universities must be mission-centered and market-smart as an effective and necessary strategy for success amid changing realities in American higher education. The authors suggest that the market can assist colleges and universities in attaining their missions. In this regard, Zemsky et al. acknowledge that market forces are changing the landscape of higher education but warned that such changes are detrimental if not managed properly.

The challenge for the academy is to guard against allowing market success to become a reason for being in and of itself. Being market-smart is the means, not the end. The goal ought to be remaining mission-centered by spending wisely and productively the margins generated by being market-smart. (p. 68)

Changes in Student Demographics

The demographic changes in American higher education are profoundly visible in shifts in gender, ethnicity and age. And such changes have considerable impact on colleges and universities. From 1961 to 2001, the percentage of men and women entering American higher education has flip-flopped (Dey & Hurtado, 2005). In 1961, men entering college represented 56% of college students; by 2001, women represented 55% of students entering college and are continuing to maintain that majority standing. In addition, nontraditional students, defined as adults over the age of 25, are among the fastest growing student group, representing 44% of students in higher education. Last, it is estimated that of the nearly 2.6 million new students who will enroll in higher education by 2015, 80% of them will be members of racial minority groups (Dey & Hurtado, 2005), a significant percentage of which are expected to be African Americans. In 2001, 74% of entering college students were white, while 11% were African American, 8%

Asian, and 5% Latino and Puerto Rican. Such shifts in student demographics have profound effects on colleges and universities: from developing or expanding student services to restructuring course schedules addressing nontraditional students to developing courses and programs that address increases in student diversity, and more (Dey & Hurtado, 2005).

For Historically Black Colleges and Universities, these demographic changes have significant financial implications amid scarce budgets. As the number of African American students increases, many of the better academically prepared students are receiving attractive scholarship awards from elite private and large public universities and are choosing to attend them instead of HBCUs that generally cannot afford to offer similar scholarship packages because of small endowments and poor alumni giving (Gasman, 2009; Chandler, 2006). Also, some African American students are enrolling in two-year colleges that have lower tuition rates (McPherson & Schapiro, 1998). Both trends significantly impact the future viability of HBCUs.

Changes in the Use of Technology

New technology – particularly information and telecommunications technology – has impacted virtually every aspect of higher education: from campus operations to academic affairs and advising to teaching and instruction to enrollment management to student services to library services. Gone are the days when students are waiting in long lines to enroll in classes. They can now register, pay fees, attain grades, communicate with professors, take classes, conduct research, engage in study sessions, access and read textbooks, and much more all on their computers using the Internet and new technological systems that create greater efficiencies in higher education (Gumport & Chun, 2004). Unlike the “single technology” of the printing press, today’s technological advances, including new technology that creates an explosion of new knowledge in science and other disciplines, are redefining higher education because they

“provide more complete access to more information that can be retrieved and reviewed without constraints of place or time” (Gumport & Chun, 2004, p. 401). But along with being “flexible and pervasive,” today’s new technologies are also expensive, creating “a new dimension of higher education haves and have-nots” (Gumport & Chun, 2004, p. 397).

Gumport and Chun suggest that these new advances in technology have potential influence in three areas of higher education: 1) the nature of knowledge, 2) the process of teaching and learning, and 3) the social organization of teaching and learning. By influencing “the nature of knowledge,” the researchers suggest that new technology has allowed academics to study complex matter that had not been possible prior to the technological advancement, thereby reshaping “what counts as knowledge, how knowledge is produced, how people are involved in the production ... and how academic knowledge is valued and disseminated” (Gumport & Chun, 2004, p. 402). In this regard, professors have become “producers of knowledge” and students “consumers of knowledge” (p. 403). In influencing “the process of teaching and learning,” Gumport and Chun suggest that new technologies have changed the fundamental methods by which professors are conveying information to students. Instead of simply lecturing, professors are now using the Internet, Power Points with embedded animation, e-mails with various attachments, social networking tools, and multimedia platforms like streaming videos from sources across the world. Gumport and Chun refer to this as a “shift from passive to more active learning” (p. 405). The last influence, “the social organization of teaching and learning,” refers in part to the time and space in which students learn and professors teach. The so-called virtual classroom in which students are increasingly taking online classes and, in some instances, enrolling in total online degree programs in which they never step foot in physical college classrooms. The emergence of technologies that support distance education has

also fueled the expansion of for-profit institutions that target working adults by providing, as a convenience, much of their classes and degree programs online (Hentschke et al., 2010).

To be sure, new technologies are redefining higher education, but the cumulative cost of these technologies can be prohibitive for many colleges and universities, including HBCUs. And there is an enormous risk for those institutions unable to keep pace with new technological advances.

All higher education institutions face the clear reality that what is now considered cutting-edge equipment and skills have a relatively short life cycle, becoming obsolete at an increasingly fast pace. While the problem of obsolescence is not unique to higher education's workplaces and educational settings, what is arguably new is the enormous cost and risk involved in making technological investments – and in failing to do so. (Gumport & Chun, 2004, p. 417)

History of Presidential Leadership in American Higher Education

The history of presidential leadership in American higher education reveals that prior to the early 1900s presidents were public advocates for American higher education and extended that role to community leaders and, at times, quasi-politicians (Lucas, 2006; Thelin, 2004). Terms such as “heroic,” “extraordinary” and “charismatic” leaders were often used to characterize university presidents during this time period (Thelin, 2004; Bass, 1985), characterizations that Burns and Bass initially used when defining characteristics in transformational leaders (Bass, 1985; Burns, 1978.) By contrast, soon after World War I, and particularly after World War II, American college presidents, in general, gradually became far less public figures and advocates and began concentrating internally on their campuses that had become larger, more complex, and more regulated by federal and state legislators and governing boards (Lucas, 2006; Thelin, 2004; Rudy & Brubacher, 1997). During this period, presidents became careful managers of their institutions, walking a delicate tight rope amid the political fault lines of trustees, faculty, students, alumni, federal and state lawmakers, grant funders, the

media, private business, and private donors (Thelin, 2004). Amid such a complex and political environment, university presidents became more cautious in their decision making, embracing incremental changes over sweeping ones that tended to call for substantive organizational change and a reshaping of organizational cultures. However, 21st century presidents, including those at HBCUs, are increasingly being asked to adopt strategies that will effectively create extraordinary changes at colleges and universities (Kezar & Eckel, 2008; Rich, 2006; Rhodes, 2001).

A chronological literature review of presidential leadership from the founding of America's first college, Harvard of 1636, to the present, relies heavily on an understanding of the historical context upon which these leaders led. Consider the following facts regarding the evolution of American higher education over the last four centuries: college attendance grew from a few dozen "elite" white male students (Lucas, 2006; Thelin, 2004; Rudy & Brubacher, 1997) to more than 14 million students of all races, genders, nationalities and socio-economic backgrounds (*A Test of Leadership*, 2006). The number of colleges jumped from nine to more than 9,000, including four- and two-year colleges, professional schools, and technical and vocational schools (Brewer, Gates, & Goldman, 2001). College curricula evolved from classical languages with an emphasis on Latin and Greek being taught by a handful of instructors to public and private, small and comprehensive university-research institutions with an elective system with hundreds of majors and dozens of departments being taught by thousands of faculty members (Lucas, 2006; Thelin, 2004; Brewer, Gates, & Goldman, 2001). Tuition went from being nominal to tens of thousands of dollars. College campuses grew from virtually nothing to enormous mega campuses with multiple academic, administrative, residential, campus life, athletic and research facilities (Thelin, 2004; Bok, 2003). College administrations grew from a president who taught, raised money and promoted clericalism to a president, numerous vice

presidents and associate/assistant vice presidents, deans and associate/assistant deans, directors and associate/assistant directors, a faculty senate, department heads, administrative assistants, athletic personnel, etc. (Thelin, 2004; Bok, 2003). College went from being autonomously run and directed to being heavily monitored by accrediting bodies, state and federal legislators, state governing boards, national associations, alumni groups, community leaders, and others (Lucas, 2006; Thelin, 2004; Altbach, Berdahl, & Gumport, 1999). These and other evolutionary developments of American higher education were influenced in part by five wars (Revolutionary War, Civil War, World War I, World War II, and the Vietnam War), tumultuous social tensions between races, genders and socio-economic classes, and the development of a new political and economic system that began to rely heavily on higher education (Thelin, 2004; Altbach, Berdahl & Gumport, 1999). In short, over the last four centuries, American higher education has become astronomically more complex, and it is within this tremendous historical context that the American president has emerged and subsequently led – shifting from the charismatic leaders of the first two-and-a-half centuries of American higher education to the careful managers of the better part of the 20th century.

1636 – 1779: Presidential Leadership from Colonial Colleges

In this period, during the building of American higher education, colleges were designed for a small group of students, and faculty served as both teachers and administrators. There was limited competition and presidents built their institutions under few checks and balances (Thelin, 2004). Such a climate lent itself to the heroic presidential leaders.

As the Colonial colleges began taking shape, based on the British model of Oxford University and Scottish influence, the office of the college president was a uniquely American innovation (Lucas, 2006; Thelin, 2004; Rudy & Brubacher, 1997). The new position, in theory,

was designed in part to diminish the autonomy and power of faculty members, whom the “college-founders” perceived as being detrimental. Though the residential ‘collegiate way’ appealed to the New World college-founders, they disliked the Oxford scholars. They instead looked to the Scottish universities’ reliance on the external board – rather than faculty – to give legal definition to the college as an incorporated institution.

This provision for ultimate control by an external board built in a mechanism for continual accountability. Equally important was the board’s vesting the office of the president with administrative authority. This was a radical departure from academic governance at the historic British universities. (Thelin, pp. 11-12)

College presidents during this era were sometimes clergymen who also served as teachers and fundraisers. In fact, many also had to be politicians, negotiating with outside constituencies to keep their colleges afloat (Thelin, 2004; Rudy & Brubacher, 1997). Those presidents who did not embrace the function of president and politician often did not survive (Thelin, 2004).

1785 – 1890: Presidential Leadership Amid the Rise of Public Institutions

In contrast to the previous period, this next significant era in American higher education saw the extraordinary curricula debate over liberal and practical education, and the rise of the American university. The relative small number of colleges and the demand for greater access to more students created conditions ripe for the extraordinary growth in the number of American colleges and universities. Historically Black Colleges and Universities emerged in the mid-1800s and presidents like Booker T. Washington led the philosophical drive toward practical education. In this era, presidents changed virtually every aspect of American higher education: from curricular changes to greater academic specialization to the demarcation of undergraduate and graduate/professional programs to increased emphasis on external fundraising. University presidents, on balance, fit the classic definition of transformational leaders.

After the Revolutionary War, as the leaders of the New World constructed a unifying constitution, the presidents of American colleges found themselves, as Thelin put it, “creating the American Way in Higher Education” (Thelin, 2004, p. 43). Though not much changed within the colleges after the Revolutionary War, there was a “perennial quest for funding” (Thelin, 2004, p. 43). What did change, according to Thelin, was “an array of innovations in both financing and the curricula of colleges and related institutions (Thelin, 2004, p. 44).

The driving philosophical debate during the early to mid-1800s was defining the very role of higher education. It was the debate between liberal education, the introduction of an elective system, and the infusion of new curricular innovations, particularly the infusion of “practical” education touted by prominent figures like Benjamin Franklin (Lucas, 2006; Thelin, 2004; Rudy & Brubacher, 1997; Rudolph, 1962). The debates were being waged by the college presidents, principally Yale’s Jeremiah Day, co-author of the seminal Yale Report of 1828 (Lucas, 2006; Thelin, 2004; Rudy & Brubacher, 1997; Rudolph, 1962). Other influential presidents during this time period were Philip Lindsey of the University of Nashville, George Ticknor of Harvard, James Marsh of the University of Vermont, and Jacob Abbott of Amherst (Thelin, 2004; Rudolph, 1962). Each of these presidents supported making curriculum changes away from the nearly 200-year status quo of classical education still modeled after Oxford (Thelin, 2004; Rudy & Brubacher, 1997; Rudolph, 1962). In fact, Lindsey’s speeches and articles for practical changes in higher education received national press coverage (Thelin, 2004).

Lindsey possessed one of the most exciting imaginations of any American college president. His idea of what an American college or university was and should be, his commitment to intellectual excellence, his rejection of denominationalism as a secure basis for a great institution, his recognition of a need for broadly practical education, yet his devotion to the humanist tradition – all this set him apart. (Thelin, 2004, p. 50)

The Morrill Act of 1862, which effectively led to the rise of public state universities, further intensified the role-of-higher education debate, and changed the “elite” status of students in higher education. Normal schools and state universities emerged in larger numbers, including institutions for women and African Americans. Booker T. Washington, the prominent founding president of Tuskegee University, garnered a national spotlight advocating trade, agricultural and mechanical education for African Americans (Washington, reprinted, 1969). Harvard President Charles Eliot, who garnered national notoriety for the innovation of the elective system, and Yale President Noah Porter created national attention for their vehement differences and debates regarding the direction of higher education amid the rise of the modern university (Lucas, 2006; Thelin, 2004). And it was college presidents who were expected to influence American families (Thelin, 2004), and Eliot saw the debate over the elective system as a fundamental turning point in American higher education.

The most dramatic development of the elective curriculum in the immediate post-Civil War period came at Harvard. Though this was primarily due to the forceful leadership of President Charles William Eliot. ...In American higher education, he declared, the individual traits of differing minds had not been taken into account sufficiently. The nation must rid itself of the dangerous ‘conceit that a Yankee can turn his hand to anything.’ (Rudy & Brubacher, 1997, 111-112)

1890 – 1910: “University-builders”

The extraordinary growth during the last period was continued and, to some extent, solidified during this period. The Second Morrill Act of 1890 created dozens of public land-grant HBCUs that provided greater access to African American students unable to attend the private HBCUs. This era before World War I was perhaps the last outwardly manifestation of the transformational presidential leader with relatively unchallenged power. During this period, the Association of American Universities was established, eventually providing greater power to university faculty. External fundraising reached its peak and, heretofore, so did the influence of

outside supporters. At the end of this era, the role of the university president would begin to gradually shift from external leader to internal manager of an increasingly complex enterprise coined “mass higher education.”

Between 1898 and 1909, seven institutions – Chicago, Columbia, Harvard, Pennsylvania, Yale, Johns Hopkins, and Cornell – conferred two hundred or more Ph.D.s each in a little more than a decade (Lucas, 2006; Thelin, 2004). The largest student head count, including summer session, was at Columbia, with 6,232, followed by Harvard, Chicago, Michigan, Penn, Cornell, Wisconsin, and Illinois, each of which had enrollments between 4,000 and 5,500. Stanford, Princeton, and Johns Hopkins were each below 2,000 (Thelin, 2004). In 1900, fourteen college presidents established the Association of American Universities.

With the rise of industrialization and a new economy, the beginning of this period marked a significant shift in the numbers and amounts of million-dollar donations given to colleges and universities. Among the significant university presidents during this period were University of Chicago President William Rainey Harper, Cornell University President Andrew White, Harvard President Charles Eliot, and University of California President Benjamin Ide Wheeler (Thelin, 2004). These pioneering presidents and their colleagues helped give definition and shape to the modern American university that is seen today. Amid a largely unregulated climate, these presidents were public figures, extraordinary fund-raisers and some, namely Harper, used public relations strategies to build local support of his university. These presidents served long tenures and were public figures, and their influence typically went beyond their campuses, writing prolifically on current events that were published in national publications (Thelin, 2004).

1910 – 1945: Mass Higher Education

As a result of the rise of the American university, a gradual shift between teaching and research began to exist, as scholarship and expertise began to be increasingly more valued in the academy. Now, after nearly three hundred years of evolution – as colleges and universities became increasingly more accessible to larger numbers of people – the role of the university president began to gradually shift from external leader to internal manager of a complex enterprise called “mass higher education.” Fueled by the enrollment explosion after World War I and increased government funding for research, university presidents, on balance, began to shift from transformational to transactional leaders.

Student enrollment in American colleges between World War I and World War II increased more than five-fold, from 250,000 to 1.3 million (Lucas, 2006; Thelin, 2004; Rudy & Brubacher, 1997). In 1917, about 5% of Americans between the ages of 18 and 20 attended college. By 1937, the number climbed to 15% (Thelin, 2004). Yet American higher education between the 1920s and 1930s was beginning to change. Increasingly, higher education was becoming somewhat isolated from public life, compartmentalized in part by expert professors, various majors, graduate programs, and the likes. Notwithstanding, new colleges and universities were emerging, enrollment was climbing, and presidential leadership was becoming more complex. Though college presidents in this era were forced to adapt their campuses to dramatic increases in student enrollment, this era marked the gradual end of the “heroic” college president as the dynamic leader and began an era of the president as a cautious manager of people and resources (Thelin, 2004).

University presidents such as James Blaisdel of Pomona College in California began designing new campus models to accommodate for increased demands, building “satellite

campuses” (Thelin, 2004, p. 246). University of Chicago President Robert Maynard Hutchins announced the creation of a “New College” consisting of a “great books” curriculum (Lucas, 2006; Thelin, 2004). Similarly, St. John’s president, Scott Buchanan, also relied on a “classical languages, great books” approach to energize his campus (Thelin, 2004, p. 234). Harvard’s president, Abbott Lawrence Lowell, created a new “house” system, with student lounges, libraries, game rooms, athletic facilities, and the likes. The president of Swarthmore created an honors program. Most of the new developments were geared to better organize a larger number and increasingly diverse group of students and faculty (Thelin, 2004). In 1937, James Conant, the chemist who succeeded Lowell as president of Harvard, introduced scholarships for students (Thelin, 2004).

Trained in business and management, two of the major presidential innovators during this period were CPAs trained in “systematic decision making” (Thelin, 2004, p. 246). Robert G. Sproul of the University of California and Herman B. Wells of Indiana University were presidents of their alma maters. Amid an increasingly complex environment, their “management” approach to presidential leadership was embraced (Thelin, 2004).

1945 – 1970: Post World War II

By this time, the complexity of higher education had become apparent, yet things would gradually become even more complex with the rise of external federal funding for increased scientific research and the GI Bill, which increased the number of students in American higher education by more than 80%. Two-year colleges emerged, providing even more access to higher education, as well as more concentration on vocational degrees designed to prepare students for the work force. The nation’s racial unrest exploded on university campuses around the nation, leading to the emergence of new academic courses, black studies organizations and departments,

and more. Government oversight of public colleges and universities reached a peak. University presidents during this era were forced to be focused on managing their campuses and the enormous political and financial influence from the outside. Heretofore, this was the most pronounced era of presidents as transactional leaders.

By 1950, total student enrollment was almost 2.7 million, an increase of about 80% in one decade. By 1960, it was 3.6 million. By 1970, it was 7.9 million, a more than 100% increase in one decade (Lucas, 2006; Thelin, 2004; Rudy & Brubacher, 1997). Higher education was now a mass-access enterprise, with the emergence of community colleges, vocational and trade schools, academically selective programs for undergraduate and graduate students. The GI Bill led to an influx of war veterans into colleges. Accrediting bodies emerged, as did increased scrutiny by state boards, and state and federal legislators who were increasingly approving large sums of tax dollars to public universities. Anti-communism hysteria swept through college campuses. The tumultuous 1960s saw the rise of student protests against racial injustice and the Vietnam War. Life for college presidents had become extraordinarily complicated (Lucas, 2006; Thelin, 2004; Rudy & Brubacher, 1997).

The norm for president (during the 1960s) was retirement, heart attacks, and disbelief that these contentious groups, numerically so small, had come to exert such a disproportionate influence on the image and reputation of the campus. ...By 1970, changes in sponsored research and development funding patterns and priorities had altered 'business as usual' at universities, and even at colleges. The alienation of a variety of external groups – federal agencies, state legislatures, and older alumni – left presidents and deans in the uncharacteristic position of having to scramble for funds, and to explain and even justify their institution. Universities in the United States after World War II were hard pressed to identify a central, cohesive mission. (Thelin, 2004, 313-14)

1970 – 2008: Modern Higher Education

Today, there are roughly 14 million undergraduate students attending college. Nearly one-third of them are older than 24 (*A Test of Leadership*, 2006). Within the three decades

between 1970 and 2008, American higher education has only grown more complicated, and presidential leadership has turned inward. By the dawn of the twenty-first century, the academic presidency was more complex than ever (Kezar & Eckel, 2008; Rich, 2006). Presidents were operating with less authority and autonomy than the giants of an earlier era and enjoying less public trust and respect (Bornstein, 1995). Some say that because of its increasing complexity, the academic presidency is unmanageable (Bornstein, 2003).

During this time period, college presidents began undergoing thoughtful analysis of their institutions in search for the cohesive mission that had evaded their institutions for so long. To some degree, this gave rise to today's era of strategic planning (Smith & Wolf-Wendel, 2005; McGovern, Foster & Ward, 2002). Moreover, presidents became more managers than the "heroic" leaders of old (Fisher, 1984).

In conclusion, American college and university presidents who led before the early 1900s were generally public figures and vocal advocates for American higher education, sometimes being referred to as "charismatic" leaders, a word Burns (1978) and Bass (1985) initially used as a key characteristic of transformational leadership. By contrast, soon after World War I, and particularly after World War II, American college presidents, in general, gradually became less public and more careful managers of their institutions, walking a delicate tight rope amid the political fault lines of trustees, faculty, students, alumni, federal and state lawmakers, grant funders, the media, private business, and private donors. In the 21st century, as the research suggests above, presidents are increasingly being asked to adopt strategies that will effectively create innovative changes at colleges and universities in an unprecedented period of change in American higher education.

History and Evolution of HBCUs

Historically Black Colleges and Universities were established to educate formerly enslaved African Americans who were denied formal education during the centuries of American slavery (Palmer & Gasman, 2008; Jackson, 2001). Yet, during much of their 173-year history, HBCUs carried the responsibility of providing the social, intellectual, political and economic foundation upon which African Americans would need to justify themselves on equal footing in American society. For that reason, HBCUs have largely been unable to mature as solely academic institutions absent from a race-based, social-uplift mission (Mbajekwe, 2006). To a significant degree, this loaded mission has stifled the academic and operational growth of HBCUs, and today these institutions, on balance, are struggling to exist: surviving but by no means thriving. HBCUs are severely under-resourced at a time when public funding is shrinking, private gifts are scarce, and the cost to recruit and retain good students, faculty and technology is skyrocketing (Gasman & Drezner, 2009; Mbajekwe, 2006; JBHE, 2002-03). HBCUs are among the most vulnerable institutional types in contemporary American higher education, and HBCU presidents, therefore, should be carefully selected based in part on transactional or transformational leadership criteria in order to navigate an extraordinarily changing landscape in American higher education.

In researching this section, this study found that four themes emerged regarding the history and evolution of HBCUs: 1) HBCUs have historically been institutions with loaded missions far beyond education for Blacks; 2) based on the relatively small number of HBCUs today, they continue to provide a disproportionate number of African American professionals; 3) the most acute concern facing HBCUs is inadequate funding; and 4) current HBCU presidential leadership and governance are strained by financial woes and an aversion to shared governance.

HBCUs: Historical Institutions of Last Resort

By the time the first HBCU was founded, predominately white institutions in America had existed more than 200 years. Within that 200-year time period, as outlined in the previous section, PWIs had undergone considerable changes and growth in curriculum, instruction, student access, funding, governance, and more (Thelin, 2004). By contrast, as of 2013, HBCUs still have another 23 years before they celebrate 200 years of existence. Moreover, HBCUs have largely existed during openly oppressive conditions for African Americans and their institutions. Such a history – steeped heavily in a mission of social-uplift for African Americans – has created enormous strain on the purely academic and operational mission of HBCUs and has contributed to the dire state of HBCUs today (Mbajekwe, 2006).

“[B]lack [C]olleges and [U]niversities (HBCUs) are post-secondary institutions specifically established to educate African Americans” (Jackson, 2001, p. 108). They emerged amid the enslavement of African Americans, prior to the Civil War. The first institutions were private colleges, “under the supervision of a number of groups and organizations, including northern white missionaries, black church groups, and black communities” (Mbajekwe, 2006, p. 6). In Pennsylvania, Cheney University was founded in 1837 and Lincoln University was founded in 1856 (Henry, 2009). White missionary groups such as the American Missionary Association, the American Baptist Home Mission Society, and the Methodist Episcopal Church American were instrumental in establishing private HBCUS (Henry, 2009; Gasman & Tudico, 2008). Black churches such as the African Methodist Episcopal Church, the Colored Methodist Episcopal Church and the Baptist Church also helped establish private HBCUs (Mbajekwe, 2006).

The establishment of historically black colleges was driven in part by an effort to maintain control over enslaved and uneducated African Americans before and after American slavery was abolished (Gasman et al., 2010; Anderson, 1988). Approximately 90% of African Americans were illiterate in 1861, at the start of the Civil War (Brown, 1999). After the Civil War, and the subsequent emancipation of enslaved African Americans, the nation was faced with educating some four million newly freed blacks. The federally established Freedman's Bureau was central in the effort of providing education to some four million formerly enslaved African Americans after the Civil War.

With the end of the Civil War, the daunting task of providing education to over four million formerly enslaved people was shouldered by both the federal government, through the Freedman's Bureau, and many northern church missionaries. As early as 1865, the Freedman's Bureau began establishing Black colleges, resulting in staff and teachers with primarily military backgrounds. During the postbellum period, most Black colleges were so in name only; these institutions generally provided primary and secondary education, a feature that was true of most historically White colleges during the first decades of their existence. (Gasman & Tudico, 2008, p. 1)

For the white missionaries, one of the goals of establishing HBCUs was to convert formerly enslaved African Americans to "their brand of Christianity" and "rid the country of the 'menace' of uneducated African Americans" (Gasman & Tudico, 2008, p. 2). Colleges founded by African American churches, which relied on less support from whites, had more flexibility to design their own curricula but were more financially vulnerable (Gasman & Tudico, 2008). During Reconstruction prior to the 1900s, visionary blacks such as Booker T. Washington, James C. Price, Mary McLeod Bethune and Elizabeth E. Wright founded private HBCUs (Mbajekwe, 2006).

Under the same rationale that led to the establishment of the Morrill Act of 1862 – opening higher education to a larger population and aiding in the building of a more industrialized country – the federal government, through a legislative act of the U.S. Congress,

enacted a Second Morrill Act in 1890 to establish public colleges for African Americans (Gasman & Tudico, 2008; Mbajekwe, 2006). The act effectively denied federal funding for those states practicing segregation in their public colleges and universities that did not establish land-grant colleges in agriculture and mechanics for African Americans (Gasman & Tudico, 2008; Mbajekwe, 2006; Sullivan, 1969).

Amid the Jim Crow laws of segregation, HBCUs, both private and public, became the fundamental engines for African American progress in the United States (Mbajekwe, 2006). They were the only colleges that provided access to postsecondary education to a generation of newly emancipated African Americans (Lovett, 2011; Mbajekwe, 2006; Anderson, 1988). Consequently, the educational progress that they produced effectively established a political, social and economic foundation for African Americans (Lovett, 2011; Mbajekwe, 2006). Throughout the Jim Crow period, primary and secondary school teachers received their training from HBCUs and then educated African American children in segregated elementary and secondary schools (Anderson, 1988). The rise of HBCUs and their impact were dramatic after the Civil War ended. In 1861, at least 90% of all African Americans were illiterate and only 28% had received college training (Mbajekwe, 2006). By 1925, at least 100 HBCUs had been established and only 16% of African Americans were illiterate. By 1941, 37,000 African Americans were enrolled in HBCUs and that number doubled to 74,000 by 1950, less than 10 years later (Mbajekwe, 2006).

In the early half of the 20th century, northern philanthropist John D. Rockefeller Sr. created a group called the General Education Board designed to provide financial support to private historically black colleges. “Motivated by a desire to control the various forms of industry,” the group included white northern industrial philanthropists such as Andrew Carnegie,

James Baldwin, Julius Rosenwald and John Foster Peabody (Gasman, et al., 2010, p. 6). The group gave roughly \$63 million to black colleges (Gasman, et al., 2010; Anderson, 1988).

Despite their personal agendas, the funding structure that these industrial giants created was designed in part to control black education in ways that would benefit the industrial philanthropists by producing graduates skilled in the trades that served the industrialists' enterprises. (Gasman, et al., 2010, p. 6 – 7)

Against this unstable backdrop, HBCUs had a profound mission of establishing a foundational base for an entire race of people, which impeded its ultimate mission as a postsecondary academic institutions (Mbajekwe, 2006). Among other things, the impact of this responsibility effectively impeded the programmatic, demographic and economic growth of HBCUs (Mbajekwe, 2006).

The educational impact of this contentious state of race relations was that African American elementary and secondary education in the South was extremely underdeveloped. This, in turn, hindered the growth and development of black higher education institutions as generations of African Americans who were potentially capable of completing college-level work were denied the opportunity to obtain the prerequisite secondary training. (Mbajekwe, 2006, p. 6)

The U.S. Supreme Court's landmark 1954 *Brown v. Board of Education* decision to desegregate public education added to the dilemma of HBCUs, as anxiety spread over whether the institutions would ultimately survive (Gasman & Drezner, 2009; Mbajekwe, 2006). "By debating about the future of black colleges African Americans were also debating about their history, their culture, their freedom, as well as the future of the race" (Mbajekwe, 2006, p. 14). In the 1950s and 1960s, HBCU presidents such as Benjamin E. Mays of Morehouse College and Frederick D. Patterson of Tuskegee University spearheaded the effort to redirect national debate from the survival of HBCUs to a vision of redefining their missions beyond their race-based identity. Patterson, who founded the United Negro College Fund (UNCF) in 1944, and Mays, a UNCF board member and one of the leading African American intellectuals and visionaries of

the times, wanted HBCUs “to be built up” as academic institutions in order to attract white students. Black college leaders were pushing for innovative curricular changes and advancement amid the new era in higher education (Mbajekwe, 2006).

The Civil Rights era and the subsequent Black Power Movement acted as a counterbalance to the fears of losing HBCUs as a result of the Brown decision (Gasman & Drezner, 2009; Mbajekwe, 2006). Many black colleges were effectively safe havens for African American and white activists protesting racial injustice. Likewise, African American students at HBCUs became instrumental in the movement for racial equality, staging off-campus protests and marches, hosting on-campus speaking engagements for Civil Rights leaders, and housing strategy sessions for eventual protests (Lovett, 2011; Mbajekwe, 2006; Taylor, 1988). Many faculty members at HBCUs were advisers to their students, helping think through strategy and tactical decisions. Through curricular and co-curricular decisions, HBCUs provided students and the community with the intellectual foundation and substance for fighting racial injustice (Mbajekwe, 2006). Courses on black studies and social protests emerged, and the Black Pride movement took root on HBCU and predominately white campuses (Mbajekew, 2006). Notwithstanding, as new emphasis on HBCU campuses began to focus on the intellectual basis for the black pride movement, which later included the women’s rights movement, black colleges and universities failed to expand their identities beyond racial lines, which was precisely what Benjamin Mays and Frederick Patterson had advocated. Perhaps for that reason, HBCUs remained stifled in their abilities “to be built up” as academic institutions, both in terms of innovative curricular and robust structural changes in keeping with the enormous social, financial, and technological changes that had occurred in American higher education from the 1950s to the 1990s.

Going forward, HBCUs must “adapt to the changing environment of higher education in the twenty-first century” (Mbajekwe, 2006, p. 25). The institutions must preserve past struggles but become relevant in this new era. The changes must be both internal – curricular, administrative, and infrastructural, including issues of governance – and external, particularly fundraising (Mbajekwe, 2006).

HBCUs’ Disproportionate Contribution in American Higher Education

Though HBCUs make up only 3% of the nation’s institutions of higher learning, they grant 25% of the baccalaureate degrees awarded to African Americans (Minor, 2005). Moreover, three-fourths of African American PhDs earn their bachelor’s degrees from HBCUs, according to a report in a 2001 issue of Peabody Journal of Education. “Nationally, 85 percent of African American physicians, 75 percent of African American PhDs, 50 percent of African American engineers and 46 percent of African American business executives received either their undergraduate or graduate-level training at a historically black college” (Mbajekwe, 2006, p. 32). HBCUs enroll 16% and graduate about 20% of African Americans who attend college (Gasman, 2009). Though the critical value of HBCUs to American higher education has been well documented, the stability of this sector of higher education is facing extraordinary challenges (Palmer & Gasman, 2008).

HBCUs’ Financial Instability

The financial instability of HBCUs is acute. Of the 105 HBCUs, their combined endowment value is only \$1.6 billion, and 45% of that total comes from four private HBCUs: Howard University, Spelman College, Hampton University, and Morehouse College (Mbajekwe, 2006). Amid stark declines in state and federal appropriations for higher education, institutions are increasingly looking toward endowment earnings to recruit top students and faculty, and for

annual operating budgets. With inadequate endowments, HBCUs are limited in their abilities to compete for students, and sustain, build and start new programs (Gasman, 2009). The reasons why HBCUs have inadequate endowments are poor alumni-giving numbers – both in terms of the number who give and the amount given – and a lack of corporate, foundation and non-alumni support (Mbajekwe, 2006).

Poor and inadequate funding has crippling effects on HBCUs. As elite private PWIs and flag ship public universities use merit- and need-based scholarships to attract an increasing number of academically gifted African American students, HBCUs continue to lose “market-share” of a demographic that has historically attended their institutions (Mbajekwe, 2006). Moreover, as two-year and for-profit institutions continue to provide more access, cheaper tuition costs, and better conveniences for students needing to work, HBCUs continue to lose students at the academic margins (McPherson & Schapiro, 1998). Both of these troubling trends have profound financial implications in terms of decreased tuition revenue and a more difficult challenge for external fundraising. Indeed, many HBCU presidents view the imperative for outside fundraising as the leading challenge and biggest obstacle for HBCUs, the weight of which is causing many such presidents to retire early (Mbajekwe, 2006; Holmes, 2004).

HBCU Leadership and Governance

There is very little research specifically on HBCU college presidents or senior-level administrators (Holmes, 2004). There is, however, a fair amount of research on the lack of shared governance at HBCUs, and the small pool of African American academic administrators who could eventually become college presidents. The research that does exist specifically on HBCU presidents suggests that more data on African American presidents would assist in their present and future success, which could increase their absolute numbers. And, the impact of

increasing the numbers of African American presidents and senior-level administrators, and their success, could have positive implications on the institutions in which they serve.

Young (2008) asserts that HBCUs suffer from three critical issues: ineffective leadership, insufficient funds and funding; and a lack of shared governance. Phillips (2002) suggests that HBCUs lack some of the basic tenants of shared governance: 1) faculty representation on policy and decision-making; 2) academic hiring searches; 3) faculty grievances; 4) promotion, tenure, and post-tenure hearings and procedures; 5) evaluations of peers and administrators; 6) salary determination and other budgetary matters; 7) program development, review, and revisions; 8) development and revision of faculty handbooks; 9) access to information needed for decision making; and 10) the status of the faculty senate as a decision and policy-making unit. Phillips (2002) also asserts that policy decisions at HBCUs, including academic policy, flow from the top down – generally from deans and the president’s cabinet rather than the faculty senate and other faculty-led committees.

Both Gasman (2009) and Guy-Sheftall (2006) reiterate this recurring theme regarding the lack of shared governance at HBCUs, noting the success of those small number of HBCU presidents who have embraced shared governance.

Two presidents who stand out in their respect for faculty tenure and shared governance are Johnetta Cole, the former president of both Spelman College in Atlanta and Bennett College for Women in Greensboro, North Carolina, and Walter Kimbrough, the current president of Philander Smith College in Little Rock. ...Cole and Kimbrough exemplify leadership that respects faculty contributions and governance, the kind of leadership that is needed at HBCUs. (Gasman, 2009, 27-28)

In a study on HBCU presidents, Holmes (2004) examines the managerial behaviors of presidents and concluded that African American presidents at HBCUs perceived themselves to be disadvantaged when it came to fundraising and other matters pertaining to external affairs. In the study, African American presidents did not cloak their management behavior in racial terms,

yet they suggested that the broader community of higher education perceived them through a racial lens. In terms of management, particularly regarding governance, external funding from public and private sources, and relationship building, this dilemma became far more complex and potentially detrimental. Holmes cast these findings against the backdrop of limited data in higher education research on African American senior-level leadership and the fact that there is a small number of African American full-time administrators (8.9%) in the United States.

Indeed, other researchers have raised concerns about the future pool of presidential candidates for HBCUs. Traditionally, university presidents hold terminal degrees and come through the ranks of faculty, eventually serving as a department chair, dean, vice president, and/or provost (Jackson, 2004). Though that trajectory has slightly changed over the last decade, the vast majority of college presidents have still followed the traditional path (Chandler, 2006). However, the number of executive-level African American administrators who have served as chair, dean, vice president, and/or provost remains relatively small and static. In 1993, African Americans in these executive-level positions represented only 6.8%, while whites holding such positions represented 89.2%. By 1999, the number of African American executive-level administrators remained relatively constant – climbing only to 7.3%, a less than 1% increase (Jackson, 2004). Perhaps not surprisingly, according to 2002 data, the percentage of black college presidents at postsecondary institutions was only 6.3%, which included presidents at HBCUs (Jackson, 2004).

Leadership Theories in American Higher Education

Leadership theories in American higher education have focused on two primary subjects: people – principally the college president – and structures. As early as 1948, leadership research focused on the characteristics and attributes of successful leaders (Stodgill, 1948). By the 1960s,

as universities became increasingly more complex, leadership research tended to deemphasize the importance of presidential leadership, instead focusing on structures and governance models. Though both structure and governance models included the role of university and college presidents, the research focused on examining and developing organizational and cultural structures within which all employees function. By the 1980s, leadership research on university presidents reemerged, suggesting that presidents were of significant importance in the direction and success of colleges and universities. The research again examined the characteristics, attributes and leadership styles of effective presidents. Alongside such research, more studies began to draw distinctions between presidents who are leaders versus those who are managers, introducing corporate business models. Benis (1991) suggested that leaders transcended boundaries while managers worked within them.

Today, among the leadership theories is Bass' extensive differential research on what he calls transformational and transactional leaders, terms defined and coined by Burns' 1978 book, *Leadership*. The leadership theory focuses on a leader's impact on his or her followers (Bass, 1985). Burns defined transactional leader as those who motivated followers by "exchanging with them rewards for services rendered" and transformational leaders as those who motivate followers to "work for transcendental goals and for aroused higher-level needs for self-actualization rather than for immediate self-interest" (Bass, 1985, p. 11).

Research on Structure and Governance

The structural approaches, which emerged in the 1960s from researcher Clark Kerr and continued well into the 1980s, relied on professionalized, bureaucratic or matrix organizational models that focused on structural changes in organizational governance (Kerr, 2001; Birnbaum, 1988). The various models within the structural theories either focused on centralized structural

governance, which was defined by chain-of-command governance and a hierarchy, and decentralized structural governance that relied on informal decision making and consensus building (Birnbaum, 1988; Berdahl, 1991). In the 1970s, a theory called the “open systems theory” emerged, suggesting that the earlier theories had overlooked the impact of external factors, such as state legislatures (Kezar & Eckel, 2004; Mortimer & McConnel, 1991; Weick, 1979). Competing with that theory was Baldrige’s (1971) study on the “human side” of governance in *Power and Conflict* (1971), which suggested that policy, values and conflict emerge from people not structures. The “human relations” and “cultural” theories led to the gradual re-examination of presidential leadership in the context of governance (Cohen & March, 1986). By the 1980s, competing studies touted the importance of presidents versus structures and vice versa. Cohen and March’s study (1986) argued that the complexities of higher education, including issues of governance and decision making, diminished the influence of presidential leadership (Kezar & Eckel, 2004), while researchers produced findings suggesting that altering organizational structures did not guarantee outcomes (Schuster et al., 1994). Birnbaum’s major study (1985-89) focused on political aspects of governance, suggesting that culture, local context, history and values improved institutional governance, in stark contrast to 30 years of structural theories focusing on procedures (Kezar & Eckel, 2004). Studies emerged on shared governance models and cybernetics (Birnbaum, 1989). Cybernetic theory contended that governance within higher education works somewhat on autopilot, with critical triggers in place to warn institutional leaders when order is being disrupted (Birnbaum, 1989).

A 1996 report by the Association of Governing Boards of Universities and Colleges suggested that some trustees, legislatures, and higher education associates said that shared

governance limits an institution's agility and flexibility, "fostering a predisposition toward the status quo" (Schuster et al., 1994).

There has been a recent push for imposing corporate models to inform governance of higher education (Kezar & Eckel, 2004). However, studies of such approaches have suggested that corporate leadership models strictly applied to higher education tend to create internal issues and conflicts (Kezar & Eckel, 2004; Sporn, 1999).

Research on People and Presidents

Stogdill (1948) conducted a comprehensive survey that included 120 studies in which specific characteristics or traits were studied by three or more researchers. The conclusion was that effective leadership skills depended, to a large extent, on the situation in which leaders were placed to lead (Stogdill, 1948; Fincher, 2003). The personal traits surveyed by Stogdill were classified under six "general" headings: 1) capacity, 2) achievement, 3) responsibility, 4) participation, 5) status, and 6) situation (Fincher, 2003). However, when placed in the contexts of fulfilling "group or organizational expectations, four major traits for effective leadership emerged: 1) social and interpersonal skills, 2) technical skills, 3) administrative skills, and 4) intellectual skills.

As colleges and universities became more complex in the latter 20th century, researchers began drawing stark distinctions between managers and leaders (Benis, 1991). Whereas managers manage boundaries, leaders transcend boundaries and are innovative in their approaches. Although both functions are important to an institution, it is a common notion that leaders are the individuals who establish the culture and provide vision and meaning for an institution (Bryman, 1992; Benis, 1991; Roueche, Baker, & Rose 1989).

Vroom and Yetton's Normative Leadership Theory (1979) drew from this research but, as Stogdill (1948) suggested before, concluded that effective leadership styles were situational. Hence, they developed five situational leadership styles: two autocratic, two consultative, and one group-oriented" (Chliwniak, 1997).

In 1984, Bolman and Deal developed the four frames of reference theories, which became a common theoretical framework for organizational leadership (Chliwniak, 1997). Later, Birnbaum (1988) developed a fifth theory, called "cybernetics." Bolman and Deal's "Four Frames" of organizational leadership" include 1) structural frame in which the president has final authority and is seen as the "hero;" 2) the collegiums/human resource frame that stresses consensus, shared power where the president is regarded as the "first among equals;" 3) the political frame in which leaders mediate and negotiate between shifting political groups, and the president's power is based on control of information, and manipulation and expertise; and 4) the organized anarchy/symbolic frame in which the president is seen as a facilitator who brings a sense of organizational purpose and reinforces institutional culture within an ongoing process.

In 1991, Gallimore and McKee developed a leadership model based on faculty perceptions of their chief executive officers. The researchers characterized the styles in four ways: high task/high relationship; high task/low relationship; low task/high relationship; and low task/low relationship. The literature of leadership has primarily focused on leadership within the context of organizations (Chliwniak, 1997).

Birnbaum's fifth frame, The Cybernetic System, includes the bureaucratic, collegial, symbolic, and political frames with the consultation and communication processes as the

foundation (Birnbaum, 1988). Birnbaum (1988) notes that cybernetic institutions run themselves as leaders respond to disruptions as needed (Chliwniak, 1997; Birnbaum, 1988).

Based on “discourse analysis” of 32 college presidents, Neumann and Benison (1990) developed four categories, or “presidential types,” to help define how a president relates to internal and external constituents and situations, which ultimately influences his or her management style and, over time, the organizational culture. In this regard, the role of the president – which in this case is different from his or her functional responsibilities - is heavily driven by personality traits. The study’s findings suggest that presidents in general characterize their leadership roles in four distinct ways, which the researchers call “presidential types.” The researchers based the “presidential types” on how each president assessed his or her behavior in terms of the president’s “target of attention,” “mode of action,” and “relatedness to the institution.” The four presidential types characterize whether a president’s *target of attention* is with “internal or external” constituents; whether a president’s *mode of action* is to take “initiative or react;” and whether a president *relates to the institution* (and its constituents) in a “connected or distant” way.

Though the researchers explicitly indicated that presidents often exhibit more than one “presidential style,” the study does in fact correlate each “presidential type” with the general climate of the institution. For example, those presidents who exhibit “Presidential Type A” often govern in “stable” institutions and “their faculties seem relatively satisfied with few problems.” Presidents who exhibit “Presidential Type B” also lead “stable” institutions and “their faculties appear satisfied, and most praise their president highly.” Presidents who exhibit “Presidential Type C” lead “in the face of financial crisis, immediate or anticipated. Their faculty is either distressed or hopeful.” Last, presidents who exhibit “Presidential Type D” face or have “passed

through financial crisis, and the fear of a possible recurrence hangs in the air. Moreover, the morale of their faculty is generally described as poor.

...the sample presidents who are more *initiating* in their action and who are more *connected* to their institutions (reflecting type A and type B) govern in more stable settings. The presidents at the other end of the horizontal axis (reflecting types C and D in that they are more *reactive* in their mode of action and more *distant* in their relatedness to the institution) govern in settings that are less stable (Neumann & Benison, 1990, pp. 688-89)

In their research on diversity on college campuses, Hurtado et al. (1998) suggest that leadership is perhaps the most important factor in ensuring significant institutional change. In fact, in research on institutional governance conducted by Schuster et al. (1994), in which the researchers surveyed employees at 10 institutions, respondents said that leadership and leadership style had the most impact on governance effectiveness.

In the interdisciplinary literature, leadership, as a traditional definition, has been viewed as traits or qualities that effective leaders should have (Bass, 1981), the power and influence dynamics between leaders and followers (Burns, 1978) and the specific actions that individual leaders may take (Mintzberg, 1973).

College and university presidents are at the top of the leadership ladder and therefore have the authority that is critical to institutionalization (Birnbaum, 1992; Fisher, 1984). In regards to her diversity research, Kezar (2008), referencing other scholarship, said “presidents help create institutional commitment by relating a diversity agenda to the institutional mission or by including diversity in strategic planning and budget processes or establishing rewards and incentives.” Smith and Wolf-Wendel (2005) also suggest that president’s will power through board support and spearheading certain initiatives that set priority agendas.

Owens and Demb’s 2004 study illustrated the critical nature of presidential leadership in not only initiating change within an institution but, almost as significantly, determining to some

extent how that change is embraced and/or accepted by members of the institutional family. In particular, using a case study qualitative approach, Owens and Demb examined the organizational process by which a medium-sized, urban community college in the Midwest with an enrollment of 23,000 students, became a successful trailblazer for its “learner-center approach to education and integration of technology into pedagogy.”

One of the central findings that emerged from the study, which used a community college change model from Carter and Alfred (1998), was the significance of the college president in championing, supporting and funding the effort for technological integration. The president, in many respects, was the lynchpin for this successful integration and change.

Transformational and Transactional Leadership

Benison, Neumann, and Birnbaum (1989) define transformational leadership as leaders who appeal to followers “higher needs” and lead through inspiration, motivation and mutually beneficial rewards. Pulling from their “Six Leadership Theories” – trait, behavioral, power and influence, contingency, cognitive, and cultural/symbolic – Benison, Neumann, and Birnbaum classified transformational leadership within the power and influence theory. In explaining the power and influence theory, Kezar et al. (2006) suggests that “transformational leaders draw on charisma, visionary leadership, and authentic concern for others to influence and motivate followers” (Kezar et al., 2006, p. 9). DuBrin (1994) studied the theory of “transformational leadership,” a concept that interjected the notion of the charismatic leader. DuBrin (1994) noted that transformational leaders develop visions and then motivate their employees toward that vision. Moreover, transformational leaders use charisma and persuasion to overhaul the culture of an organization (DuBrin, 1994). Burns (1978), who is credited with developing the leadership theory of what he called “transforming” in his book *Leadership*, suggests that the role of ethics

and morals is critical in transformational leadership. Burns advanced his study on presidential leadership by developing a theory of comparing the similarities and differences between transformational leaders and what he called transactional leaders, characterized as managers who manage environments in which they inherit.

Bass (1985) developed a survey device to test transformational and transactional leadership. The survey instrument, called the Multifactor Leadership Questionnaire (MLQ), examines six main factors: Idealized Influence (formerly charisma), Inspirational Motivation, Individualized Consideration, Intellectual Stimulation, Contingent Reward, and Management by Exception (Bass, 2004).

Examining transformational and transactional leadership. Downton (1973) was the first to distinguish transformational leadership from transactional leadership (Avolio & Bass, 2004). However, Burns' 1978 seminal study on political leaders clearly outlined the distinction. According to Burns, political transactional leaders motivate by exchanging rewards for services rendered (Avolio & Bass, 2004). Concurrently, Zaleznik (1977) also produced research suggesting a similar finding with regards to transactional leadership among political leaders. Bass (1985a, 1985b) extended the definition of a transactional leader to the military, industrial, public, and educational sectors.

King (1994) noted that among the differences found between transformational and transactional leadership styles was that transformational leaders were identified with encouraging innovation while transactional leaders were more aligned with planning and policy. Tracey and Hinkin (1998) identified two themes that characterized transformational leaders: providing information in place of assumptions and promoting outside-the-box thinking.

But Bass and others recognized the potential danger of transformational leadership, namely the possible abuse of power within the leader-follower relationship (Bass & Steidlmeier, 1999; Conger & Kanungo, 1998). In addressing such dangers, Bass and Steidlmeier said that transformational leaders had to possess three essential pillars: 1) moral character, 2) ethical values, and 3) the morality of the processes of ethical choices.

Subsequent research suggested that transformational leadership qualities, analyzed by them, produced a higher-level of organizational effectiveness and follower satisfaction than transactional leadership styles (Dumdum et al., 2002; Lowe, Kroeck, & Sivasubramaniam, 1996). In what was believed to be the first meta-analysis of transformational and transactional leadership studies, Lowe, Kroeck, and Sivasubramaniam (1996) found that transformational leadership styles had the most positive impact on organizational effectiveness and satisfaction. A subsequent meta-analysis of the literature by Dumdum et al. (2002) confirmed this earlier finding. In 2004, after testing both transformational and transactional leadership theories in numerous studies and modifying the dimensions of transformational leadership beyond the dominant focus on charisma, Avolio and Bass concluded that transformational leadership styles incorporate what they called a “full-range of leadership styles” in contrast to a more narrower range of transactional leadership styles. The researchers further concluded that contemporary organizations, amid extraordinary changes in society, required the full range of leadership styles that transformational leaders typically possessed (Avolio & Bass, 2004).

A transformational leader differs from a transactional one by not merely recognizing associates’ needs, but by attempting to develop those needs from lower to higher levels of maturity. Transformational leaders engage the full person so that associates are developed into leaders. ...Transformational leadership encourages others to both develop and perform beyond standard expectations. (Avolio & Bass, 2004, p. 16)

But along with transformational and transactional leadership characteristics, Jaussi and Dionne (2004) suggested that other behaviors, namely what they called “unconventional leader behaviors,” also positively contributed to effectiveness in terms of increasing follower satisfaction and perception of effective leadership. The study further suggested that transformational and transactional leadership characteristics were not isolated from one another or the totality of effective leadership characteristics. In fact, Avolio and Bass (2004) recognized that transformational and transactional leadership qualities were often not mutually exclusive, and that both characteristics are often found in one leader.

In a 2001 study, Parry and Proctor-Thomson studied transformational and transactional leadership styles in terms of the different cultures each created within organizations, presumably taking on the characteristics of the organization’s leader. The researchers studied both theories in an extensive study of 6,025 managers in both private and public sector organizations, and they ultimately found that neither transformational nor transactional leadership cultures were mutually exclusive, but the research did suggest some differences between the two. For example, in transformational leadership cultures, the research did find a positive correlation between transformational leadership culture and organizational effectiveness (Parry & Proctor-Thomson, 2001). Conversely, transactional leadership cultures were negatively correlated with effectiveness measures. By contrast, transformational leadership cultures were found to have a negative correlation with perceptions of role conflicts within organizations. That is, the research suggested that employees in such organizations were more likely to have conflicts with others based on blurring lines of responsibilities (Parry & Proctor-Thomson, 2001). The research suggested, however, that transactional leadership cultures typically avoided such conflicts.

Perception of role conflict by respondent also correlated in expected directions with culture type. Role conflict correlated negatively and significantly with transformational

culture, while demonstrating significant positive correlations with transactional culture. ... Therefore, it is contended here that a 'pure' transactional culture in the terms that Avolio and Bass describe does not exist. Rather, transactional culture as currently described may be a multidimensional, complex and dynamic construct of culture (Parry & Proctor, 2001, pp. 119-120)

Measuring transformational and transactional leadership. Bass (1985) developed the multifactor leadership questionnaire to determine whether a leader exhibited the primary characteristics of a transformational or transactional leader. The survey instrument was initially tested in political and military settings, later expanding its use to private sector companies and universities and colleges. Since the survey instrument was developed 25 years ago, the MLQ has been used extensively in more than 30 countries in field and laboratory research: from Fortune 500 companies to government and nonprofit organizations to smaller firms in manufacturing, service and high-technology industries to secondary and postsecondary schools and colleges (Avolio & Bass, 2004). The most recent MLQ – developed in 2004 after 20 years of critiques and subsequent leadership studies – was designed to measure the “full range” of leadership styles not initially covered in the earlier versions (Avolio & Bass, 2004). Whereas the initial questionnaire paid significant attention to charismatic leadership characteristics, listing “charisma” as its first measure of transformational leadership, the current MLQ replaces charisma with an assessment of “idealized leadership” characteristics (Avolio & Bass, 2004), a distinction designed to more substantively explore a leaders’ ability to motivate.

The MLQ represents an effort on our part to capture a broader range of leadership behaviors, from laissez-faire to idealized leadership, while also differentiating ineffective from effective leaders. The MLQ focuses on individual behaviors, observed by associates at any organizational level that transform individuals and organizations. The questionnaire also assesses leadership behaviors that motivate associates to achieve agreed upon and expected levels of performance. (Avolio & Bass, 2004, p. 4)

Over the 25 years, Avolio and Bass (2004) also reduced the number of questions or items included in the questionnaire. The current MLQ includes 45 items, as opposed to earlier and longer versions that included 65 items and more (Avolio & Bass, 2004). The responses to the items “identify and measure key leadership and effectiveness behaviors shown in prior research to be strongly linked with both individual and organizational success” (Avolio & Bass, 2004, p. 12). Nine leadership behaviors are “measured by four highly inter-correlated items” (p. 12) and then defined as one of two leadership styles: transformational and/or transactional leadership. The current MLQ includes a third leadership style called passive/avoidant leadership, which includes a leadership behavior called “laissez-faire.” Traditionally, passive/avoidant leadership has been included as a characteristic of transactional leadership rather than a separate leadership style all together. Though this study examines the two larger and more established leadership styles – transformational and transactional – this researcher will indicate whether a leader in this study was found to exhibit passive/avoidant leadership characteristics.

The four transformational leadership factors in the MLQ are: 1) Idealized Influence (which consists of Idealized Attributes and Idealized Behaviors); 2) Inspirational Motivation, 3) Intellectual Stimulation, and 4) Individualized Consideration (Avolio & Bass, 2004). *Idealized Influence* occurs when leaders are viewed by associates in idealized ways, influencing associates to identify and support the leaders’ vision and mission (Avolio and Bass, 2004). Unlike the initial factor of charisma, idealized leaders are not idolized like some research suggested charismatic leaders were (Avolio & Bass, 2004). *Inspirational Motivation* occurs when leaders effectively articulate a shared vision and “a mutual understanding of what is right and important’ (Avolio & Bass, 2004, p. 27). *Intellectual Stimulation* occurs when leaders help associates think of “old problems in new ways,” encouraging associates to “question their own

beliefs, assumptions, and values, and, when appropriate, those of the leader, which may be outdated or inappropriate for solving current problems” (Avolio & Bass, 2004, p. 27).

Individualized Consideration occurs when leaders show concerns for the personal issues and development of each individual associate or employee (Avolio & Bass, 2004).

Two MLQ factors measure transactional leadership: 1) Contingent Reward, and 2) Management by Exception (Kirby, Paradise, & King, 1992). “*Contingent Reward* is the exchange of appropriate rewards for meeting agreed-upon objectives,” (Kirby, Paradise, & King, 1992, p. 304). *Management by Exception* is characterized by managers who “leave organizational members alone to do their jobs unless problems are perceived; only then will the manager correct, sanction, or criticize behavior” (Kirby, Paradise, & King, 1992, p. 304).

The current MLQ further divides *Management by Exception* into two smaller components: 1) active and 2) passive (Avolio & Bass, 2004). *Management by Exception (active)* (MBEA) occurs when corrective action is articulated by the leader and administered. *Management by Exception (passive)* occurs when action is not articulated and/or effectively avoided (Avolio & Bass, 2004).

Also, the current MLQ assesses a ninth behavior called passive/avoidant leadership. *Passive/avoidance leadership* occurs when leaders “react only after problems have become serious to take corrective action and may avoid making any decision at all” (Avolio & Bass, 2004, p. 48). An attribute of this leadership behavior is called “laissez-faire,” which describes a leader who effectively allows the organization to pilot itself (Avolio & Bass, 2004).

Finally, the MLQ includes three outcomes measured by associate responses: 1) extra effort, 2) effectiveness, and 3) satisfaction with the leadership (Avolio & Bass, 2004).

A five-point scale for rating the frequency of observed leadership behavior is used and bears a magnitude estimation based on a ratio of 4:3:2:1:0, according to a tested list of anchors provided by Bass, Cascio, and O'Connor (1974). The anchors used to evaluate the MLQ factors are presented as follows: 0=Not at all; 1=Once in a while; 2=Sometimes; 3=Fairly Often; and 4=Frequently, if not always. Raters completing the MLQ evaluate how frequently, or to what degree, they have observed the focal leader engage in 32 specific behaviors, while additional leadership items are ratings of attributions. These ratings of attributions are included in the four items in the idealized attributes scale. The behaviors and attributes form the nine components of transformational, transactional, or passive/avoidant leadership" (Avolio & Bass, 2004, p. 13).

The use of Bass's MLQ survey for assessing transformational and transactional leaders offers a number of advantages: 1) transformational and transactional leadership behaviors are simple to understand both in theory and practice; 2) the MLQ has been adequately tested to ensure reliability; and 3) the MLQ assesses perceptions of leadership effectiveness in both personal and intellectual development of self and others (Avolio & Bass, 2004).

Gender differences in workplace leadership. Research as early as the late 1990s began to emerge suggesting that women leaders possessed a greater propensity to exhibit transformational leadership qualities in comparison to their male counterparts. Maher (1997) and Oakley (2000) suggested in separate studies that women's leadership styles were more transformational. In 2004, Bass and Avolio reported a finding of a preliminary study using the multifactor leadership questionnaire suggesting that female leadership tended to score higher on transformational measures and lower on transactional leadership measures (Eagly, Johannesen-Schmidt & Van Engen, 2003). Similarly, a 2005 charismatic leadership study of 433 managers

and direct reports from four organizations suggested that women leaders demonstrated superior social and emotional competencies than their male counterparts (Groves, 2005).

However, along with those qualities, research also suggested that some women may have a far greater time articulating an independent identity outside the group. And a number of studies affirm the inequality of how women leaders are evaluated compared with their male counterparts. A 1998 study of 200 college students in an academic leadership class found that there were no differences between males and females in terms of how each gender perceived their abilities to be effective leaders (Townsend, 1998). However, the study found that females were more likely to not like competitive simulation activities compared to their male counterparts. More troubling to the author, however, was the fact that females had greater difficulties expressing their independence separate from others. The survey instrument used was the leadership skills inventory (LSI), developed at Iowa State University in 1980 by Carter and Townsend (Townsend, 1981). The LSI contained 21 statements describing various leadership and life skills. These statements corresponded to five internal scales for analysis. The five internal scales – 1) working with groups, 2) understanding self, 3) communicating, 4) making decisions, and 5) leadership. Responses were measured on a five-point Likert-type scale.

The study was conducted amid an emerging view of leadership that recognized a need for a more nurturing style of leadership, where shared vision, building community, dialogue and nurturing qualities were competing with the more traditional hierarchical masculine forms of leadership (Lee, 1994). In the end, the findings suggested that female college students flourished and developed better leadership skills in all-female environments (Townsend, 1998).

A different study of men and women in the workplace made a somewhat similar finding. Boatwright and Forrest (2001) found the women workers expressed a greater need for

relationship-oriented, worker-centered leadership behaviors that produced a greater connection to workers, leaders and organizations. The study was believed to be the first one of its kind to examine gender differences in needs for connection (Boatwright & Forrest, 2001).

Stelter (2002) outlined a series of studies in gender differences in leadership that suggest that superiors may rely on gender stereotypes and assumptions when evaluating male and female leadership effectiveness. In so doing, the research suggests that female leaders often received negative evaluations when their behaviors did not follow the superior's expectations of gender roles and behaviors (Gardiner & Tiggermann, 1999; Carless, 1998). A similar study suggested that such negative gender differences are likely to occur within a certain cultural and social status (Lucas & Lovaaglia, 1998).

Distinctions and similarities between public and private colleges. Governance and funding are the two most significant distinctions between public and private colleges (Thelin, 2004; Paulsen & Smart, 2001; Birnbaum, 1988.). However, both distinctions have significant impact on a number of other critical areas within the academy, from the curriculum to campus facilities to student and faculty legal rights (Thelin, 2004; Paulsen & Smart, 2001; Altbach, Berdahl, & Gumport, 1999; Birnbaum, 1986.). The similarities between the two are openly apparent: both institutional types exist to educate and graduate students; both offer similar academic majors and degrees; both have faculty who teach and administrators who manage the business-side of the academy; both are accredited by independent accrediting bodies; and both are influenced by internal and external stakeholders who make governance imperfect (Bess & Dee, 2008; Thelin, 2004; Altbach, Berdahl, & Gumport, 1999).

The distinctions, however, are critically important. Private colleges and universities pre-date public institutions by more than 200 years, when the U.S. Congress passed into law the

Morrill Act of 1862 (Thelin, 2004). The Morrill Act ushered in the creation of a public college in every U.S. state, starting with the University of North Carolina, Chapel Hill – more than 200 years after Harvard began in 1636 (Thelin, 2004). Unlike private colleges that were largely funded by wealthy philanthropists or religious groups, public universities were largely funded by the federal and state through tax dollars (Thelin, 2004; Paulson & Smart, 2001). For that reason, public colleges and universities were (and are) inextricably accountable to the state, in general, and taxpayers, in particular. The state’s financial support of public colleges and universities means that student tuition and fees are significantly less than private colleges and universities. By contrast, private colleges and universities are supported largely by private gifts – both by individuals and companies – and the significantly higher cost for student tuition and fees (Paulsen & Smart, 2001). For that reason, private colleges and universities are accountable largely to their privately selected Board of Trustees and, to a significant extent, major financial donors, students, and alumni.

In 1975, 83% of net revenues for public institutions came from federal, state and local governments (Paulsen & Smart, 2001). Of that 83%, 57% came from state appropriations (Paulsen & Smart, 2001). For private schools, 28% of net revenues came from public sources with 25% of that coming from government grants and contracts. Most of the net revenues – 72% – came from private sources, including 47% from net tuition and fees, 16% from private gifts and contracts, and 9% from endowment income (Paulsen & Smart, 2001). By 1995, those numbers changed. Public financial support for public colleges and universities decreased by 11 percentage points, including a 10% decrease in state appropriations (Paulsen & Smart, 2001). Conversely, private support for public colleges and university increased by 11 percentage points, including a 7% increase in net revenues from tuition and fees. For private institutions, net

funding sources also shifted. Public funding for private higher education dropped six percentage points from 1975, and private funding increased by six percentage points, including a 12% increase in net revenues from tuition and fees (Paulsen & Smart, 2001).

In addition to differences in funding, public and private colleges and universities are governed differently. At the highest level, public institutions are generally governed by a board whose members are appointed by the governor, state legislature or, at times, other board members (Mingle, 2005; Birnbaum, 1988). The board generally has oversight over all or some of the state colleges and universities in the state's system of higher education (Mingle, 2005). The board members often represent different locations in the state and are often graduates of the public institutions in the state or represent certain political interests (Mingle, 2005). By state law, the board is limited in its day-to-day involvement with the colleges under its purview, and the members serve within set term limits (Kaplan & Lee, 2007; Mingle, 2005). By contrast, private colleges and universities are governed by a privately selected board, commonly called a Board of Trustees, whose members are almost always selected by trustees themselves. Each individual private college or university has its own board, which is typically unlike public colleges. Private boards are also often comprised of some graduates of the college or university, and private board members are often expected to help raise money for the institution (Thelin, 2004; Altbach, Berdahl, & Gumport, 1999). The roles and regulations of boards of trustees of private colleges vary significantly. For example, some boards of private colleges have term limits for their trustees, while other boards, particularly those at smaller institutions, do not.

The differences in funding and governance between public and private colleges and universities impact other areas within these institutional types. Employees at public colleges are typically afforded the same employment rights and benefits as other state government

employees. By contrast, private colleges in general have greater flexibility in making decisions without the procedural demands of state government (Mingle, 2005; Birnbaum, 1988). The funding sources also impact the varying levels of external influence over a number of critical decisions made at colleges and universities. In general, significant external private funding from foundations, companies and individuals are influencing how programs and faculty are supported, what facilities to build or renovate, what students to financial support, and even the missions of some institutions (Slaughter & Rhoades, 2004; Bok, 2003; Steinberg, 2002; Sperber, 2000). Because private colleges and universities receive larger percentages of private funding, they are generally more susceptible to this kind of private influence. However, similar influences occur with large federal funding, particularly in science-driven disciplines, in which university administrators and faculty earmark larger percentages of operational funding for those programmatic areas that generate the largest amount of federal research funding (Slaughter & Rhoades, 2004; Bok, 2003; Altbach, Berdahl, & Gumpert, 1999),

Last, there are significant legal differences between how universities and university employees are treated under state and federal laws. The differences are not unlike those that exist in other public vs. private venues, companies and properties. In general, however, state and federal courts give considerable leeway to colleges and universities with regards to how they govern themselves, along as university actions do not violate federal anti-discrimination laws (Kaplin & Lee, 2007). Faculty hiring and firing at both private and public universities are largely decided by faculty and usually follow tenure policies and procedures aligned with the American Association of University Professors (Kaplin & Lee, 2007; Birnbaum, 1988). But some laws differ depending on whether the university is public or private. For example at public universities, courts have protected student newspapers' rights under the First Amendment's

guarantee of freedom of the press. By contrast, no such legal guarantee is afforded to student-led newspapers at private colleges and universities (Kaplan & Lee, 2007). Similarly, private colleges and universities are allowed to select their students based on various factors, including religion, gender and race (Kaplan & Lee, 2007).

CHAPTER III: RESEARCH METHODS

This research study used quantitative research to measure the attitudes of a select group of university and academic administrators to examine the extent to which HBCU presidents used transformational and transactional leadership. The study measured the sample populations' responses to Bass's (1985) Multifactor Leadership Questionnaire, a well-established, valid and reliable survey instrument that measures transformational and transactional leadership styles. The subjects of the survey were be mid- and senior-level central administrators and senior academic administrators of undergraduate programs at nine HBCUs – four public and five private. The HBCUs were be selected based on two criteria: 1) the institutions had to be among the Top 25 HBCUs listed in the 2012 rankings of *U.S. News & World Reports*; and 2) the presidents had to have served for at least three years as president.

Each survey participant was first contacted by e-mail to confirm his or her participation in the study. As part of the protocol, each participant was assured that both the name of their institution and their individual names would be anonymous, and their answers would be strictly confidential. Once the participant was contacted and electronically confirmed his or her participation, the participant was able to access the online survey instrument immediately. The questionnaire was be accompanied by detailed instructions about filling out and submitting the survey. The respondent was asked to electronically submit his or her completed survey within two weeks of receiving it.

Research Questions

The following research questions drove this study:

1. Is there a difference in means score between transactional vs. transformational leadership;
2. Is there a difference in means score between males and females with regards to leadership expectations;
3. Is there an association between active and passive leadership and a) public and private institutions, and b) male and female administrators;
4. Is there a difference in means score between public and private HBCUs in administrative concerns with regards to group success; and
5. Is there a difference in public vs. private in the means Idealized Influence scores?

Research Perspective

This research study used descriptive survey research to measure the attitudes of a select group of university and academic administrators toward the leadership of Historically Black Colleges and Universities. Survey research is an ideal quantitative device to measure the attitudes of certain groups of people toward an issue (Ary, Jacob, & Sorensen, 2010). “In survey research, investigators ask questions about peoples’ beliefs, opinions, characteristics, and behavior” (Ary, Jacob, & Sorensen, 2010, p. 372). Surveys are often used in studies in the social sciences, including education, and the findings are often used to make policy decisions in various arenas, from government to health to education (Ary, Jacob, & Sorensen, 2010). In this case, this study examined what type of presidential leaders were leading nine HBCUs, based on the responses of the presidents’ middle and senior managers.

Research Design

The design selected for the investigation was a cross-sectional survey of intangibles. Cross-sectional design involves collecting data at one point and time from a cross section of respondents (Ary, Jacob, & Sorensen, 2010). This study surveyed a cross section of HBCU central administrators and senior academic administrators. The study was a survey of intangibles because the study measured intangibles such as “attitudes, opinions, values, or other psychological and sociological constructs” (Ary, Jacob, & Sorensen, 2010, p. 375). The study measured the sample populations’ responses to the Multifactor Leadership Questionnaire regarding their attitudes about HBCU leadership.

Population and Sample

The subjects were central and academic administrators of nine HBCUs – four public and five private. The HBCUs were selected based on two criteria: 1) they had to be listed among the Top 25 HBCUs according to the 2012 *U.S. News & World Report* rankings, and 2) the current president had to have served at least three years in office. These two criteria provided some objective measurement for inclusion and, at least, suggested three things: 1) the institutions were currently among the best HBCUs in the nation, which may or may not have been based on the quality of their presidents; 2) the three-year presidential tenure requirement sought to assure that the respondents, on balance, had adequate time to interact with the president; and 3) by implication, the *U.S. News & World Report* ranking was conceivably due in part to the leadership of the sitting president. Each of these points made these nine HBCUs particularly appropriate for a transformational and transactional leadership study because the findings would be within the context of relatively stable institutions, which could provide valuable insight for future studies.

The central administrators who were asked to participate in the study were middle and senior-level administrators with the following titles, or complimentary variations of these titles: director, registrar, assistant vice president, associate vice president, vice president, chief of staff, chief information officer, special assistant to the president, executive vice president, and provost. The academic administrators of undergraduate programs held the following titles: dean, associate dean, and assistant dean.

The nine institutions were as follows: Institution A, (public); Institution B, (public); Institution C (public); Institution D, (public); Institution E, (private); Institution F (private); Institution G, (private); Institution H (private); Institution I (private). Among these nine institutions, there were 483 subjects who were be asked to participate in the survey (see Table 1).

Table 1

Participating Institutions

Institution	Sample Population
Institution A	17
Institution B	112
Institution C	51
Institution D	52
Institution E	43
Institution F	53
Institution G	26
Institution H	78
Institution I	51
TOTAL	483

Research Instrument

Multifactor Leadership Questionnaire (MLQ) is a 45-item questionnaire, consisting of nine leadership behaviors and three outcome scales (Avolio & Bass, 2004). Nine leadership

behaviors are “measured by four highly inter-correlated items” (p. 12) and then defined as one of two leadership styles: transformational and/or transactional leadership.

A five-point scale for rating the frequency of observed leadership behavior was used and bears a magnitude estimation based on a ratio of 4:3:2:1:0, according to a tested list of anchors provided by Bass, Cascio, and O’Connor (1974). The anchors used to evaluate the MLQ factors were presented as follows: 0=Not at all; 1=Once in a while; 2=Sometimes; 3=Fairly Often; and 4=Frequently, if not always.

Raters completing the MLQ evaluate how frequently, or to what degree, they have observed the focal leader engage in 32 specific behaviors, while additional leadership items are ratings of attributions. These ratings of attributions are included in the four items in the idealized attributes scale. The behaviors and attributes form the nine components of transformational, transactional, or passive/avoidant leadership. (p. 13)

Data Collection Procedures

Each survey participant was first contacted by e-mail to confirm his or her participation in the study. Each participant was assured that both the name of their institution and their individual names would be anonymous, and their answers were strictly confidential. Once the participant was contacted and confirmed his or her participation, the participant was asked to click on a link to immediately access the online survey. The survey asked participants to provide their gender and whether their institution was private or public.

Data Analysis

The data was analyzed using two statistical methods: T-tests and multiple linear regressions. The dependent sample t-test assessed differences of two scores when they were matched on the same characteristics. The independent sample t-test looked at a score by two independent groups. An assumption of the t-test, for both independent and dependent t-tests, was that the observations were normally distributed (Dawson & Trapp, 2004). Another assumption of

the independent t-test was that the variances of the populations to be compared were equal (Dawson & Trapp, 2004). The equality or non-equality of variances was determined for each independent samples t-test using the Levene Statistic for the Test of Homogeneity of Variances (NIST/SEMATECH e-Handbook of Statistical Methods, 2010). For independent t-tests, when the test statistic was non-significant ($p < .05$), equal variances were assumed. Similarly, for independent t-tests, when the test statistic was significant ($p > .05$), the T-test was performed using a calculation that did not assume equal variances. While results of these bivariate analyses provided direct comparisons, one research question required linear regression analysis to account for other variables that may have affected the difference in means. The data was submitted electronically to a Mind Garden-developed software database, and a statistician ran t-tests (independent and dependent) and linear regression tests to determine whether there were statistically significant differences or associations in the variables being analyzed. Mind Garden is the company that owns the survey instrument.

For research questions one, two, four, and five, T-tests were performed. Question one contained two dependent variables, one dependent variables per t-test. (If the data was not normally distributed, then this researcher used the appropriate non-parametric test.) In research question one, the two dependent variables were those survey items (subscales) that measured transactional and transformational leadership as a whole (i.e., transactional leadership items 1, 11, 16, 35; 4, 22, 24, 27, which were Contingent Reward and Management by Exception subscales and transformational leadership items, 10, 18, 21, 25; 6, 14, 23, 34; 9, 13, 26, 36; 2, 8, 30, 32; 15, 19, 29, 31, which were measured by Idealized Attributes, Idealized Behaviors, Inspirational Motivation, Intellectual Stimulation, and Individual Consideration subscales.) In research question two, the independent variable was gender and the dependent variables was the

survey items that specifically measured Individual Consideration and Contingent Reward subscales, and a combination of the two (i.e., items 15, 19, 29, 31, and items 1, 11, 16, 35, and 1, 11, 15, 16, 19, 29, 31, 35). In research question four, the independent variable was institutional type and the dependent variable were the survey items that measured group success (i.e., items 10, 18, 21, 25, 6, 14, 23, 34, 2, 8, 30, 32, 15, 19, 29, 31.) In research question five, the independent variable was institutional type and the dependent variable were the survey items that measured Idealized Influence (i.e., items 10, 18, 21, 25, 6, 14, 23, 34).

To answer research question three, two multiple linear regression tests were appropriate to account for other variables that may have affected the difference in means (See Table 2). The two independent variables were institutional type and gender and the dependent variables were those survey items that measured active and passive leadership styles (i.e., composite answers to items 4, 22, 24, 27 for active, and items 3, 12, 17, 20 for passive). Multiple linear regressions were the appropriate tests because the research question sought to understand whether the respondents' gender or institutional type was a predictor of active and passive leadership scores.

Prior to analysis, Cronbach's alpha test for reliability (Ary, Jacob, & Sorensen, 2010) was conducted for each subscale (i.e., Contingent Reward, Individualized Considerations, Idealized Attributes, etc.) Each subscale was created by the average of the combined corresponding survey items (see Table 2).

Table 2

Research Question Assessments

Research Questions	Variables	Items	Test
Is there a difference in means score between transactional vs. transformational leadership?	DV: Transactional Leadership (<i>measured by Contingent Reward and Management by Exception-Active subscales</i>) Transformational Leadership (<i>measured by Idealized Attributes, Idealized Behaviors, Inspirational Motivation, Intellectual Stimulation, and Individual Consideration subscales</i>)	1, 11, 16, 35; 4, 22, 24, 27 10, 18, 21, 25; 6, 14, 23, 34; 9, 13, 26, 36; 2, 8, 30, 32; 15, 19, 29, 31	Dependent T-test
Is there a difference in means score between males and females with regards to leadership expectations?	IV: Gender (<i>male & female</i>) DV: 1. Transformational (<i>measured by Individualized Consideration subscale</i>) 2. Transactional (<i>measured by Contingent Reward subscale</i>) 3. Combined	15, 19, 29, 31 1, 11, 16, 35 1, 11, 16, 35, 15, 19, 29, 31	Independent T-test
Is there an association between active and passive leadership and 1) public and private institutions, and 2) male and female administrators?	IV: Institutional type (<i>public & private HBCUs</i>) Gender (<i>male & female</i>) DV: Active Leadership (<i>measured by Management by Exception-Active</i>) Passive Leadership (<i>measured by Management by Exception- Passive</i>)	4, 22, 24, 27 3, 12, 17, 20	Multiple Linear regression
Is there a difference in means score between public and private HBCUs in administrative concerns with regards to group success?	IV: Institutional type (<i>public & private HBCUs</i>) DV: Group Success (<i>measured by Idealized Influence, Individualized Consideration, and Intellectual Stimulation subscales</i>)	10, 18, 21, 25, 6, 14, 23, 34, 2, 8, 30, 32, 15, 19, 29, 31	Independent T-test
Is there a difference in public vs. private in the means idealized influence scores?	IV: Institutional type (<i>public & private HBCUs</i>) DV: (measured by Idealized Influence subscale)	10, 18, 21, 25, 6, 14, 23, 34	Independent T-test

Bias and Error

Because surveys of intangibles measure inexact things such as attitudes, they only indirectly measure the variables that “they are concerned about,” (Ary et al., 2010, p. 376). An advantage of cross-sectional surveys is that they are inexpensive to conduct and not time-consuming. Conversely, since cross-section surveys involve sampling, there is always a chance that there are differences between samples, which may cause bias. Moreover, in nonprobability sampling in which samples are not randomly selected, “there are no assurances that every element of the population has a chance of being included” (Ary et al., 2010, p. 376).

Reliability and Validity

In terms of the reliability of the multifactor leadership questionnaire, the extensive use of this survey device in measuring what it intends to measure suggests that the survey is really measuring what it is supposed to measure. In terms of the validity of the responses, the cover letter, or instructions, that accompanied the questionnaire affirmed the confidentiality of the institution and the individual in order to elicit truthful responses. Notwithstanding, as is the case with any survey analysis, the honesty of the respondents is difficult to assure (Ary et al., 2010).

Limitations

Because surveys of intangibles measured inexact things such as attitudes, they only indirectly measured the variables that “they are concerned about,” (Ary et al., 2010, p. 376). Moreover, since the cross-section surveys involved sampling, there was always a chance that there were differences between samples, which may have caused bias. In nonprobability sampling in which samples are not randomly selected, “there are no assurances that every element of the population has a chance of being included” (Ary et al., 2010, p. 376).

Though the research findings pulled from representatives from both private and public universities, both large and small, the findings may oversimplified the unique cultures that existed within each individual historically black college or university.

Assumptions

Regardless of size, institutional type, or geographic region, HBCUs are more culturally homogeneous than not, sharing a common mission and a common set of obstacles, namely lack of resources, a generally disadvantaged student population, an increasing challenge to recruit and retain exceptional students and faculty, and the troubles associated with decreases in federal and state appropriations and small levels of alumni financial support. These obstacles are not unlike those at predominately white institutions but are set against the unique culture of HBCUs rooted in their historical evolution in American higher education. That culture defines how HBCUs address and adapt to the obstacles outlined above.

CHAPTER IV:

RESULTS

Chapter IV presents the results from this study. Results are presented in four sections: data screening; descriptive statistics; findings from the research questions; and the summary.

Chapter IV provides results of the survey and demographic data on the respondents and addresses five research questions:

1. Is there a difference in means score between transactional vs. transformational leadership;
2. Is there a difference in means score between males and females with regards to leadership expectations;
3. Is there an association between active and passive leadership and a) public and private institutions, and b) male and female administrators;
4. Is there a difference in means score between public and private HBCUs in administrative concerns with regards to group success; and
5. Is there a difference in public vs. private in the means idealized influence scores?

Data Screening

Out of the total 483 subjects in the population within the nine HBCUs, 123 participants responded to the survey. However, four of those 123 participants offered no consent in the study, and thus data was examined from the responses of the remaining 119 participants, creating a response rate of 25%.

Due to missing data that was handled by listwise removal, there were different realized sample sizes across the research questions examined in the study. Data was screened for univariate outliers on the continuous variables of interest in the study: Contingent Reward scores, Individual Consideration scores, transactional scores, transformational scores, Management by Exception (active and passive) scores, combined scores, group success scores, and Idealized Influence scores. Univariate outliers were defined as the standardized values, or z scores, above 3.29 or below -3.29 (Tabachnick & Fidell, 2012). Three univariate outliers were found in the data set and these outlying scores were removed from the study. One outlier from transformational scores (ID 44 – outlying score is 1.20), one outlier from Management by Exception - Passive scores (ID 3 – outlying score is 3.30), and one outlier from Inspirational Motivation scores (ID 94 – outlying score is 0.30). Outliers can skew the interpretation of what the average score is for X variable. Outliers are suggested to be removed from data to avoid this skewness on the variable. This is commonly done on continuous variables of interest in studies (Tabachnick & Fidell, 2012).

Descriptive Statistics

There was an approximately equal number of male (61, 51%) and female (58, 49%) participants in the study, as well as those in the private institution (60, 50%) and public institution (59, 50%). Frequencies and percentages for participants' demographics are presented in Table 3; frequencies are visually presented in Figure 1.

Table 3

Frequencies and Percentages for Participants' Demographics

Demographic	<i>N</i>	% out of 119	% out of 483
Gender			
Male	61	51	13
Female	58	49	12
Institutional type			
Private	60	50	12
Public	59	50	12

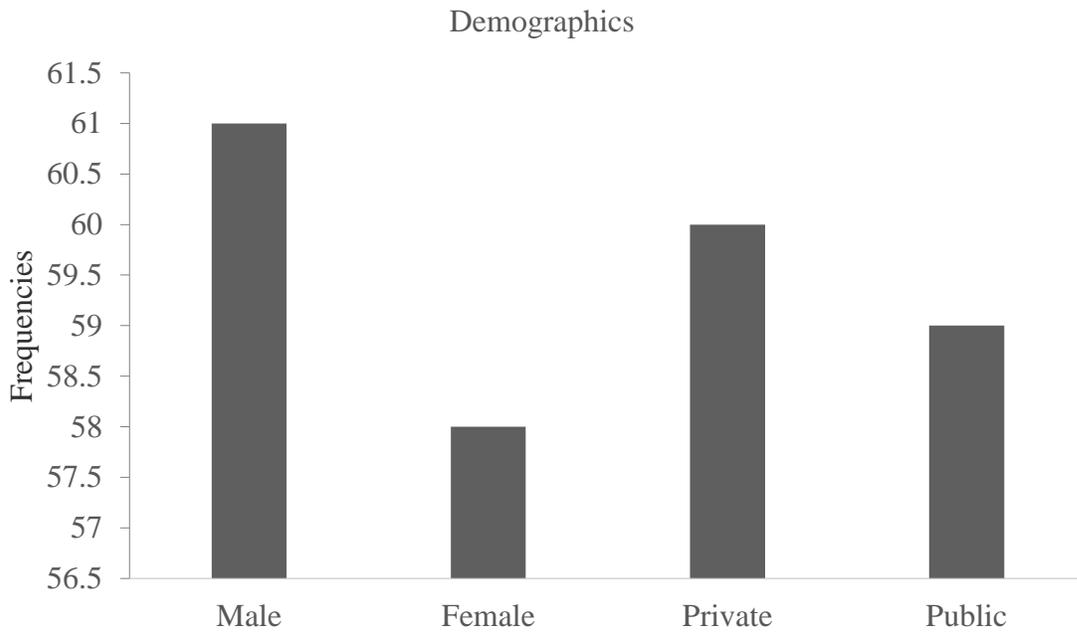


Figure 1. Frequencies on gender and institutional type.

Nine variables of interest were examined in the study: Contingent Reward scores, Individual Consideration scores, transactional scores, transformational scores, Management by Exception (active and passive) scores, combined scores, group success scores, and Idealized Influence scores. Each score (except for combined and group success) was computed by Mind Garden and was composed from the Likert-scaled *Multifactor Leadership Questionnaire* (MLQ),

where responses ranged from 0 = not at all to 4 = frequently, if not always; alpha reliability analysis of these scales can be found in Tables 2 – 11 below. Contingent Reward scores were computed by taking the average of MLQ survey items 1, 11, 16, and 35. Individual Consideration scores were computed by taking the average of MLQ survey items 15, 19, 29, and 31. Transformational scores were computed by taking the average of MLQ survey items 10, 18, 21, 25, 6, 14, 23, 34, 9, 13, 26, 36, 2, 8, 30, 32, 15, 19, 29, and 31. Transactional scores were computed by taking the average from MLQ survey items 1, 11, 16, 35, 4, 22, 24, and 27. Combined scores (not computed from Mind Garden) were computed by taking the average of MLQ survey items 1, 11, 16, 35, 15, 19, 29, and 31. Management by Exception - Active scores were computed by taking the average of MLQ survey items 4, 22, 24, and 27. Management by Exception - Passive scores were computed by taking the average of MLQ survey items 3, 12, 17, and 20. Group success scores (not computed from Mind Garden) were computed by taking the average of MLQ survey items 6, 10, 14, 18, 21, 23, 25, 34, 15, 19, 29, 31, 2, 8, 30, and 32. Idealized Influence scores were computed by taking the average of MLQ survey items 6, 10, 14, 18, 21, 23, 25, and 34. Cronbach's alpha tests of reliability (Ary, Jacob, & Sorensen, 2010) were conducted on the nine variables of interest; one test per composite score. The Cronbach's alpha reliability coefficients (α) were evaluated using the guidelines suggested by George and Mallery (2010) where $> .9$ excellent, $> .8$ good, $> .7$ acceptable, $> .6$ questionable, $> .5$ poor, $\leq .5$ unacceptable.

All MLQ scales and sub-scales (except for combined and group success scores) were created by Mind Garden; the researcher had no decision making in these aforementioned scales. For each scale (composite variable), the researcher conducted Cronbach's alpha if item was

deleted. These values represent what the scale's reliability would be if an item was deleted from the scale's composition.

Of the nine variables, transformational scores had the largest reliability coefficient ($\alpha = .93$), followed by group success scores ($\alpha = .92$); their reliability coefficients indicated excellent reliability. Management By Exception - Passive scores had the smallest reliability coefficient ($\alpha = .67$), followed by transactional scores ($\alpha = .69$); their reliability coefficients indicated questionable reliability. The reliability coefficients on the nine variables of interest are presented in Table 4; reliability coefficients are visually presented in Figure 2.

Table 4

Cronbach's Alpha Tests of Reliability on the Nine Variables of Interest

Variable	No. of items	Cronbach's α
Contingent Reward	4	.81
Individual Consideration	4	.79
Transformational	20	.93
Transactional	8	.69
Combined	8	.88
Management-By-Exception – Active	4	.77
Management-By-Exception – Passive	4	.67
Group Success	16	.92
Idealized Influence	8	.89

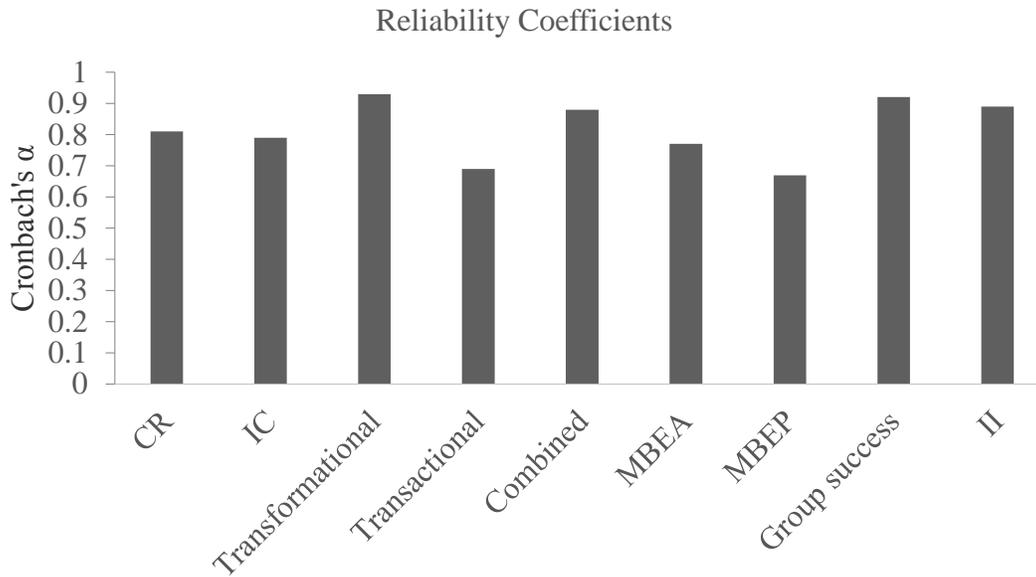


Figure 2. Cronbach's alpha reliability coefficients on the nine variables of interest. CR = Contingent Reward. IC = Individual Consideration. MBEA = Management by Exception – Active. MBEP = Management by Exception – Passive. II = idealized Influence.

Transformational scores were composed from the average of the items that make up Idealized Influence, Individual Consideration, Intellectual Stimulation, and MLQ items 9, 13, 26, and 36; items 9, 13, 26, and 36 make up inspirational motivation.

Table 5 outlines what the alpha reliability for transformational leadership would be if each individual item was deleted. Only the removal of survey item 29 indicated a higher reliability if it was deleted for transformational leadership. The alpha reliability would have increased from .93 to .94. In order to keep the instrument as similar as possible to the way it has been used in previous iterations by other researchers, this researcher did not remove survey item.

Table 5

Cronbach's Alpha if Item Deleted for Transformational Reliability

Item	Alpha (α) if Item Deleted
MLQ – 10 (The president instills pride in others for being associated with him/her.)	.93
MLQ – 18 (The president goes beyond self-interest for the good of the group.)	.93
MLQ – 21 (The president acts in ways that build others' respect for him/her.)	.93
MLQ – 25 (The president displays a sense of power and confidence.)	.93
MLQ – 6 (The president talks about his/her most important values and beliefs.)	.93
MLQ – 14 (The president specifies the importance of having a strong sense of purpose.)	.93
MLQ – 23 (The president considers the moral and ethical consequences of decisions.)	.93
MLQ – 34 (The president emphasizes the importance of having a collective sense of mission.)	.93
MLQ – 9 (The president talks optimistically about the future.)	.93
MLQ – 13 (The president talks enthusiastically about what needs to be accomplished.)	.93
MLQ – 26 (The president articulates a compelling vision of the future.)	.93
MLQ – 36 (The president expresses confidence that goals will be achieved.)	.93
MLQ – 2 (The president re-examines critical assumptions to question whether they are appropriate.)	.93
MLQ – 8 (The president seeks differing perspectives when solving problems.)	.93
MLQ – 30 (The president gets others to look at problems from many different angles.)	.93
MLQ – 32 (The president suggests new ways of looking at how to complete assignments.)	.93
MLQ – 15 (The president spends time teaching and coaching.)	.93
MLQ – 19 (The president treats others as individuals rather than just as a member of a group.)	.93
MLQ – 29 (The president considers an individual as having different needs, abilities, and aspirations from others.)	.94
MLQ – 31 (The president helps others to develop their strengths.)	.93

Note. Cronbach's alpha for Transformational is $\alpha = .93$.

Transactional scores were composed from the average of the items that make up Contingent Reward and Management by Exception – Active.

Table 6 outlines what the alpha reliability for transactional leadership would be if each individual item was deleted. No values indicated a higher reliability if an item was deleted for transactional.

Table 6

Cronbach’s Alpha if Item Deleted for Transactional Reliability

Item	Alpha (α) if Item Deleted
MLQ – 4 (The president focuses attention on irregularities, mistakes, exceptions and deviations from standards.)	.63
MLQ – 22 (The president concentrates his/her full attention on dealing with mistakes, complaints, and failures.)	.65
MLQ – 24 (The president keeps track of all mistakes.)	.66
MLQ – 27 (The president directs his/her attention toward failures to meet standards.)	.67
MLQ – 1 (The president provides others with assistance in exchange for their efforts.)	.68
MLQ – 11 (The president discusses in specific terms who is responsible for achieving performance targets.)	.67
MLQ – 16 (The president makes clear what one can expect to receive when performance goals are achieved.)	.67
MLQ – 35 (The president expresses satisfaction when others meet expectations.)	.69

Note. Cronbach’s alpha for transactional is $\alpha = .69$.

Combined scores were composed from the average of the items that make up Contingent Reward and Individual Consideration.

Table 7 outlines what the alpha reliability would be for “combined” scores of Individual Consideration and Contingent Reward if each individual item was deleted. No values indicated a higher reliability if the combined items were deleted.

Table 7

Cronbach's Alpha if Item Deleted for Combined Reliability

Item	Alpha (α) if Item Deleted
MLQ – 1 (The president provides others with assistance in exchange for their efforts.)	.85
MLQ – 11 (The president discusses in specific terms who is responsible for achieving performance targets.)	.86
MLQ – 16 (The president makes clear what one can expect to receive when performance goals are achieved.)	.87
MLQ – 35 (The president expresses satisfaction when others meet expectations.)	.86
MLQ – 15 (The president spends time teaching and coaching.)	.86
MLQ – 19 (The president treats others as individuals rather than just as a member of a group.)	.86
MLQ – 29 (The president considers an individual as having different needs, abilities, and aspirations from others.)	.88
MLQ – 31 (The president helps others to develop their strengths.)	.84

Note. Cronbach's alpha for combined is $\alpha = .88$.

Management By Exception – Active scores were composed from the average of MLQ survey items 4, 22, 24, and 27.

Table 8 outlines what the alpha reliability for Management By Exception - Active would be if each individual item was deleted. No values indicated a higher reliability if an item was deleted for Management By Exception - Active. Management By Exception – Passive scores were composed from the average of MLQ survey items 3, 12, 17, and 20.

Table 8

Cronbach's Alpha if Item Deleted for Management by Exception – Active

Item	Alpha (α) if Item Deleted
MLQ – 4 (The president focuses attention on irregularities, mistakes, exceptions and deviations from standards.)	.76
MLQ – 22 (The president concentrates his/her full attention on dealing with mistakes, complaints, and failures.)	.66
MLQ – 24 (The president keeps track of all mistakes.)	.68
MLQ – 27 (The president directs his/her attention toward failures to meet standards.)	.75

Note. Cronbach's alpha for Management By Exception-Active is $\alpha = .77$.

Table 9 outlines what the alpha reliability for Management By Exception - Passive would be if each individual item was deleted. Only the removal of survey item 17 indicated a higher reliability if it was deleted for Management By Exception-Passive. Reliability would have increased from .67 to .72. In order to keep the instrument as similar as possible to the way it has been used previously, this researcher did not remove the survey item.

Table 9

Cronbach's Alpha if Item Deleted for Management by Exception – Passive

Item	Alpha (α) if Item Deleted
MLQ – 3 (The president fails to interfere until problems become serious.)	.60
MLQ – 12 (The president waits for things to go wrong before taking action.)	.54
MLQ – 17 (The president shows that he/she is a firm believer in “if it ain't broke, don't fix it.”)	.72
MLQ – 20 (The president demonstrates that problems must become chronic before he/she takes action.)	.53

Note. Cronbach's alpha for Management By Exception-Passive is $\alpha = .67$.

Group success scores were composed from the average of the items that make up Idealized Influence, Individual Consideration, and MLQ items 2, 8, 30, and 32; items 2, 8, 30, and 32 make up Intellectual Stimulation.

Table 10 outlines what the alpha reliability for group success would be if an individual item of Idealized Influence, Individual Consideration, and Intellectual Stimulation was deleted. No values indicated a higher reliability if an item was deleted for group success.

Table 10

Cronbach's Alpha if Item Deleted for Group Success

Item	Alpha (α) if Item Deleted
MLQ – 10 (The president instills pride in others for being associated with him/her.)	.91
MLQ – 18 (The president goes beyond self-interest for the good of the group.)	.91
MLQ – 21 (The president acts in ways that build others' respect for him/her.)	.91
MLQ – 25 (The president displays a sense of power and confidence.)	.92
MLQ – 6 (The president talks about his/her most important values and beliefs.)	.92
MLQ – 14 (The president specifies the importance of having a strong sense of purpose.)	.91
MLQ – 23 (The president considers the moral and ethical consequences of decisions.)	.91
MLQ – 34 (The president emphasizes the importance of having a collective sense of mission.)	.91
MLQ – 15 (The president spends time teaching and coaching.)	.92
MLQ – 19 (The president treats others as individuals rather than just as a member of a group.)	.91
MLQ – 29 (The president considers an individual as having different needs, abilities, and aspirations from others.)	.92
MLQ – 31 (The president helps others to develop their strengths.)	.91
MLQ – 2 (The president re-examines critical assumptions to question whether they are appropriate.)	.92
MLQ – 8 (The president seeks differing perspectives when solving problems.)	.91
MLQ – 30 (The president gets others to look at problems from many different angles.)	.91
MLQ – 32 (The president suggests new ways of looking at how to complete assignments.)	.91

Note. Cronbach's alpha for group success is $\alpha = .92$.

Idealized Influence scores were composed from the average of MLQ survey items 10, 18, 21, 25, 6, 14, 23, and 34; items 10, 18, 21, and 25 make up idealized attributes and items 6, 14, 23, and 34 make up idealized behaviors.

Table 11 outlines what the alpha reliability for Idealized Influence would be if each individual item was deleted. Only the removal of survey item 6 indicated a higher reliability. If it was deleted for Idealized Influence, then reliability would have increased from .89 to .90. This researcher did not remove the item.

Table 11

Cronbach's Alpha if Item Deleted for Idealized Influence

Item	Alpha (α) if Item Deleted
MLQ – 6 (The president talks about his/her most important values and beliefs.)	.90
MLQ – 10 (The president instills pride in others for being associated with him/her.)	.88
MLQ – 14 (The president specifies the importance of having a strong sense of purpose.)	.88
MLQ – 18 (The president goes beyond self-interest for the good of the group.)	.86
MLQ – 21 (The president acts in ways that build others' respect in him/her.)	.87
MLQ – 23 (The president considers the moral and ethical consequences of decisions.)	.88
MLQ – 25 (The president displays a sense of power and confidence.)	.89
MLQ – 34 (The president emphasizes the importance of having a collective sense of mission.)	.88

Note. Cronbach's alpha for Idealized Influence is $\alpha = .89$.

While Tables 2 to 11 outline the development of variables from the items and scales, Table 12 describes how those variables are used. Descriptive statistics (ranges, means, and standard deviations) were presented for the nine variables of interest in Table 12. The variable

with the largest mean was Idealized Influence ($M = 3.34$). The variable with the smallest was Management By Exception – Passive ($M = 0.97$). These variables were outlined here only because they represented the largest and smallest means of the nine variables of interest. The table outlines that all nine variables were measured from at least 0.00 to at most 4.00. It can be noted that transformational scores started with a score of 1.30 (not 0.00) and Management By Exception - Passive scores ended with a score of 3.00 (not 4.00). No inferences can be made from descriptive statistics and no other characteristics stand out relative to the research.

Table 12

Ranges, Means, and Standard Deviations on the Nine Variables of Interest

Variable	<i>n</i>	<i>Min.</i>	<i>Max.</i>	<i>M</i>	<i>SD</i>
Contingent Reward	87	0.00	4.00	2.76	1.01
Individual Consideration	74	0.00	4.00	2.58	1.02
Transformational	63	1.30	4.00	3.32	0.57
Transactional	118	0.00	4.00	2.11	0.82
Combined	119	0.00	4.00	2.48	1.03
Management by Exception – Active	71	0.00	4.00	1.47	1.00
Management by Exception – Passive	91	0.00	3.00	0.97	0.77
Group Success	119	0.18	4.00	2.90	0.84
Idealized Influence	118	0.86	4.00	3.34	0.73

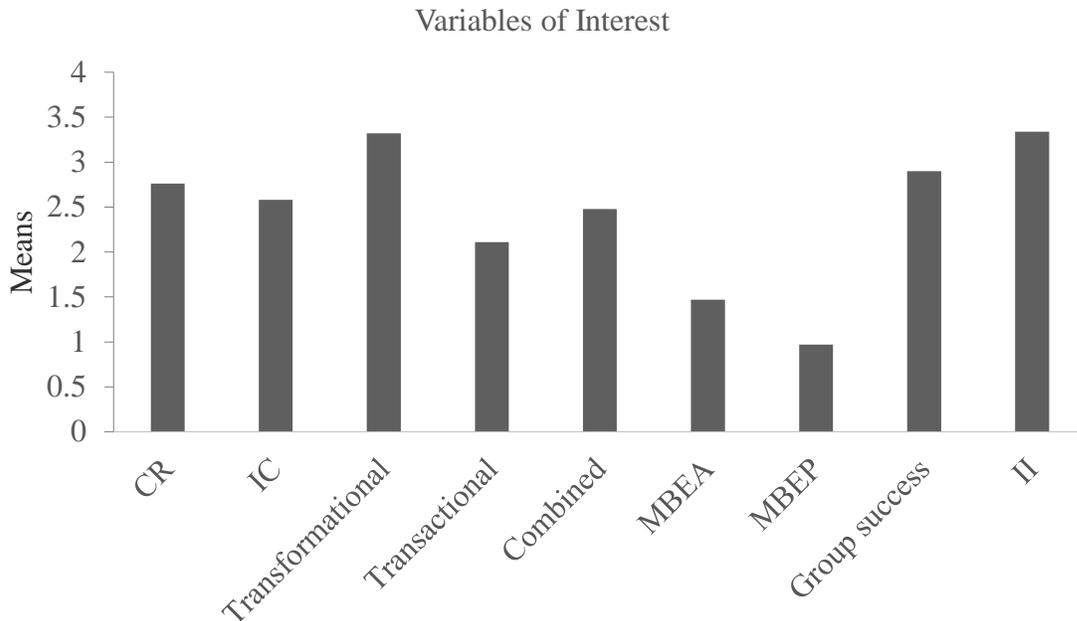


Figure 3. Means on the nine variables of interest. CR = Contingent Reward. IC = Individual Consideration. MBEA = Management by Exception – Active. MBEP = Management by Exception – Passive. II = Idealized Influence.

Research Question One

Is there a difference in means score between transactional vs. transformational leadership? To address research question one, a dependent sample *t*-tests was proposed to determine if transactional scores were statistically different than transformational scores. Statistical significance was determined using an alpha value of .05. Prior to analysis, the assumption of normality was assessed with two Kolmogorov-Smirnov (KS) tests (Ary, Jacob, & Sorensen, 2010); one test per variable. The result of the test was significant ($p < .001$) for transformational scores, indicating that the assumption of normality was not met for the *t*-test. Because of this violation, the non-parametric alternative of the dependent sample *t*-test was conducted: one Wilcoxon signed rank tests (Ary, Jacob, & Sorensen, 2010). The Wilcoxon signed rank test was conducted between transactional and transformational scores.

The result of the Wilcoxon signed rank test was statistically significant, $z(63) = -6.63, p < .001$, indicating that statistical differences exist between transactional scores and transformational scores. Transformational scores ($M = 3.32$) were significantly higher than transactional scores ($M = 2.30$), indicating that survey respondents viewed the presidents as exhibiting characteristics of transformational leadership at a significantly higher degree than characteristics of transactional leadership. The results of the Wilcoxon signed rank test are presented in Table 13; means are visually presented in Figure 5.

Table 13

Wilcoxon Signed Rank Test between Transactional Scores and Transformational Scores

Source	Transactional		Transformational		$z(63)$	P
	M	SD	M	SD		
Pair	2.30	0.63	3.32	0.57	-6.63	<.001

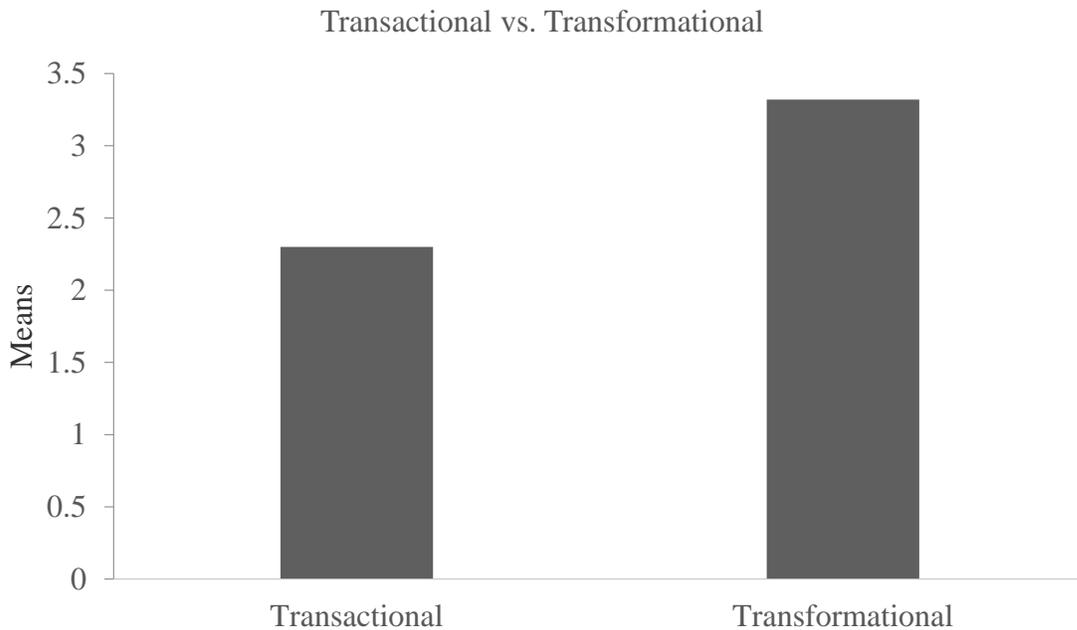


Figure 4. Means (matched) on transactional and transformational.

Research Question Two

Is there a difference in means scores between males and females with regards to leadership expectations? To address research question two, three independent sample *t*-tests were proposed to determine if individual consideration scores, contingent reward scores, and combined scores were statistically different by gender (males vs. females); one *t*-test was proposed per score. Statistical significance was determined using an alpha value of .05. Prior to analysis, the assumption of normality was assessed with three KS tests; one test per score. The results of the tests were significant ($p < .001$) for all three scores and thus the assumption of normality was not met for all three *t*-tests. Because of this violation, the non-parametric alternative of the independent *t*-test was conducted: three Mann Whitney U tests (Ary, Jacob, & Sorensen, 2010). The first Mann Whitney U test was conducted on individual consideration scores by gender. The second Mann Whitney U test was conducted on contingent reward scores by gender. And the third Mann Whitney U test was conducted on combined scores by gender.

The results of the first Mann Whitney U test were statistically significant, $z(74) = -2.16$, $p = .031$, indicating that a statistical difference exists on individual consideration scores between males and females. Males had statistically higher individual consideration scores ($M = 2.80$) than females ($M = 2.33$), meaning male middle and senior managers and leaders viewed their presidents as being concerned about their personal development at a statistically higher level than female middle and senior managers and leaders.

The results of the second Mann Whitney U test were not statistically significant, $z(87) = -0.03$, $p = .979$, suggesting that no differences exist on contingent reward scores between males and females. No statistical significance can be interpreted.

The results of the third Mann Whitney U test were not statistically significant, $z(119) = -0.33, p = .741$, suggesting that no differences exist on combined scores between males and females. No statistical significance can be interpreted. The results of the three Mann Whitney U tests are presented in Table 14; means are visually presented in Figure 6.

Table 14

Mann Whitney U Tests on Individual Consideration Scores, Contingent Reward Scores, and Combined Scores by Gender

Variable	Males			Females			z	P
	M	SD	n	M	SD	N		
Individual consideration	2.80	0.97	39	2.33	1.03	35	-2.16	.031
Contingent reward	2.71	1.10	49	2.81	0.90	38	-0.03	.979
Combined	2.47	1.12	61	2.49	0.94	58	-0.33	.741

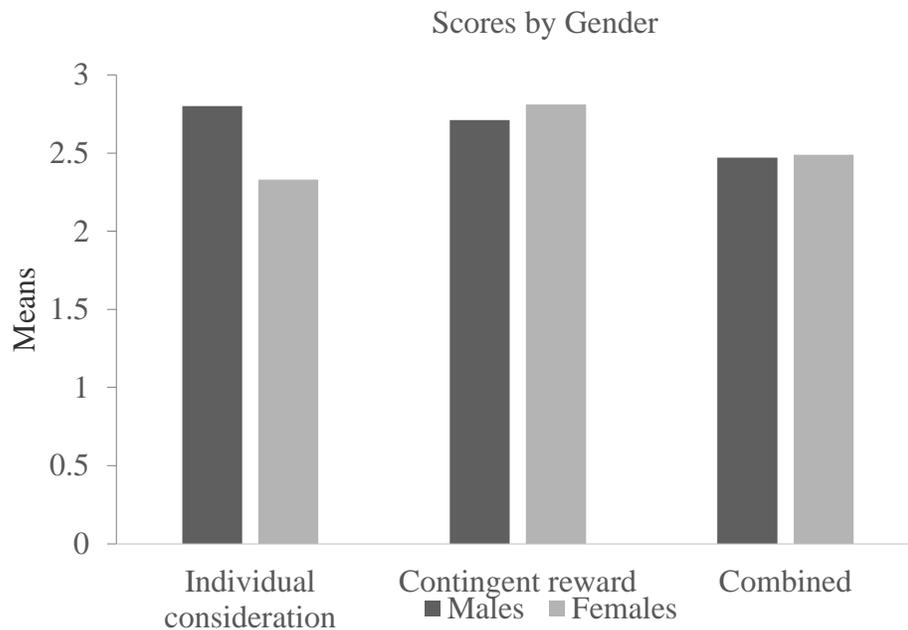


Figure 5. Means (matched) on individual consideration, contingent reward, and combined by gender.

Research Question Three

Is there an association between active and passive leadership and 1) public and private institutions; and 2) male and female administrators? To address research question three, two multiple linear regressions were proposed to determine if gender (male and female) and institutional type (public and private) effectively predict 1) Management By Exception – Active scores and 2) Management By Exception – Passive scores; one regression was proposed per score. Statistical significance was determined using an alpha value of .05. Prior to analysis, the assumptions of normality, linearity, homoscedasticity, and absence of multicollinearity were to be assessed. Normality was assessed with two KS tests; one test per score. The results of the tests were significant ($p < .05$) for both scores and thus the assumption of normality was not met for the regressions. Because of this violation, the appropriate non-parametric alternative of the regression was conducted: two sets of Spearman rho correlations (Ary, Jacob, & Sorensen, 2010). The first set of Spearman rho correlations included Management By Exception – Active scores with gender and institutional type. The second set of Spearman rho correlations included Management By Exception – Passive scores with gender and institutional type. Four total Spearman rho correlations were conducted.

The results of the Spearman rho correlations did not yield any statistical findings, $p > .05$, suggesting that no statistical relationships exist between the dichotomous scales of management by exception - active and management by exception - passive scores with gender and institutional type. No statistical significance can be interpreted. The results of the Spearman correlations are presented in Table 15.

Table 15

Spearman Rho Correlations between Management by Exception Scores (Active and Passive) with Gender (Males and Females) and Institutional type (Public and Private)

Variable	Management by Exception – Active scores	Management by Exception – Passive scores
Gender	-.04	.04
Institutional type	-.02	-.13

Note. * $p < .05$. ** $p < .01$.

Research Question Four

Is there a difference in means score between public and private HBCUs in administrative concerns with regards to group success? To address research question four, an independent sample t -test was proposed to determine if statistical differences exist on group success scores by institutional type (public vs. private). Prior to analysis, the assumption of normality was assessed with a KS test. The result of the test was significant ($p < .001$) and thus the assumption of normality was not met. Because of this violation, the non-parametric alternative of the independent t -test was conducted: a Mann Whitney U test.

The results of the Mann Whitney U test were not statistically significant, $z(119) = -0.69$, $p = .491$, suggesting that no statistical differences exist on group success scores by institutional type (public vs. private). No statistical significance can be interpreted. The results of the Mann Whitney U test are presented in Table 19; means are visually presented in Figure 7.

Table 16

Mann Whitney U Test on Group Success Scores by Institutional Type

Variable	Private			Public			z	P
	M	SD	n	M	SD	n		
Group success	2.97	0.77	60	2.83	0.91	59	-0.69	.491

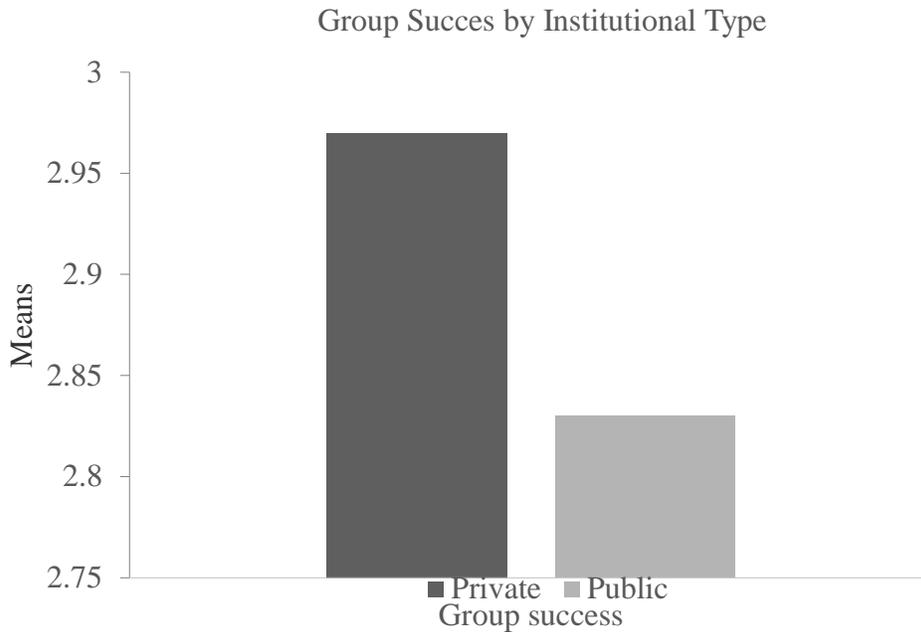


Figure 6. Means on group success by institutional type.

Research Question Five

Is there a difference in public vs. private in the mean Idealized Influence scores? To address research question five, an independent sample *t*-test was proposed to determine if statistical differences exist on Idealized Influence scores by institutional type (public vs. private). Prior to analysis, the assumption of normality was assessed with a KS test. The result of the test was significant ($p < .001$) and thus the assumption of normality was not met. Because of this violation, the non-parametric alternative of the independent *t*-test was conducted: a Mann Whitney U test.

The results of the Mann Whitney U test were not statistically significant, $z(118) = -0.45$, $p = .655$, suggesting that no statistical differences exist on Idealized Influence scores by institutional type (public vs. private). No statistical significance can be interpreted. The results of the Mann Whitney U test are presented in Table 17; means are visually presented in Figure 8.

Table 17

Mann Whitney U Test on Idealized Influence Scores by Institutional Type

Variable	Private			Public			z	P
	M	SD	n	M	SD	n		
Idealized influence	3.40	0.66	60	3.28	0.81	58	-0.45	.655

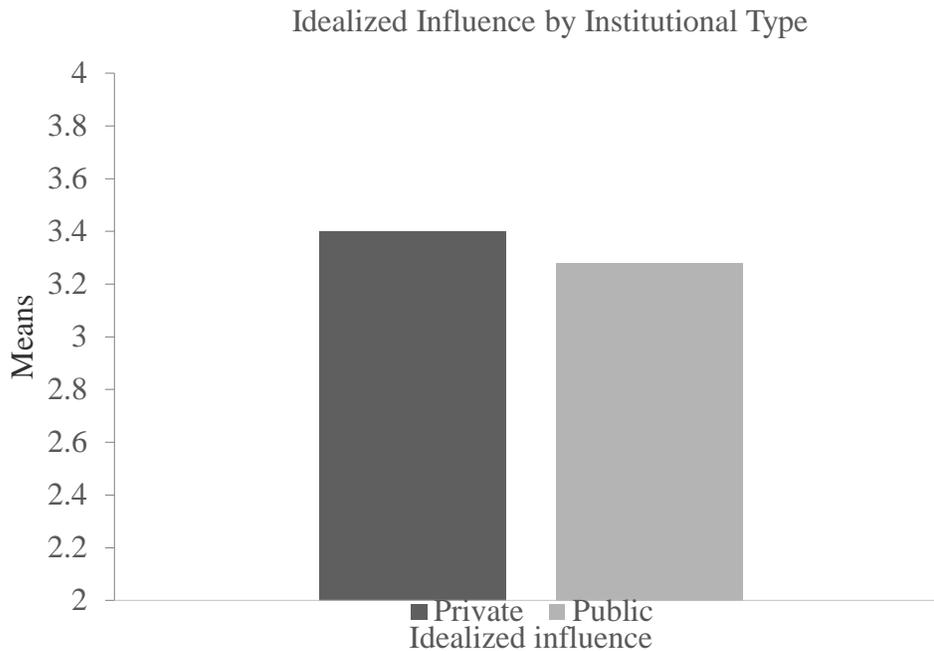


Figure 7. Means (matched) on Idealized Influence by institutional type.

Summary

Research question one was addressed with one Wilcoxon signed rank tests. The result of the Wilcoxon signed rank test were statistically significant: transformational scores were statistically higher than transactional scores.

Research question two was addressed with three Mann Whitney U tests. The results for the first Mann Whitney U test were statistically significant: males had statistically higher Individual Consideration scores than females. The results of the second Mann Whitney U test

were not statistically significant; no statistical differences exist on Contingent Reward scores by gender. The results of the third Mann Whitney U test were not statistically significant; no statistical differences exist on combined scores by gender.

Research question three was addressed with four Spearman rho correlations. The correlations did not yield any significant findings. No statistically significant relationships were found on Management By Exception – Active scores and Management By Exception – Passive scores with gender or institutional type.

Research question four was addressed with a Mann Whitney U test. The results were not statistically significant; no statistical differences exist on group success scores by institutional type.

Research question five was addressed with a Mann Whitney U test. The results were not statistically significant; no statistical differences exist on Idealized Influence scores by institutional type.

CHAPTER V: FINDINGS, CONCLUSIONS AND RECOMMENDATIONS

College and university presidencies have become increasingly more complex under the weight of enormous internal and external changes. That complexity is significantly amplified at Historically Black Colleges and Universities whose presidents led institutions that are significantly under-resourced amid decreases in state and federal funding and increases in academic costs. HBCU presidents are also facing enormous competition with well-financed Predominately White Institutions as well as for-profit and two-year colleges that are heavily recruiting African American students at both academic margins (Gasman & Drezner, 2009; Palmen & Gasman, 2008; Kezar & Eckel, 2004; McPherson & Schapiro, 1998). Moreover, poor presidential leadership, high turnover among presidents, and a dearth of traditionally qualified applicants for presidencies place many HBCUs at considerable risks of closure (Gasman, 2009; Gasman & Drezner, 2009; Gasman & Tudico, 2008; Williams & Kritsonis, 2007; Chandlre, 2006; Mbajekwe, 2006; Holmes, 2004; Jackson, 2002). In the 20th century, 14 HBCUs closed or merged and several others are at the brink of closure or have lost accreditation (Lovett, 2011; Gasman, 2009).

Against that troubling backdrop, HBCUs continue to be valuable institutions in American higher education, granting 25% of the baccalaureate degrees awarded to African Americans while representing just 3% of American colleges and universities (Minor, 2005). Moreover, three-fourths of African American PhDs earn their bachelor's degrees from HBCUs, and 85% of African American physicians, 50% of African American engineers and 46% of African

American business executives either earn their undergraduate or graduate-level training at HBCUs (Mbajekwe, 2006).

But little research had been conducted on HBCU senior leadership, particularly the presidency (Holmes, 2004), and virtually no research had been conducted to examine what type of presidents currently led today's HBCUs amid these unprecedented changes. Yet, research suggested that more scholarship on HBCU leadership could have a positive impact on the success of HBCUs (Holmes, 2004).

The purpose of this study was to extend that scholarship to determine which types of presidential leaders – transformational or transactional – were currently leading nine of the Top 25 ranked Historically Black Colleges and Universities as ranked by 2012 *U.S. News & World Report*. These nine colleges and universities made up nearly 10 percent of the 105 HBCUs currently in existence. With a limited body of research on HBCU senior leadership in general and HBCU presidents in particular, coupled with the significant obstacles that HBCUs are facing, this research study sought to fill a critical vacuum of research and, in so doing, further inform both future HBCU presidents and the bodies that select them of prevailing thought regarding presidential leadership at 21st century HBCUs.

Results and Discussions

Five research questions guided this study. The results of the online survey items were quantitatively described using frequency counts.

Research Question One

Research question one examined the difference in means score between transactional vs. transformational leadership. To address research question one, a Wilcoxon signed rank test was conducted to determine if transactional scores were statistically different than transformational

scores. The result of the test indicated that statistical differences existed between transactional scores and transformational scores. Transformational scores were significantly higher than transactional scores.

This study is the first one to use Burns' and Bass' transformational and transactional leadership theories on HBCU presidents. The findings, therefore, not only add to a limited body of research but also provide us with new knowledge about the leadership characteristics of HBCU presidents. Indeed, the most critical finding of this study is that the HBCU presidents were found to be, on balance, transformational leaders, which, on the face of it, are needed within the context of this study. The result of research question one provides critical new data about university presidents at the nation's top HBCUs amid a number of realities. First, research has suggested that the role of the college or university president can be essential in the direction and relative success or failure of an institution (Hurtado, et al., 1998). Second, research has also suggested that the full-range of characteristics exhibited by transformational leaders are better suited for periods of significant challenges and changes (Avolio & Bass, 2004). Third, American higher education in general, and HBCUs in particular, are undergoing significant challenges and changes. The central finding, however, suggests that nine of the Top 25 HBCUs seem to have the right kind of presidents at the helm during these enormous challenges within American higher education. That finding provides the groundwork for further research to determine whether there is a correlation between transformational leadership and *U.S. News* rankings in American higher education.

Though the result of research question one provides new answers, it also creates new questions about HBCU leadership, in particular, and HBCUs in general. Among them: Why are most, if not all, of the HBCUs within this study still facing considerable challenges (despite their

ranking) when their leaders are the transformational figures that research suggests are needed to successfully lead them? And two, is transformational leadership, by itself, enough to stabilize HBCUs within the context of the race-conscious society from which they emerged and continue to exist?

Research Question Two

Research question two examined the difference in mean scores between males and females with regards to leadership expectations. To address research question two, three Mann Whitney U tests were conducted to determine if Individual Consideration scores, Contingent Reward scores, and combined scores were statistically different by gender (males vs. females). The results of the first were statistically significant, indicating that a statistical difference existed on individual consideration scores between males and females. Males had statistically higher individual consideration scores. The results of the second test were not statistically significant, suggesting that no differences existed on Contingent Reward scores between males and females. The results of the third test were not statistically significant, suggesting that no differences existed on combined scores between males and females.

The findings in the Individual Consideration scores of males and females seem consistent with literature that suggests that women have a greater need for community-oriented environments and, more troubling, that leaders may rely on gender stereotypes and assumptions when making evaluations. In separate studies, Lee (1994), and Boatwright and Forrest (2001) found that female employees recognized a need for a more nurturing style of leadership, where shared vision and building community were more important than a masculine and hierarchical form of organizations (Lee, 1994). Boatwright and Forrest (2001) also found that women expressed a greater need for relationship-oriented leadership with a greater connection among

employees. Though the questions that make up the Individual Consideration score are not designed to pit the needs of the individual versus the needs of the group, one could argue the questions may be interpreted differently based on gender and other variables.

Perhaps a more likely rationale for the disparity of Individual Consideration scores between male and female is explained by literature outlined by Stelter (2002). A series of studies in gender differences in leadership suggested that leaders rely on gender stereotypes and assumptions when evaluating male and female leadership effectiveness (Stelter, 2002). Consequently, female employees often received negative evaluations when their behavior did not follow the gender expectations of their leaders (Stelter, 2002). By extrapolation, such gender differences could also contribute to differences in how leaders engage employees in matters involving personal interest and development, or, as Avolio and Bass called it, Individual Considerations. This possibility is perhaps even more plausible considering the fact that eight out of the nine HBCU presidents being assessed were males.

The second and third dependent variables being assessed – gender differences in Contingent Reward scores, and gender differences when both Individual Consideration and Contingent Reward scores are combined – found no significant correlations based on gender. The gender differences when measuring the two combined is perhaps our best indication that there is no significant difference between males and females with regards to the leadership expectations of their presidents.

Research Question Three

Research question three investigated an association between active and passive leadership and 1) public and private institutions and 2) male and female administrators. To address research question three, Spearman correlations were conducted to determine if gender (male and female)

and institutional type (public and private) effectively predicted 1) Management By Exception – Active scores and 2) Management By Exception – Passive scores. The results did not yield any statistically significant findings, suggesting that no statistical relationships existed between Management By Exception scores (active and passive) with gender and institutional type.

The findings perhaps reaffirm the basic fact that the nine presidents under review, in general, were scored as transformational leaders, which means they did not significantly demonstrate the transactional leadership characteristics of Management By Exception – Active or the laissez-faire characteristics of Management By Exception – Passive (Avolio & Bass, 2004). Both of those characteristics are not associated with transformational leaders. By extension, it is understandable why there would be no association or distinction between those two characteristics based on institutional type or gender.

The findings do suggest something interesting with regard to institutional type. Private and public institutions are governed differently based largely on funding sources and accountability lines (Bess & Dee, 2008; Thelin, 2004; Paulsen & Smart, 2001; Birnbaum, 1988). Private institutions are largely funded through private sources: student tuition and fees, private gifts and contracts, and endowment income (Paulsen & Smart, 2001). These funding sources make private universities more accountable to students, private donors and alumni, and privately selected boards of trustees. By contrast, public universities receive significant funding from federal, state and local governments by way of tax dollars, though the amount of money being received from those sources has decreased (Paulsen & Smart, 2001). Notwithstanding, the funding sources of public universities make them more accountable to local, state and federal lawmakers, publicly appointed governing boards and taxpayers. These diverging lines of accountability come with differences in how presidents govern (Mingle, 2005; Slaughter &

Rhoades, 2004; Bok, 2003; Birnbaum, 1988). The differences can also lead to a compelling question, “Do the differences in governance based on institutional type (private vs. public) lead to differences in presidential leadership characteristics?” The findings of research question three, coupled with the findings of research question one, suggest the answer to that question is “no.” Not only was there not an association between active and passive leadership and institutional type, but the results of research question one affirms that both public and private HBCU president under assessment were, on balance, transformational leaders.

Research Question Four

Research question four examined a difference in mean scores between public and private HBCUs in administrative concerns with regards to group success. To address research question four, a Mann Whitney U test was conducted to determine if statistical differences existed on group success scores by institutional type (public vs. private). The results of the test were not statistically significant, suggesting that no statistical differences existed on group success scores by institutional type (public vs. private).

As noted in the discussion above, this finding is again noteworthy in the context of institutional type. In the context of this study, it suggests that HBCU presidents at both private and public institutions were similarly concerned with group success. Group success was measured in this study by three transformational leadership subscales: Idealized Influence, Individualized Consideration, and Intellectual Stimulation (Avolio & Bass, 2004). Idealized Influence occurs when leaders are viewed in idealized ways that lead to the support of the leaders’ vision; Individualized Consideration occurs when leaders are concerned with the personal and professional development of employees; and Intellectual Stimulation occurs when leaders help employees think of old problems in new ways in order to solve current problems

(Avolio & Bass, 2004). In transformational leadership theory, group success is characterized by leaders who are concerned with the collective success of the organization even as they are cultivating the unique needs of individual employees (Bass, 1985). The fact that there was no difference in mean scores of group success between private and public institutions perhaps further affirms the transformational leadership qualities of the presidents under assessment regardless of institutional type.

Research Question Five

Research question five examined a difference in institutional type (public vs. private) in means Idealized Influence scores. To address research question five, a Mann Whitney U test was conducted to determine if statistical differences existed on Idealized Influence scores by institutional type (public vs. private). The results of the test were not statistically significant, suggesting that no statistical differences existed on Idealized Influence scores by institutional type (public vs. private).

Idealized Influence was the transformational leadership subscale that effectively replaced the oft-mentioned charismatic leadership characteristic that was found in earlier versions of Bass' transformational leadership literature (Bass, 1985). By 2004, after numerous studies, Avolio and Bass concluded that transformational leadership extended beyond the dominant focus of charisma, which had become increasingly difficult to measure. The Idealized Influence characteristic emerged as a way of measuring the ability of leaders to get employees to follow their shared vision and mission. The fact that no significant difference in mean score was found in Idealized Influence scores between private and public institutions is again noteworthy for the reasons outlined above. The findings perhaps reaffirm the characteristics of transformational leaders among the HBCU presidents irrespective of institutional type.

Conclusion

In this study, the results of leadership at Historically Black Colleges and Universities suggest that the HBCU presidents under examination largely exhibited transformational leadership characteristics. The results also suggest that male participants had higher individual consideration scores than female participants, suggesting that the presidents under review were perceived to have more interests in the Individual Concerns of their male employees vs. their female employees. The data results, however, did not find a significant difference of presidential leadership characteristics based on institutional type (public vs. private).

On the face of it, the findings are not entirely surprising, considering the following. First, the HBCU presidents who were examined presided over institutions that were ranked among the Top 25 HBCUs in the nation, according to the 2012 *U.S. News & World Report* rankings. Though a correlation cannot be made between the institutions' rankings and the perceived transformational characteristics of their presidents, one might expect high-ranking institutions to employ leaders who exhibit many of the transformational leadership qualities that produce a higher-level of organizational effectiveness and follower satisfaction (Dumdum, et al., 2002; Lowe, Kroeck & Sivasubramaniam, 1996).

Second, consistent with Shelter's 2002 research that suggests that superiors may rely on gender stereotypes and assumptions when evaluating male and female leadership effectiveness, the results suggesting that male participants had higher individual consideration scores for their presidents than female participants was not entirely surprising particularly considering that eight of the nine presidents under review were male.

Third, though in the aggregate differences exist between private and public institutions, the limited research on HBCU senior leadership does not reveal management differences

between institutional types (public vs. private). To the contrary, the historical literature of HBCUs illuminates the shared legacy and challenges of both, particularly as it relates to senior leadership. Therefore, it was not surprising that the results of research questions three, four and five did not find statistically significant differences with regards to institution type.

But the major finding of this research study is that the nine HBCU presidents were rated as transformational leaders. This finding adds to a limited amount of research on HBCU senior leadership and provides tremendous new data about their leadership characteristics.

This study is the first one to use Bass' transformational and transactional leadership theories to examine presidents at Historically Black Colleges and Universities. Moreover, the study examines the challenges of HBCUs amid a changing American higher educational landscape, providing literature suggesting that transformational leaders are better suited for such changing conditions (Avolio & Bass, 2004). This new finding suggests that nine of the presidents of the Top 25 HBCUs are, on balance, transformational leaders who inspire, intellectually stimulate, challenge status quo and are visionary. And as managers, the HBCU presidents empower their employees, provide a moral ethos and seek change (Avolio & Bass, 2004). This finding effectively advances a new understanding and perception of HBCU presidents, particularly those at Top 25 HBCUs, and the finding adds to the dearth of research on HBCU senior leadership.

However, this new information also creates an extraordinary juxtaposition that suggests that transformational leaders cannot by themselves change the ominous conditions of the HBCUs in which they led, and, therefore, may not be able to avoid the dire circumstances that HBCUs face unless many other challenges are addressed. Though this implication is not necessarily at odds with literature suggesting that transformational leaders are well-suited during times of

significant change, the finding (within the current context of HBCUs) implies that transformational leadership is just one important variable among others. The other challenges that must be addressed are 1) the lack of resources caused by sagging enrollments, decreases in federal and state aid, and insufficient alumni and private financial support (Lovett, 2011; Gasman, 2006; Mbajekwe, 2006; Suggs, 1997) amid increases in academic costs; 2) high turnover among HBCU presidents; and 3) a dearth of qualified applicants applying for HBCU presidencies. This implication changes how we examine the present-day solutions for HBCUs, perhaps placing equal significance on both the internal and external challenges that afflict this institutional type. Notwithstanding, as a baseline implication, the research at least supports the theory that HBCUs in 21st century American higher education may benefit from having presidents who are transformational leaders.

Limitations of the Study

Because surveys of intangibles measure inexact things such as attitudes, they only indirectly measure the variables that “they are concerned about,” (Ary et al., 2010, p. 376). This was true with this research study. It is difficult to discern whether participants responded accurately. Moreover, since cross-section surveys involve sampling, there is always a chance that there are differences between samples, which may cause bias. Though the research findings pulled from representatives from both private and public universities, both large and small, the findings may oversimplify the unique sub-cultures that exist within each individual historically black college or university. Moreover, one cannot necessarily extrapolate the findings of nine HBCUs for the presidential characteristics to the other Top 25 HBCUs.

Another limitation of this study was the relatively high number of missing data within each individual sub-set or variable. Because the survey instrument included a field that was

effectively calculated as “missing data” as if the question was not answered at all, there were various sample sizes across the variables examined in the study. For example, in some cases, there may have been 119 respondents for a variable, yet in other cases there may have only been 114 respondents for a variable. Though our statistical analysis accounted for these variations, it nonetheless created limitation in terms of the absolute responses under review.

A third limitation of this study was that only aggregate data was compiled and therefore specific institutional assessments of presidents cannot be made. For example, the aggregate data suggested that the HBCU presidents as a whole exhibited transformational leadership characteristics yet there is no way of determining – based on how the data was compiled – the leadership characteristics of each institutional president. This limitation was a sacrifice made in an attempt to increase the number of respondents and the reliability of their responses due to the anonymity of both the participants and their institutions.

A final limitation of this study has to do with the survey instrument itself. After running Cronbach’s alpha test for reliability, the reliability coefficients for transactional leadership scores indicated “questionable” reliability, which could possibly indicate an issue with the survey instrument with regards to measuring transactional leadership. By contrast, transformational leadership scores had the largest reliability coefficient, indicating excellent reliability. Cronbach’s alpha is commonly used as an estimate of the reliability of a psychometric test for a sample of examinees (Ary, Jacob, & Sorensen, 2010).

Implication for Future Research

This study is just the beginning of future studies that are needed to understand the unique challenges that exist at HBCUs in 21st century American higher education, and the kinds of

leaders – both presidential and in senior and middle management – needed to effectively meet those challenges.

The first recommendation is that this study be replicated in a way that allows researchers to understand the leadership characteristics of each individual institution, which will allow for further analysis about the connection between presidential leadership characteristics – transformational vs. transactional – and institutional ranking, and institutional type and size. Unlike this study, the replicated study would include more demographic details on the respondents, including race, age, years of service, and title. Such research would allow for more concentrated studies – both quantitative and qualitative – on specific HBCU presidents to specifically measure their effectiveness or the lack thereof, and why. A study such as this may benefit from a mix methods approach, whereby qualitative analysis from interviews and observations are conducted. The qualitative analysis would provide critical answers to information that cannot be derived from the quantitative analysis. For example, interviews with three transformational presidents may reveal certain nuances associated with each. Perhaps one of the presidents embrace a form of shared governance that is expressed quite differently than the others. Interviews can help the research tease out certain nuances among similar leadership styles. The research design would be linked to determining the relationship between transformational and transactional leadership and institutional ranking, type and size. The literature contained in this study on higher education leadership and HBCUs would be a good starting point, particularly literature by Burns (1978), Birnbaum (1989; 1992), Bass (1981; 1985), Avolio and Bass (2004), Gasman et al. (2010), Gasman (2009), and Mbajekwe (2006), among others.

The second recommendation is that this study be used as a launching point for another study of how institutions, boards of regents or trustees, and/or external selection committees are going about recruiting future HBCU presidents. This study would specifically determine what processes these bodies are using to understand exactly what type of presidential leaders their institutions need at any given time. For example, are such bodies thoroughly assessing their institutions' unique cultures as well as their specific internal and external needs to determine if they need a transformational or transactional leader? What due diligence is being done to determine what kind of leader is needed in advance of conducting the presidential search? Answers to these critical questions could be invaluable in shaping future search processes. This type of study would likely be an exhaustive qualitative examination of perhaps no more than five institutions in which the researcher combs through countless documents and conducts countless interviews at all levels of the institution, including consultants. As a starting point for a study such as this, Avolio and Bass (2004) have developed variations of the Multifactor Leadership Questionnaire to be used effectively by those bodies charged with hiring organizational leaders. Other versions of the MLQ include ways of determining unique organizational cultures, and a version that presidential applicants can take themselves to determine whether they are transactional or transformational leaders (Avolio & Bass, 2004). Additionally, Bess and Dee (2008) provide extensive literature on understanding how colleges and universities function as organizations.

The third recommendation is that this study also be used as a launching point for a study examining the actual cost to an institution and its constituents of poor presidential hiring decisions at HBCUs. This study could perhaps use three to five HBCUs as case studies, perhaps using mixed methodology, to determine the internal and external factors that made the hiring

decision poor; then, the study could examine the internal and external factors that contributed to the poor decision during the president's tenure and departure; and finally, the study could quantify and qualify the actual negative costs and consequences to the institution and its constituents as a result of the poor hiring decision. Similarly, a study of this nature should utilize research by Bess and Dee (2008), Avolio and Bass (2004), and the aforementioned literature on HBCUs.

A fourth recommendation centers around differences and similarities regarding institutional type (private or public). In the context of this leadership study, the differences between public and private HBCUs had no statistical bearing on the results. Perhaps it was because this study looked at perceptions of employees with regards to their presidents. Broadly speaking, HBCU literature typically does not draw distinctions between HBCUs based on institutional type. However, studies on HBCUs that consider issues such as resource allocation, board oversight and involvement, student populations, etc., would potentially draw unique distinctions between private and public HBCUs that inform one's understanding of each. A study such as this could specifically try to address clear difference between HBCUs along institutional-type lines. Literature by Gasman, Mbajekwe and Lovett would be helpful for such studies, as well as research by McPherson and Schapiro (1998), Paulsen and Smart (2001), and Altbach et al. (1999).

A fifth recommendation would be to develop a study to analyze the correlational scores in Bass' multifactor leadership questionnaire between the construct scores of transformational and transactional leadership. As indicated in the limitations section, the Cronbach's alpha test for reliability found the transactional leadership scores to be "questionable" yet the transformational scores to be "excellent." This disparity is perhaps due to the fact that the MLQ includes 20

questions that measure transformational leadership, yet only 8 questions that measure transactional leadership. A study deeper analysis of the construct of the MLQ is needed to better assess its objective reliability. Perhaps more questions should be included in the MLQ to better measure transactional leadership. Though this survey instrument has been used for nearly three decades, with numerous studies on it, the “questionable” reliability number for transactional leadership scores in this study is cause for concern and further study.

The sixth and final recommendation is that this study be used as the framework to examine the factors that make fundraising so challenging at HBCUs. Such a study could use the findings of this research to try to isolate the factors that make fundraising so difficult for the transformational leaders at the HBCUs examined in this research. This future study could examine this fundamental question: “Is transformational leadership, by itself, enough to stabilize HBCUs within the context of the race-conscious society from which they emerged and continue to exist?” In addressing this question, fundraising can be used as a central variable for examining the challenges that HBCU presidents face when trying to raise money from external and mostly white sources. This groundbreaking study could use two HBCUs, one private and one public, as case studies, thoroughly examining one year of fundraising goals and objectives and isolating every individual, foundation, and company that was formally approached by the institution for a medium to large financial contribution, or gift. Then, the study would indicate whether a gift was made or not, and for how much. With informed consent and confidentiality, the research would then survey the individual, and appropriate foundation and company representatives to determine the factors by which a gift was or was not made. Ultimately, the study would attempt to answer the question above. A study of this kind should likewise utilize the HBCU research of Gasman, Mbajekwe, and Lovett (2011), as well as contemporary research on the funding and financing of

American higher education, including previous literature by Paulsen and Smart (2001), Altbach et al. (1999), and McPherson and Schapiro (1998).

Implications for Practice

The central implication of this study is that transformational leadership, by itself, may not be enough to pull all HBCUs out of the dire conditions that afflict them. Said differently, the complex issues that engulf HBCUs and many other colleges and universities cannot likely be overcome by one leader, despite his or her transformational leadership style. That central implication emerges from the results of this study. Though all of the Top 25 HBCUs in this study are led by presidents who exhibit transformational leadership characteristics, each of their institutions is still under considerable pressure and strain. Yet, none of them is at or near the brink of closure. So perhaps an equally germane problem that afflicts HBCUs is the lack of money as a result of sagging enrollments, decreases in state and federal funding, and poor fundraising and alumni support (Gasman, 2009). And, as stated in the Implication for Future Research section above, more research is needed to better understand the relationship between transformational and transactional leadership, and the ability to raise money. However, this study, further implies that boards of trustees, search committees, administrators and faculty at HBCUs must not only be thoughtful about who to hire as president but also how to assist the president in constructing the right supporting team, particularly around fundraising and shared governance.

With regards to presidential hires, the findings of this research at least affirm that transformational leaders, on average, currently reside at nine of the Top 25 HBCUs in this country, though correlations between their leadership style and the school's national rankings were not examined. But a baseline finding, despite the aforementioned limitation of this study,

suggests that boards of trustees, selection committees, etc., should at least measure presidential applicants against transformational and transactional leadership characteristics by virtue of the fact that all of the presidents at the Top 25 HBCUs in this study were, on average, transformational leaders. Though circumstantial, that finding should not be presumed as just coincidence. In considering Bass' transformational and transactional leadership theory, boards of trustees, selection committees, etc., can use the MLQ survey instrument used in this study to measure the leadership styles of presidential applicants. The MLQ includes a different version in which a person can self-evaluate him or herself against transformational and transactional leadership characteristics to determine his or her own leadership style (Avolio & Bass, 2004). This instrument could be effectively used during the application process as a baseline of gauging an applicants leadership style, which could be one factor considered during the interview process.

A second implication for practice comes by way of extrapolation from what we knew before this study and what we now know as a result of this study. In the context of HBCUs, in which lack of resources is both a central area of critical need (Gasman, 2009; Young 2008) and a cause for high presidential turnover (Mbajekwe, 2006), HBCUs perhaps need to focus on both hiring transformational presidents and building the infrastructure for financial success within the context of their internal and external realities. Though this implication is widely understood in practice, the findings in this study may serve as a baseline marker for understanding how HBCUs can overcome their current conundrum.

A third implication for practice revolves around shared governance. Research suggests that HBCU presidents typically do not embrace shared governance and transparency as a fundamental practice of leadership (Young, 2008; Phillips, 2002). However, those HBCU

presidents who do embrace shared governance often experience greater success (Guy-Sheftall, 2006). The findings of the study, coupled with the current conditions of HBCUs, seem to support Guy-Sheftall's research that shared governance – not simply the efforts of a single president – create success. Previous research by Birnbaum and others emphasize the importance of other members of the university or college. In considering the new findings in this study, as well as previous literature on governance in higher education, it seems appropriate that shared governance should be a fundamental practice among HBCU presidents. According to Phillips (2002), shared governance is defined by ten variables, including transparency, faculty representation on policy decisions, and broad input in budgetary matters. Though the exact manner of shared governance may vary, the basic tone and practice of HBCU presidential leadership should be to garner broad support, input and ideas around a shared vision for the institution. And, to a large extent, the full-range of characteristics in transformational leaders are more aligned with shared governance than those exhibited in transactional leaders. Though the aggregate data from this study suggests that the nine HBCU presidents exhibited transformational leadership characteristics, further examination must be conducted to determine the extent to which they practice some forms of shared governance.

So in conclusion, the lessons presidents should take away from this study is that presidents should not think of themselves as saviors because they are not. HBCU presidents must see themselves as facilitators of change. That nuanced change of mentality is an important one and is one that this researcher believes is best exhibited by transformational leaders because it requires the leader to empower others to lead, which means the president must relinquish some power. And in so doing, it also means that mistakes will be made by senior leaders and middle managers. This latter point is typically not embraced by transactional leaders who manage

employees by rewarding success and punishing failure (contingent reward and management by exception). So the suggestions are as follows: 1. embrace the notion of the president as first among equals, a concept that Bolman and Deal (1984) includes in their four frames of organizational leadership; 2. embrace the fundamental need for shared vision and shared governance, which promotes transparency; 3. embrace the characteristics of transformational leadership; and 4. hire well (and carefully) so you can concentrate on fundraising. To be clear, in the context of 21st century American higher education, the same lessons can be embraced by presidents of Predominately White Institutions. However, this researcher believes that significant differences between HBCUs and PWIs exist within the context of race, particularly when it comes to fundraising.

To further elaborate here are some actionable steps that HBCU presidents can take:

1. Become familiar with transformational leadership characteristics, and other effective leadership models within the context of large, complex organizations;
2. Preach and practice shared vision and governance. Appoint team leaders at all levels of the institution and develop a shared vision that incorporates reoccurring themes that emerge from all levels of the institution. Then, have team leaders, appointed by colleagues not the president, be a part of the implementation team. The shared objectives should address both the agreed upon mission and vision of the institution, as well as the challenges and opportunities;
3. Develop mechanisms by which employees can engage the president and vice versa, thereby creating vehicles for two-way communications;
4. Develop and articulate at all levels of the institution a fundraising strategy. The written strategy should link the fundraising goals to the agreed upon shared

- objectives. This strategy should be understood and outlined at all levels of the institution, similar to mission and vision statements;
5. Select team leaders or ambassadors to develop a big idea or innovation that meets one or more of the shared objectives;
 6. Allocate resources to the shared objectives and ensure that adequate investments are expended to maximum fundraising goals, both within the context of these teams and without;
 7. And last, stay the course.

For boards of trustees, a lesson from this study should be that transformational leaders are leading nine of the Top 25 HBCUs in this study and that should not be viewed as coincidence. So, trustees should consider assessing the leadership characteristics of presidential candidates as one factor for hiring. Another lessons for trustees is that their challenges may not rest with their presidents but rather the complexities of the job (internal and external) and the lack of resources. This means that trustees should work with presidents to develop a structure that can adequately support the fundraising imperatives of the institution. Finally, trustees should encourage the president to adopt a shared vision/shared governance approach because that appears to be the best way for success. One "inspirational" leader, however capable, cannot change complex and deeply rooted conditions by him or her. So trustees should applaud and support a presidents' efforts toward shared vision and governance.

Summary

The role and impact of a university or college president on his or her institution cannot be underestimated. Though, at times, research has placed varying degrees of central importance on the university president, the role has never been inconsequential. However, amid the

unprecedented changes in American higher education over the last half century, the role of the university president has never been more challenging and complex, and the stakes, for some institutions, have never been greater.

Historically Black Colleges and Universities are among the most vulnerable in the present context of American higher education. Though many continue to exist despite the closures of a relative few, none of them is thriving in comparative terms and all of them are burdened by ominous realities that could prove fatal to many.

Notwithstanding, HBCUs have played and continue to play a critical role in the development of American life and culture by virtue of their education of the formerly enslaved Africans and African Americans from the early 1600s to the present. Today, the question is how viable will this institutional type be in the 21st century amid the many challenges that they face. A part of the answer lies with who will be leading HBCUs in the future, and how they will govern. This study suggests that at least nine of the Top 25 HBCU presidents exhibit a transformational leadership style that some believe is critical to navigating today's higher educational landscape.

But more research is desperately needed. And there are no silver bullets and should be no sacred cows because the next generation of African American students will be demanding that HBCUs do more than just survive. In the 21st century, they must thrive.

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APPENDICES

Appendix A

Definition of Key Terms

Historically Black Colleges and Universities (HBCU) refer to “...any historically black college or university that was established prior to 1964, whose principal mission was, and is, the education of black Americans, and that is accredited by a nationally recognized accrediting agency or association determined by the U.S. Secretary of Education to be a reliable authority as to the quality of training offered or is, according to such an agency or association, making reasonable progress toward accreditation” (“White House Initiative,” n.d.)

Predominantly White Institutions (PWI) is the term used to describe institutions of higher learning in which Whites account for 50% or greater of the student enrollment. However, the majority of these institutions may also be understood as historically White institutions in recognition of the binarism and exclusion supported by the United States prior to 1964. It is in a historical context of segregated education that predominantly White colleges and universities are defined and contrasted from other colleges and universities that serve students with different racial, ethnic, and/or cultural backgrounds (e.g., historically Black colleges and universities, HBCUs) (“Predominantly White Institutions,” n.d.)

Transformational Leaders are leaders who inspire, intellectually stimulate, challenge, are visionary, development oriented and determined to maximize performance. In many cases, the term “charisma” is used (Avolio & Bass, 2004). Transformational leaders alter their environments, empower their employees, provide a moral ethos, and institute significant and progressive change (Bass, 1985).

Transactional Leaders manage their environment, develop incentive-based rewards among employees, and discourage outside-the-box thinking. They set up and define agreements or contracts to achieve specific work objectives, discovering individuals' capabilities, and specifying the compensation and rewards that can be expected upon successful completion of the tasks. In either its active or passive form, transactional leaders focus on identifying mistakes (Avolio & Bass, 2004).

Appendix B

IRB Approval

May 3, 2013

Office for Research
Institutional Review Board for the
Protection of Human Subjects

THE UNIVERSITY OF
ALABAMA
R E S E A R C H

David Noel Hefner
Higher Education Administration
College of Education
Box 870302

Re: IRB # 13-OR-155: "Transformational and Transactional Leadership at
Historically Black Colleges and Universities"

Dear Mr. Hefner,

The University of Alabama Institutional Review Board has granted approval for your proposed research.

Your application has been given expedited approval according to 45 CFR part 46. Approval has been given under expedited review category 7 as outlined below:

(7) Research on individual or group characteristics or behavior (including, but not limited to, research on perception, cognition, motivation, identity, language, communication, cultural beliefs or practices, and social behavior) or research employing survey, interview, oral history, focus group, program evaluation, human factors evaluation, or quality assurance methodologies.

Your approval will expire on May 2, 2014. If the study continues beyond that date, you must complete the IRB Renewal Application. If you modify the application, please complete the Modification of an Approved Protocol form. Changes in this study cannot be initiated without IRB approval, except when necessary to eliminate apparent immediate hazards to participants. When the study closes, please complete the Request for Study Closure (Investigator) form.

Please use reproductions of the IRB-stamped consent form.

Should you need to submit any further correspondence regarding this application, please include the assigned IRB application number.

Good luck with your research.

Sincerely,



358 Rose Administration Building
Box 870127
Tuscaloosa, Alabama 35487-0127
(205) 348-8461
FAX (205) 348-7189
TOLL FREE (877) 820-3066


Carpentato T. Myles, MSM, CIM
Director & Research Compliance Officer
Office for Research Compliance
The University of Alabama

AAHRPP DOCUMENT #192

UNIVERSITY OF ALABAMA
HUMAN RESEARCH PROTECTION PROGRAM

Informed Consent for a Non-Medical Study

Transformational and Transactional Leadership at
Historically Black Colleges and Universities**David Hefner, doctoral candidate, University of Alabama**

You are being asked to take part in a research study. This study is called Transformational and Transactional Leadership at Historically Black Colleges and Universities. The study is being done by David Hefner, a graduate student at the University of Alabama. Mr. Hefner is being supervised by Dr. Nathaniel Bray, a professor of Higher Educational Administration at the University of Alabama.

This study is being done to determine which types of presidential leaders – transformational or transactional – are currently leading 10 of the top 30 ranked Historically Black Colleges and Universities as assessed by *U.S. News & World Report*. These 10 colleges and universities makeup nearly 10 percent of the 105 HBCUs currently in existence. With a limited body of research on HBCU senior leadership in general and HBCU presidents in particular, coupled with the significant obstacles that HBCUs are facing, this research study will help fill a critical vacuum of research and, in so doing, further inform both future HBCU presidents and the bodies that select them of prevailing thought regarding presidential leadership at 21st century HBCUs.

The study provides needed research in an area within American higher education that has seldom been explored: presidential leadership at Historically Black Colleges and Universities. The findings create valuable data as future decisions are made in hiring the next generation of HBCU presidents.

You have been asked to be in this study because you are either a middle- or senior-level administrator or academic administrator at your institution. About 300 other people will be in this study. If you meet the criteria and agree to be in this study, you will be asked to complete and submit a short survey. It should take between 10-15 minutes of your time. The only cost to you for this study is your time, and you will not be compensated for being in this study.

There is little to no risk foreseen by your participation because the survey asks non-sensitive questions and the answers are anonymous. However, the benefits of your participation may be used to help ensure the viability and future success of Historically Black Colleges and Universities for the century and beyond.

UNIVERSITY OF ALABAMA IRB
 CONSENT FORM APPROVED: 5/3/2013
 EXPIRATION DATE: 5/2/2014

Your privacy will be protected because you will take the survey online in the privacy of your own space and your anonymous answers will be submitted to a software database by Mind Garden Inc, an online host. Confidentiality will be protected by not including participant names or titles, and not identifying the name of any institution. The alternative to being in this study is not to participate.

Taking part in this study is voluntary. It is your free choice. You can refuse to be in it at all. If you start the study, you can stop at any time. There will be no effect on your job or relations with your University or College.

The University of Alabama Institutional Review Board ("the IRB") is the committee that protects the rights of people in research studies. The IRB may review study records from time to time to be sure that people in research studies are being treated fairly and that the study is being carried out as planned.

If you have questions about the study right now, please ask them. If you have questions about the study later on, please call David Hefner at 334.233.4916 or Dr. Nathaniel Bray at 205.348.1159.

If you have questions, concerns, or complaints about your rights as a person in a research study, call Ms. Tanta Myles, the Research Compliance Officer of the University of Alabama, at 205-348-8461 or toll-free at 1-877-820-3066.

You may also ask questions, make suggestions, or file complaints and concerns through the IRB Outreach website at http://osp.ua.edu/site/PRCO_Welcome.html or email the Research Compliance Office at participantoutreach@bama.ua.edu.

After you participate, you are encouraged to complete the survey for research participants that is online at the outreach website or you may ask the investigator for a copy of it and mail it to the University Office for Research Compliance, Box 870127, 358 Rose Administration Building, Tuscaloosa, AL 35487-0127.

I have read this consent form. I have had a chance to ask questions. I agree to take part in it. I will receive a copy of this consent form to keep.

Signature of Research Participant

Date

Signature of Investigator

Date

UNIVERSITY OF ALABAMA IRB
CONSENT FORM APPROVED: 5/3/2013
EXPIRATION DATE: 5/2/2014

Appendix C

Consent Form

Transformational and Transactional Leadership at Historically Black Colleges and Universities

Consent Form

Title of Project: Transformational and Transactional Leadership at Historically Black Colleges and Universities

Investigator Name: David Hefner

E-mail Contact Information: Dawud76@hotmail.com

You are being asked to take part in an online survey for a research project conducted through The University of Alabama. This study is called Transformational and Transactional Leadership at Historically Black Colleges and Universities. This study is being conducted by David Hefner, a graduate student at The University of Alabama. Mr. Hefner is being supervised by Dr. Nathaniel Bray, a professor of Higher Education Administration at The University of Alabama.

This study is being done to determine which types of presidential leaders – transformational or transactional – are currently leading 10 Historically Black Colleges and Universities. These 10 colleges and universities makeup nearly 10 percent of the 105 HBCUs currently in existence. With a limited body of research on HBCU senior leadership in general and HBCU presidents in particular, coupled with the significant obstacles that HBCUs are facing, this research student will help fill a critical vacuum of research and, in so doing, further inform both future HBCU presidents and the bodies that select them of prevailing thought regarding presidential leadership at 21st HBCUs

If you agree to participate

You have been asked to be in this study because you are either a middle- or senior-level administrator or academic administrator at your institution. About 300 other people will be in this study. If you meet the criteria and agree to be in this study, you will be asked to complete and submit a short survey. It should take between 10-15 minutes of your time. The only cost to you is your time, and you will not be compensated for being in this study.

Risks/Benefits/Confidentiality of Data

There is little to no risk foreseen by your participation because the survey asks non-sensitive questions and the answers are anonymous. However, the benefits of your participation may be used to help ensure the viability and future success of Historically Black Colleges and Universities for this century and beyond.

Your privacy will be protected because your answers will be anonymous. Your anonymous responses will be submitted to a software database by Mind Garden Inc, an online host.

Confidentiality will be protected by not including participant names and titles, and not including the names of the institutions. Moreover, computer IP addresses will not be captured.

Participation or Withdrawal

Notwithstanding, taking part in this study is voluntary. It is your free choice. You can refuse to be in it at all. If you start the study, you can stop at any time. There will be no effect on your job or relations with your University or College.

If you do not want to receive any more reminders, you may e-mail us at dawud76@hotmail.com.

Contacts

If you have questions about the study right now, please ask them. If you have questions about the study later on, please call me at 334.233.4916 or Dr. Nathaniel Bray, my dissertation advisor, at 205.348.1159.

Questions about your rights as a research participant

The University of Alabama Institutional Review Board (“the IRB”) is the committee that protects the rights of people in research studies. The IRB may review study records from time to time to be sure that people in research studies are being treated fairly and that the study is being carried out as planned.

If you have questions about your rights or are dissatisfied at any time with any part of this study, you can contact, anonymously if you wish, The University of Alabama Institutional Review Board by phone at (205) 348-8461.

If you agree to participate in the research study, click on the start arrow of the survey below.

Thank you in advance for your time and participation!

If you wish to keep a copy of this document for your records, please print it now before proceeding.

Appendix D

Multifactor Leadership Questionnaire

For use by David Hefner only. Received from Mind Garden, Inc. on November 3, 2011

Multifactor Leadership Questionnaire Rater Form

Name of Leader: _____ Date: _____

Organization ID #: _____ Leader ID #: _____

This questionnaire is used to describe the leadership style of the above-mentioned individual as you perceive it. Answer all items on this answer sheet. **If an item is irrelevant, or if you are unsure or do not know the answer, leave the answer blank.** Please answer this questionnaire anonymously.

Important (necessary for processing): Which best describes you?

- I am at a higher organizational level than the person I am rating.
- The person I am rating is at my organizational level.
- I am at a lower organizational level than the person I am rating.
- Other than the above.

Forty-five descriptive statements are listed on the following pages. Judge how frequently each statement fits the person you are describing. Use the following rating scale:

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

The Person I Am Rating . . .

- | | | | | | |
|--|---|---|---|---|---|
| 1. Provides me with assistance in exchange for my efforts | 0 | 1 | 2 | 3 | 4 |
| 2. *Re-examines critical assumptions to question whether they are appropriate..... | 0 | 1 | 2 | 3 | 4 |
| 3. Fails to interfere until problems become serious..... | 0 | 1 | 2 | 3 | 4 |
| 4. Focuses attention on irregularities, mistakes, exceptions, and deviations from standards..... | 0 | 1 | 2 | 3 | 4 |
| 5. Avoids getting involved when important issues arise..... | 0 | 1 | 2 | 3 | 4 |
| 6. *Talks about his/her most important values and beliefs | 0 | 1 | 2 | 3 | 4 |
| 7. Is absent when needed..... | 0 | 1 | 2 | 3 | 4 |
| 8. *Seeks differing perspectives when solving problems..... | 0 | 1 | 2 | 3 | 4 |
| 9. *Talks optimistically about the future..... | 0 | 1 | 2 | 3 | 4 |
| 10. *Instills pride in me for being associated with him/her..... | 0 | 1 | 2 | 3 | 4 |
| 11. Discusses in specific terms who is responsible for achieving performance targets..... | 0 | 1 | 2 | 3 | 4 |
| 12. Waits for things to go wrong before taking action..... | 0 | 1 | 2 | 3 | 4 |
| 13. *Talks enthusiastically about what needs to be accomplished..... | 0 | 1 | 2 | 3 | 4 |
| 14. *Specifies the importance of having a strong sense of purpose..... | 0 | 1 | 2 | 3 | 4 |
| 15. *Spends time teaching and coaching..... | 0 | 1 | 2 | 3 | 4 |

Continued →

Not at all	Once in a while	Sometimes	Fairly often	Frequently, if not always	
0	1	2	3	4	
16. Makes clear what one can expect to receive when performance goals are achieved.....	0	1	2	3	4
17. Shows that he/she is a firm believer in "If it ain't broke, don't fix it.".....	0	1	2	3	4
18. *Goes beyond self-interest for the good of the group.....	0	1	2	3	4
19. *Treats me as an individual rather than just as a member of a group.....	0	1	2	3	4
20. Demonstrates that problems must become chronic before taking action.....	0	1	2	3	4
21. *Acts in ways that builds my respect.....	0	1	2	3	4
22. Concentrates his/her full attention on dealing with mistakes, complaints, and failures.....	0	1	2	3	4
23. *Considers the moral and ethical consequences of decisions.....	0	1	2	3	4
24. Keeps track of all mistakes.....	0	1	2	3	4
25. *Displays a sense of power and confidence.....	0	1	2	3	4
26. *Articulates a compelling vision of the future.....	0	1	2	3	4
27. Directs my attention toward failures to meet standards.....	0	1	2	3	4
28. Avoids making decisions.....	0	1	2	3	4
29. *Considers me as having different needs, abilities, and aspirations from others.....	0	1	2	3	4
30. *Gets me to look at problems from many different angles.....	0	1	2	3	4
31. *Helps me to develop my strengths.....	0	1	2	3	4
32. *Suggests new ways of looking at how to complete assignments.....	0	1	2	3	4
33. Delays responding to urgent questions.....	0	1	2	3	4
34. *Emphasizes the importance of having a collective sense of mission.....	0	1	2	3	4
35. Expresses satisfaction when I meet expectations.....	0	1	2	3	4
36. *Expresses confidence that goals will be achieved.....	0	1	2	3	4
37. Is effective in meeting my job-related needs.....	0	1	2	3	4
38. Uses methods of leadership that are satisfying.....	0	1	2	3	4
39. Gets me to do more than I expected to do.....	0	1	2	3	4
40. Is effective in representing me to higher authority.....	0	1	2	3	4
41. Works with me in a satisfactory way.....	0	1	2	3	4
42. Heightens my desire to succeed.....	0	1	2	3	4
43. Is effective in meeting organizational requirements.....	0	1	2	3	4
44. Increases my willingness to try harder.....	0	1	2	3	4
45. Leads a group that is effective.....	0	1	2	3	4

Sample

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