

The ECCSSA Journal



Special Issue

*Rethinking Leadership in Higher Education—Vision, Models,
Expansion, Inclusion, Development and Transformations*



The ECCSSA Journal

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Preface

This issue of *The ECCSSA Journal* has a focus on rethinking leadership in higher education. The 2016 conference examined the concept of leadership, how it is envisioned, understood, implemented; and, the resulting effects. We called for innovative thinking, new paradigms and models of leadership. The topic is based on a continual unifying theme calling for transformational change in society and world, based on research, theory, current and proposed innovative models and practices; and, dialogue and discussions taking place throughout the world. The movement toward productive and positive change for the good of all in society and world has been a focal point for the Association for more than a decade.

The term “*leadership*” remains an elusive one with many descriptions, interpretations and practices. The meaning of leadership and how it is practiced was at the core of this roundtable. The search for new, innovative and creative models of leadership included core areas of focus: vision, models, expansion, inclusion, development and transformations. We called for frameworks for interdisciplinary, cross disciplinary and multidisciplinary collaboration in all environments; as well as, the creation of adequate mechanisms and strategies for developing new and innovative models of leadership along with development of leaders.

Talented scholars participated in this discussion at the 2016 Roundtable from many institutions at all levels of higher learning. This *Journal* volume only provides a select sample of the dialogue. It includes the opening on addressing the conference theme reflecting new ideas from theoretical, research and policy perspectives, along with the changes in leadership focus, and newer and emerging models. In addition, there is an examination of the core areas of focus. There are many other presentations on the Association’s website and YouTube Channel.

Surprisingly, the research and discussion in the opening commentary reflect new thought and paradigms on the importance of including neuroscience and developmental science; and, the importance of integrating mindfulness leadership and transpersonal leadership—the practice of leaders embarking on an inner journey to explore the inner self to strengthen personal qualities and ethical character.

The remainder of *The Journal* features selected scholars’ perspectives on aspects of the conference theme. This includes an innovative historical analysis examining the characteristics of two courageous women who exhibited great character and leadership against tremendous odds. The final two research presentations pertain to the implementation of empathic transformative instructional strategies in teaching and learning; and, development of a transformative mentoring and student development learning program. These approaches emphasize the importance of leadership expansion across institutions of higher learning.

We hope you enjoy this volume of *The ECCSSA Journal*. Please consider contributing to the dialogue at future conference roundtables and publishing in *The ECCSSA Journal*.

Sincerely,

***Dr. Rosalyn M. King, Editor-in-Chief and
Associates, The ECCSSA Journal***

Rethinking Leadership in Higher Education – Vision, Models, Expansion, Inclusion, Development and Transformations

Rosalyn M. King

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Abstract

This opening commentary will present the framework and rationale for the ECCSSA 2016 conference theme, providing continuity in dialogue from the conference a year prior on new frontiers. This paper explores the role of leadership in higher education by examining the history and construct of leadership, how it is envisioned, understood, implemented; and, the resulting effects. Core issues and areas of focus are also presented. The discussion includes research, proposed and implemented models related to rethinking leadership in higher education at all levels; and, the search for new and emerging models.

Keywords: *Leadership, Transformational Leadership, Transactional Leadership, Servant Leadership, Distributed Leadership, Participatory Leadership, Pluralistic Leadership, Models of Leadership, Administration and Leadership in Higher Education, Issues in Higher Education Leadership, Inclusion and Diversity in Higher Education Leadership, Role of Faculty in Higher Education Leadership, Role of Student Leaders, Role of Student Service Personnel in Higher Education Leadership, New Models of Leadership, State of Leadership.*

Introduction and Background

In 2016, ECCSSA explored the role of leadership in higher education by examining the concept of leadership, how it is envisioned, understood, implemented; and, the resulting effects. ECCSSA called for innovative thinking, new paradigms and models of leadership in higher education. This involved the search for vision, wisdom and ethical practice that would result in creating equitable opportunities for all.

The state of leadership is in crisis. The construct of leadership remains a challenging potential in society and the world. It is the view of many scholars that the problems plaguing American society are largely problems of leadership. Research findings reveal the need for much greater focus on innovation in leadership development and models at all levels of society, but particularly in higher education (Petrie, 2014).

Critical Questions

Some critical questions addressed in this exploration are the following:

- *What are the visionary perspectives on new models of leadership in the 21st century?*
- *What are alternatives to the “leader-follower” model that could be impactful?*

- *What are the innovative models that are being envisioned, proposed, created or implemented?*
- *How do we prepare current and future leaders to be authentic, principle-centered, and people focused leaders of change?*
- *How do we develop models that are inclusive, diverse and empowering to all levels of leadership?*
- *How do we change traditional structures?*
- *How do we prepare students for leadership roles within the college environment and beyond?*
- *What is required and how do we shift the foundational focus of higher education from a business-centered model to an education-centered model?*

As part of the 2016 conference roundtable, ECCSSA called for proposals from visionary scholars who were developing, proposing, conducting research or implementing innovative models on the conference theme or the core areas of focus as delineated in this article and in the conference overview. This included frameworks for interdisciplinary and multidisciplinary collaboration in all environments; and, the creation of adequate mechanisms and strategies for developing new and innovative models of leadership for higher education.

The Problem—The State of Leadership

The construct of leadership remains a challenging crisis in society and world. It is the view of many scholars that the problems plaguing American society are largely problems of leadership. Research findings reveal the need for much greater focus on innovation in leadership development, theories, practices and models of leadership, at all levels of society, and particularly in higher education (Petrie, 2014).

The Misunderstanding of Leadership—What Leadership is Not

Leadership is often seen as administrative work. However, leadership has nothing to do with administrative paperwork and procedures. Scholars would call leaders with this understanding, largely administrative task masters or transactional leaders. While some of the functions of leadership may possess these responsibilities, it is not considered leadership.

Therefore, interpretations of leadership differ. Moreover, earlier models of leadership in higher education included the exclusive model, with those in leadership positions holding the power. But it has been pointed out that there were gaps in understanding and practice and that *“these models of leadership did not examine multiple aspects of identity, such as race, social class, or role within an organization, in order to determine how these conditions appear to interact”* (Kezar, 2000, p. 723).

“Leadership has nothing to do with administrative paperwork and procedures.”

The concept of leadership also is often misunderstood, misrepresented or seen differently through the lens of individuals. In American higher education, the typical model of leadership is the hierarchical model, where authority and power are assumed to be proportional to one's position in the administrative pecking order (see Astin, Astin & Associates, 1999). But per research, leadership is not hierarchical, not management, not decision-making or possessing authority. Further, it is not brute force, raw power, or incentivization.

In American higher education the typical model of leadership is the hierarchical model, where authority and power are assumed to be proportional to one's position in the administrative pecking order.

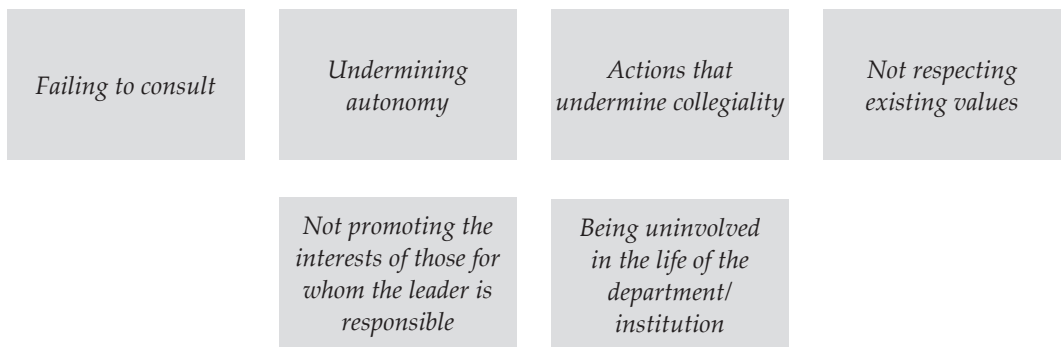
(Astin, Astin & Associates, 1999)

We suggest that such things are indicators and consequences of the failure of leadership.

(Haslam, Reicher and Platow, 2011)

Other non-models of leadership described include many of the characteristics typically displayed in many leadership roles currently. Figure 1 outlines some of these characteristics as displayed in typical models of leadership.

Figure 1. Typical Characteristics of Leadership Roles



(Bryman, 2007)

Historical Perspectives on Leadership

That leadership is an elusive concept, is supported by a team of researchers examining historical perspectives and practices on the topic specifically for business, management and industrial organizational psychology. Clemens and Mayer (1999) explored the history of leadership by examining trends in thought and behavior in classical literature and philosophy. After reviewing more than 3,000 books on leadership, they came to the conclusion that not much more is known about the subject today than in historical times. Problems central to effective

leadership such as motivation, inspiration, sensitivity and communication, have changed little in the past 3,000 years.

These authors examined and cite such historical works as Plutarch's *Lives*; Shakespeare's *King Lear*; Hemingway's *For Whom the Bell Tolls*; Plato's *The Republic*; Homer's *Iliad* and *The Odyssey*; Machiavelli's *Prince*; Arthur Miller's *Death of a Salesman*; and, Thoreau's *Walden*, as offering rich historical perspectives about leadership.

For example, Thoreau's *Walden* provides an example of the badness of bigness. Shakespeare's *King Lear* is a drama of succession, delegation and decentralization. Machiavelli's *Prince* offers lessons on the uses and abuses of power. And Plato's *Republic*, is the best text ever written on leadership style, per Clemens and Mayer (1999).

Other researchers also support this assertion that more has been written and less is still known about leadership than any other topic in the behavioral sciences. Richard Hackman and Ruth Wageman (2007) concluded that the leadership field is "curiously unformed" (p. 43). Further complicating the exploration of the meaning of leadership has been the observation that after more than one hundred years of leadership research there has been many perspectives and several paradigm shifts leading to a voluminous body of knowledge with a large amount of false starts, incremental theoretical advances, and contradictory findings.

However, research reports that the understanding about the construct of leadership and the knowledge accumulated to this point is improving. The current framework now provides an explanation about the nature of leadership (including the biological bases), its antecedents, and consequences with some degree of confidence (Day & Antonakis, 2012).

An Overview of Leadership Research

Leadership research has evolved over the decades and has been divided into nine major schools outlining the different theoretical perspectives. An overview of each follows as described by Day and Antonakis (2012, pp. 8-12).

- **Trait School**—Began at the turn of the 20th century with the "great man" or trait-based perspective. This school of thought implied that certain dispositional characteristics, such as stable personality, distinguished leaders from non-leaders. Thus, leaders were largely selected based on individual differences in personality traits thought to be associated with effective leadership.
- **Behavioral School**—Based on the pessimistic views of the Trait School, the 1950s ushered in a focus on the behavioral styles of leaders. This research focused on the behaviors that leaders enacted and how they treated followers. Research pointed to two major categories of characteristics: *consideration* (such as supportive and person-oriented) and *initiating structure* (such as directive and task-oriented). Interest in this school of thought is currently very low and perspectives from this school have been incorporated into other models of leadership (such as contingency theories and transformational leadership).
- **Contingency School**—Largely attributed to Fiedler (1967 and 1971), who espoused that the leader-member relations, task structure and the position power of the leader determined the effectiveness of the type of leadership exercised. Another view was put forth by House

(1971) that described the leader's role in clarifying paths to follower goals. Support for this model has also tapered off.

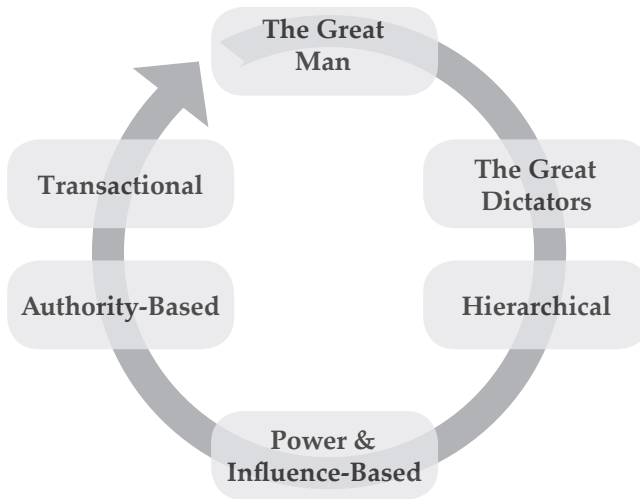
- ▶ **Relational School**—Focused on the relationships between leaders and followers and was originally called dyad linkage theory (Dansereay, Graen, & Haga, 1975), and later called leader-member exchange (LMX) theory (Graen & Uhl-Bien, 1995). This school describes the nature of the relations between leaders and their followers. High quality relations are based on trust and mutual respect and low-quality relations are based on the fulfillment of contractual obligations. High-quality relations generate more positive leader outcomes than do lower quality relations which have been supported empirically.
- ▶ **Skeptics School**—The view that people attribute leadership as a way of explaining observed results, even if those results were due to factors outside the leader's control. Some researchers suggest that what leaders do might be largely irrelevant and that leader outcomes are largely determined by the performance of the leader's group which affects how leaders are rated (see, Lord, Binning, Rush, & Thomas, 1978). Others question whether leaders are needed and whether they make a difference to organizational performance (see Meindl & Ehrlich, 1987; Pfeffer, 1977).
- ▶ **Information-Processing School**—Understanding how and why a leader is legitimized and accorded influence based on personal characteristics, level of cognition and the cognitive and emotional match of followers (see Lord, Foti & DeVader, 1984). Other researchers explored the relationship of cognition to enactment of various behaviors (see Balkundi & Kilduff, 2005; Wofford, Goodwin, & Whittington, 1998).
- ▶ **New Leadership (neo-Charismatic/Transformational/Visionary) School**—The view that previous models of leadership were mainly transactional—largely focused on the mutual satisfaction of transactional obligations (Bass, 1985; Burns, 1978; House, 1977). Bass believed that a different form of leadership was required to account for outcomes centered on a sense of purpose and an idealized mission for followers. He called this type of leadership transformational leadership. Transformational leadership demonstrated idealized and inspiring leader behavior that induced followers to transcend their interests for that of the greater good. Transformational and charismatic leadership comprise the single most dominant leadership paradigm over the past decade (Day & Antonakis, 2012).
- ▶ **Biological and Evolutionary School**—The focus is on a hard science approach to leadership measuring direct observable individual differences such as biological variables and processes. This is a novel research stream. This perspective also considers why certain variables might provide an evolutionary advantage to an organism. The school explores the *behavioral genetics of leadership emergence* (Ilies, Gerhardt & Le, 2004) to *leadership role occupancy* (Arvey, Zhang, Avolio & Krueger, 2007; Ilies et al., 2004). Other explorations include: *studying the effects of hormones on correlates of leadership, such as dominance* (Grant & France, 2001; Gray & Campbell, 2009; Sellers, Mehl, & Josephs, 2007; Zyphur, Narayanan, Koh, & Koh, 2009); *neuroscientific perspectives of leadership* (Antonakis, Ashkanasy, & Dasborough, 2009; Chiao, Mathur, Harada, & Lipke, 2009; Villarejo & Camacho, 2009); *evolutionary points of view* (Antonakis & Dalgas, 2009; Kramer, Arend, & Ward, 2010; Smith, Larimer, Littvay, & Hibbing, 2007; Van Vugt & Schaller, 2008), and, *integrative biological*

perspectives (Caldu & Dreher, 2007). This school may make significant contributions to a framework for understanding the sociobiology of leadership.

Current Models of Leadership

The focus of the 2016 conference was to rethink and investigate transformative current leadership models in higher education. Figure 2 displays the most prevalent current models of leadership. Two models are discussed.

Figure 2. Current Models of Leadership



Transactional Leaders Versus Transformational Leaders

Not only was ECCSSA calling for transforming leadership, but the result of these new models should produce transformational leaders and not transactional leaders. However, the transactional leadership model is the prevailing model largely practiced today. Below are some distinctions.

Transactional Leadership

- **Transactional leaders** seek to motivate followers by appealing to their own self-interest.
- **Transactional leaders** use conventional reward and punishment to gain compliance from their followers.
- **Transactional leaders** accept the goals, structure and culture of the existing organization. They must do so because this type of leadership is ineffective at bringing about significant change.
- **Transactional leadership** can be active or passive.

Transactional Passive Leadership

To influence behavior, the leader uses correction or punishment as a response to unacceptable performance or deviation from the accepted standards.

Transactional Active Leadership

To influence behavior, the leader actively monitors the work performed and uses corrective methods to ensure the work is completed to meet accepted standards.

Transformational Leadership

Transformational leadership requires a high level of authenticity, self-esteem, motivation, ethics, and self-actualization. Transformational leadership inspires wholeness of being; so, thoughts, feelings and actions are consistent. It is about leading with an integrity and authenticity that resonates with others, and inspires them to follow. Not only does it inspire others to follow, but inspires others to become leaders themselves.

Transformational Leadership

“...occurs when one or more persons engage with others in such a way that leaders and followers raise one another to higher levels of motivation and morality.”

(Burns, 1978, p. 20)

The Meaning and Construct of Leadership

The notion of leadership has gone through many twists and turns, meanings, definitions and practice. The construct is still being queried as to its meaning. What is leadership? Definitions, descriptions and perspectives of the construct and the many ways leadership is perceived were examined.

Leadership is a Property of Culture and Shared Values

Leadership has been defined as “a social construct which derives from observations made about specific interactions within a society; and, is defined differently in each social circumstance. Leadership is thus a property of culture and reflects the values – both stated and operating – of a specific society” (Astin & Astin, et al, Kellogg Foundation, 2000, p. 5).

According to the Kellogg Foundation Report, *Leadership Reconsidered: Engaging Higher Education in Social Change*, the authors state the following:

“So closely identified with other expressions of the human spirit – hope, commitment, energy, and passion– leadership has often escaped precise definition. And yet, we respect its power to transform and are quickly able to sense its absence. We have, in short, come to believe in leadership because of the impact

it can have on people and events. And we believe that the capacity to lead is rooted in virtually any individual and in every community. (Astin, Astin, et al., p. 5)

Leadership Effects Change

The Center for Creative Leadership would agree. A leader can be anyone who is actively engaged in making a positive difference for society and who serves as an effective change agent. In this case, every faculty, staff and student in higher education has the potential of being a leader.

Leadership Can Be Positive, Negative and Destructive

The results of leadership can be positive or negative, uplifting or destructive. Leadership can also be a powerful tool for strengthening any institution, society or human potential. At the core of excellent leadership permeates values, moral principles and an ethical compass. In the Kellogg study on the purposes of leadership, they see leadership encompassing the following values:

- Creating a supportive environment where people can grow, thrive, and live in peace with one another;
- Promoting harmony with nature and thereby providing sustainability for future generations; and
- Creating communities of reciprocal care and shared responsibility where every person matters and each person's welfare and dignity is respected and supported. (p.20)

The findings from this study conclude that the value end of leadership should be to enhance equity, social justice, and the quality of life. Furthermore, leadership should expand access and opportunity, encourage respect for difference and diversity, and strengthen democracy, civic life and civic responsibility. Leadership should also promote cultural enrichment, creative expression, intellectual honesty, advancement of knowledge and personal freedom combined with social responsibility.

As indicated previously, the concept of leadership is often misunderstood, misrepresented or seen differently through the lens of individuals. The hierarchical model dominates in American higher education (see Astin, Astin & Associates, 1999).

According to organizational theorists, a good starting point would be to begin with redefining what leadership truly should encompass, by shifting the focus from leadership as a person or role, to leadership as a process (Petrie, 2014). Toward this end a new mindset is necessary along with new skills and knowledge for a new leadership model of the future.

"All the tools in the world will not change anything if the mindset does not allow and support change."

(McGonagill & Doerffer, 2011)

Leadership Serves and Inspires Others

Per the conference proceedings from the World Economic Forum in 2012 on new models of leadership:

"A leader is focused to serve other people in a way that these other human beings start to unfold their true talents and capacities. It is by one's way of being how the leader inspires other people to be their best. A leader becomes so by the beauty of his or her intention and commitment expressed in resolved action."
(World Economic Forum, 2012, p.1)

Leadership Makes a Positive Difference

The Center for Creative Leadership (2016) would agree as indicated earlier. They believe that a leader is anyone who is actively engaged in making a positive difference and who effects change. This is a broader concept of leadership and expands that capability to all individuals as having leadership potential.

For psychological scientists, Haslam, Reicher and Platow (2011), leadership must be distinguished from management. The two are not synonymous.

*Leadership is about shaping beliefs, desires, and priorities.
It is about achieving influence, not securing compliance. Leadership needs to be distinguished from such terms as management, decision-making and authority.*

(Haslam, Reicher & Platow, 2011)

Leadership is a Relationship

Jim Kouzes and Barry Posner wrote in their classic book, *The Leadership Challenge*, that *"leadership is a relationship between those who aspire to lead and those who choose to follow."* Practicing followership requires that leaders think through how they will create, develop and grow relationships with followers. To do this, leadership should have some strategies for relationship.

- **Look beyond direct reports**—When defining followers, see who is influenced and inspired to act because of their relationship with the leader. This can include customers, partners and suppliers – anyone who will enter some type of relationship with you. This is the potential follower.
- **Understand why they think it's important to follow you**—Do a leader's ideas move them? Are they impacted by the leader's decisions? People are busy, yet they made a conscious decision to give the leader part of their attention. It is important to ascertain the reason.
- **Gauge the quality of your follower relationships by their actions**—Quantity is not nearly as important as quality, which is measured by how many followers end up taking an action that creates value for the organization. Do they follow the leader when you lead them? Do

they amplify the leader's voice, intent and actions? Do they execute? If they do not, it is not that they are not good followers. Rather, the problem may be that the leader is not creating a reason for them to follow.

(Kouzes & Posner, 2012)

Leadership is an Influencing Process

Per Day and Antonakis (2012), *leadership can be defined in terms of (a) an influencing process—and its resultant outcomes—that occurs between a leader and followers and (b) how this influencing process is explained by the leader's dispositional characteristics and behaviors, follower perceptions and attributions of the leader, and the context in which the influencing process occurs* (p. 5). They indicate that their definition still incorporates some of the most commonly used definitional features such as: the leader as person (dispositional characteristics), leader behavior, the effects of a leader, the interaction process between a leader and follower(s), and the importance of context.

Leadership Creates a Supporting and Equitable Environment

As indicated, the results of leadership can be positive or negative, uplifting or destructive. Effective leadership can also be a powerful tool for strengthening any institution, society or human potential. At the core of excellent leadership permeates values, moral principles and an ethical compass.

In the Kellogg study on the purposes of leadership, they see leadership encompassing the following values:

- Creating a supportive environment where people can grow, thrive, and live in peace with one another;
- Promoting harmony with nature and thereby providing sustainability for future generations; and
- Creating communities of reciprocal care and shared responsibility where every person matters and each person's welfare and dignity is respected and supported. (Astin, Astin, et al., 2000, p. 20)

Study findings conclude that the value end of leadership should be to enhance equity, social justice, and the quality of life. Furthermore, leadership should expand access and opportunity, encourage respect for difference and diversity, and strengthen democracy, civic life and civic responsibility. Leadership should also promote cultural enrichment, creative expression, intellectual honesty, advancement of knowledge and personal freedom combined with social responsibility.

We all are born with the possibility of becoming a source of inspiration and support for other people, but very few among us have the determination, persistence and patience which are needed to tap into our true inner resources and unfold our natural capacities. The inner journey of a leader is the process through which one discovers not who one is but who one could be (World Economic Forum, 2012).

Leaders Inspire

“A leader is focused on serving other people in a way that other human beings begin to unfold their true talents and capacities. It is by one’s way of being as to how the leader inspires other people to be their best. A leader becomes such by the beauty of his or her intention and commitment expressed in resolved action.”

(World Economic Forum, 2012)

Leadership Core Issues and Areas of Concern

The search for new, innovative and creative models of leadership in higher education includes addressing several issues and areas of concern. These core areas are discussed below.

Vision

Vision is not typically an essential ingredient in current leadership models. Vision involves thinking about or planning the future with imagination, innovation and wisdom. Visionary leaders are uncommon. They are open to new ideas and are creative and expansive in their thinking. Some of the qualities of visionary leaders as described in research include openness, imagination, persistence and conviction. Visionaries often possess the ability to see things with their mind’s eye often long before others. Visionary leaders are highly sensitive. They are futuristic and make good predictions. They are able to build accurate conceptual models of the future based on their keen understanding of the present. Visionary leaders spend their lives following their dreams and bringing them into reality. Visionary leaders possess a sense of personal destiny (Creative Leader, 2016).

“Vision is the art of seeing things invisible.”

(Jonathan Swift)

Models

Models include developing theoretical frameworks. We build models to demonstrate theory. A model takes the theoretical abstraction and put it into a form that we can manipulate and simulate. Then there is a model building process. Simulation then is implementation of the model. Models are piloted or tested; and, the tested models are assessed for effectiveness, modified and implemented. The 2016 ECCSSA conference called for identification of new novel, innovative, and visionary models of successful leadership in higher education. While some new models are emerging to define leadership in theory and practice, this has been a slow process in developing, piloting, analyzing and implementing new leadership models. There is a

wide call by research scholars and leadership development teams for new models of leadership in higher education.

Expansion

The Kellogg Foundation's Report findings and recommendations are timely. Each college and university faculty and staff member is modeling some form of leadership, informally. Expanding the concept of leadership is essential. Such expansion would empower those already performing leadership roles and who may be working behind the scenes, may not be the charismatic talkers, but also who currently receive no recognition. The research makes important points about expanding the role of leadership. This includes identifying leaders at all levels of higher education.

College and university faculty are able to provide the kind of leadership that could transform institutions toward greater community, cooperation and harmony. Teaching faculty are considered the stewards of the institution; and, they tend to have the greatest longevity. Teaching faculty are also a powerful force in the development of young people. Many faculty members are among a community of scholars and are typically knowledge-based. Teaching faculty are also called to serve society as agents of societal transformation. They provide leadership—and some in a profound way-- on many levels as teachers, scholars and servants to the larger society.

Per research, some faculty members have developed a strong mistrust of leadership in higher educational institutions. There seems to be a disconnection between faculty and administration. Adversarial camps have developed where the creation of the “us-them” mentality and behavior separates the faculty from administration, and oftentimes, other departments as well, such as student services and other staff (see Ginsberg, 2011; Scharmer, 2013). Scharmer examines in more detail the issue of leadership disconnection. From his work, he states:

“We collectively create results that nobody wants because decision-makers are increasingly disconnected from the people affected by their decisions. As a consequence, we are hitting the limits to leadership—that is, the limits to traditional top-down leadership that works through the mechanisms of institutional silos.” (p. 46)

Further, this mentality is oftentimes promoted by the administration, per many. It is indicated that such behaviors are dysfunctional to transformative leadership and true shared governance. Transformative change requires looking for ways to repair the disconnection and restore trust (Astin & Astin, 2000; Ginsberg, 2011). Some institutions of higher education place a high value on the importance of the faculty, particularly instructional faculty, while others do not. For Ginsberg, there is a need for a model to help faculty regain their voice and become empowered. There also is a need for a new paradigm of leadership in higher education. While administrators can evaluate faculty and in some instances, have very laborious and punitive structures in place, no mechanisms are in place at most institutions of higher education to hold administrators accountable for their actions or effectiveness in supporting and meeting the needs of instructional faculty.

Student Affairs professionals have the capacity to more effectively utilize their resources and assets in designing purposeful learning environments and communities that encourage leadership

development, contribute to organizational transformation, as well as, social change. This includes all aspects of service delivery. These professionals should focus on students' holistic development. Student affairs professionals should be involved in the active facilitation of students' social, emotional, physical, spiritual and cognitive growth. Student Affairs personnel should have a philosophical perspective and a way of interacting with students, faculty, administration and community through a variety of services, activities and programs (Astin & Astin, 2000).

Research indicates that personal beliefs as well as institutional constraints, culture and administration may prevent student service professionals from being an integral part of the academic loop. These may be contributing factors as to whether student service personnel see themselves as educational leaders or as a contributor to transformational change. The work of student affairs-services personnel presents many opportunities to model the principles of transformative leadership. Many believe these opportunities are underutilized (Astin & Astin, 2000).

Students observe and generate their notions and conceptions about leadership from their observation of models and interactions in the classroom, campus environment, and participation in campus activities. They also learn intentionally and unintentionally from such models; as well as, through their engagement in the educational process. Leadership development for students should be a critical part of the college experience and campus life. Student leadership development can enrich the college experience, empower students and broaden their sense of self and civic responsibility. Students also have the potential to change the institutional culture (Astin & Astin, 2000).

There is much in the research literature about middle management—*Deans and associates, Provosts* and others—in higher education administrative leadership roles. The model is largely that of transactional leadership. Much is said about these leaders' roles being dated, redundant and authoritarian. Many institutions of higher education are following a business model which is not applicable to institutions of higher learning and who should have a different and more appropriate model tailored to higher education.

Furthermore, per Ginsberg, there has been a strategic shift and a disproportionate over flux of administrators in higher education. Until the last decade or so, American universities were led mainly by their faculties, which viewed intellectual production and pedagogy as the core mission of higher education. Today, as Ginsberg indicates in his study on the *Fall of the Faculty* (2011) “deanlets,” and administrators and staffers, often without serious academic backgrounds or experience, are setting the educational agenda or lack thereof. In the past decade, universities have added layers of administrators and staffers to their payrolls every year while pushing out full-time faculty in increasing numbers.

In a further irony, many of the newly minted—and non-academic—administrators are career managers who downplay the importance of teaching and research, as evidenced by their tireless advocacy for a banal “life skills” curriculum. Further, faculty are being favored who have a less than rigorous instructional program. Consequently, students are denied a more enriching educational experience—one defined by intellectual rigor (see Ginsberg, 2011).

The leadership model of *College Presidents* also is being examined, since, per leadership experts, there is no well-defined standard description of the functions and duties of the President; and, these job descriptions vary according to institutional culture and perspectives. College Presidents largely have two major roles: symbolic and functional. Even with these generic descriptions, leadership scholars reveal that there is no well-defined model of the Presidential role in higher education. Other discussions pertain to structure, role and makeup of *Institutional Boards of Trustees*. Most college Presidents are viewed as playing largely an interpersonal and political role.

What is revealed from this examination of the discussions, writings and research is that leadership concepts and practices are outdated and antiquated and no longer the province of the few, the privileged, the designated from the *old buddy network*, or the merely ambitious. There is a call for a more expansive leadership model and more dynamic and creative leaders.

Inclusion

Building and promoting an inclusive community should be important to higher education institutions. It challenges higher education to develop educational policies and teaching practices that promote a civic culture inclusive of diversity (Aguirre & Martinez, 2002; Butler, 2000; Checkoway, 2001). This also includes the diversity of abilities and ideas and not “groupthink” or “do as I say.”

Inclusion puts the concept and practice of diversity into action by creating an environment of involvement, respect, and connection—where the richness of ideas, backgrounds, and perspectives are harnessed to create business value. Organizations and higher education institutions need both diversity and inclusion to be successful (Jordan, 2011).

While diversity in organizations is increasingly respected as a fundamental characteristic, neither acceptance nor appreciation have equated to inclusive and representative workplaces where unique vantage points of diverse people are valued. Inclusion enhances an organization’s ability to achieve better business results by engaging people from diverse backgrounds and perspectives through participatory decision-making (Jordan, 2011). Diversity is not to be equated with Affirmative Action as it often is in higher education.

A critical question raised by one expert relative to racial diversity is: Can faculty of color become viable authoritative agents of leadership in a superficial multicultural academe? A noteworthy observation is that nearly 85 percent of the top-ranked positions in doctoral granting institutions are held by whites and 66 percent are held by males (Chun & Evans, 2011).

Contreras (1998) presents the notion of leading from the margins. This entails the recognition that minority faculty are marginalized in the organizational culture in higher education. They are also usually isolated in a closely-knit networking system for some, where they are excluded, invisible, and have no voice. Other researchers indicate that minority faculty are generally located on the periphery of mainstream decision-making and participatory contexts in higher education (Aguirre, 1987; Turner & Myers, 2000 as cited in Aguirre & Martinez, 2002). This marginalization of minority faculty makes minority faculty silent in leadership practices in higher education and the fact that you may see them, but they do not have a voice. In addition, there are many reports of isolation, exclusion and micro-aggression.

Moreover, even the notion that minority faculty are role models in higher education silences them in leadership activities because the role model idea requires that they be homeostatic; that is, unchanging and non-critical of existing social relations and institutional practices (see Delgado, 1991).

In a survey of minority administrators in higher education public and private research universities in all geographic regions of the U.S., from the level of director and above, minority administrator respondents report significantly higher levels of mistreatment due to race as compared to white administrators, with the highest among African American administrators. Study findings also reported lack of support from supervisors, differential treatment in favor of the majority administrator, lack of participation in decision making, bullying and forms of emotional tyranny including threats and psychological domination among other factors. In addition, discrimination and micro-aggression were cited as the leading contributors to severe mental and physical toll, as well as, workplace stress arising from discriminatory treatment. The study also includes an extensive analysis of how differential treatment can occur in the processes of hiring, promotion and advancement, compensation and discipline (Chun & Evans, 2011).

“Lack of support from supervisors, differential treatment, lack of participation in decision-making, bullying and forms of emotional tyranny including threats and psychological domination [are] some of the concerns reported by the diverse administrators in our study.”

(Chun & Evans, 2011, p. 4)

The overwhelming conclusion from the research experts is that minority faculty face significant obstacles to becoming viable agents of leadership in higher education or change organizational practices involving the distribution of power and privilege that determines the practice of leadership.

There is a need for an identification of character traits in leaders who understand the importance of inclusion and fairness; and, who can build diverse educational and leadership communities. Leadership models outlining processes and strategies for inclusion and a synergistic association between diversity and leadership are needed (Aguirre & Martinez, 2002). Moreover, more inclusive models are needed outlining empowering leadership practices that replace hierarchical coercive models and reflect what should be the democratic purposes of higher education (see Chun & Evans, 2011).

Development

While the environment, nature and challenges of leadership have changed over the years, the methods for developing leaders have not kept up with the pace. There is very little professional development for leaders. According to one commentator on the subject, higher education is suffering... *“we almost never hear about great leadership in higher education, and a case can be made that this is because there is very little of it”* (Portney, 2011, p. 2). Portney explains further that even

when you look at college and university presidents alone, and the complexity of their roles, they need more leadership training than business managers, but they get none. Even local, state and federal government devote more resources to developing leadership talent than most progressive colleges and universities in higher education. Furthermore, the skills needed for leadership have also changed; and, more complex and adaptive thinking abilities are needed.

Future models need to include much greater focus on innovation in leadership development methods. Per research, there are no models available that are sufficient to develop the levels of collective leadership required to meet the needs of an increasingly complex future (Petrie, 2014). Four transitions are outlined for leadership development in Figure 3.

Figure 3. Four Transitions in Leadership Development

Current Focus	Future Focus
The “What” of Leadership	The “What” and “How” of Development
Horizontal Development	Horizontal and Vertical Development
HR and Training Companies Own Development	Each Person Owns Development
Leadership Resides in Individual Managers	Collective Leadership is Spread Throughout the Network

(Petrie, 2014, p. 6)

Horizontal development is the development of new skills, abilities, and behaviors. Vertical development refers to the cognitive developmental stages that people progress through relative to how they make sense of the world, and therefore leadership. Vertical development calls for cognitive absorption and reflection and not just steps of carrying out administrative tasks.

Therefore, the leadership challenge includes not only building new models but also crafting visionary thinking on strategies for development of leaders. McGuire and Rhodes asserts that (2009), *“organizations have grown skilled at developing individual leader competencies, but have mostly ignored the challenge of transforming their leader’s mindset from one level to the next. Today’s horizontal development within a mindset must give way to the vertical development of bigger minds”* (as cited in Petrie, 2014, p. 12).

Thus, a new leadership paradigm is emerging with a shift away from the one-way, hierarchical, organization-centric model toward a two-way, network centric, participatory and collaborative leadership model (see McGonagill & Doerffer, 2011).

Complex environments will reward flexible and responsive, collective leadership. The time is rapidly approaching for organizations to redress the imbalance that has been created from the exclusive focus on the individual leadership model (Malone, as cited in Petrie, 2014).

Transformations

ECCSSA searched for transformations in leadership models in higher education; and, leaders implementing transformational change. Transformation requires a leader committed to new

thinking, learning and actions. It also requires leaders that are visionary, creative and ethically based. Transformational leadership should lead to sustainable change but requires changing the mindset.

As indicated previously, new models of leadership should represent diversity of people and ideas. New models should also include leaders with an understanding and connection with humans, an understanding of the human psyche; and those who possess the personal qualities of wisdom and maturity.

The purpose of leadership is service to others and development of human potential, not its destruction. This includes being objective and nonjudgmental, exclusive of terrorist or punitive actions, unnecessarily. Transformations in leadership also require development of individuals in keeping with the new models and new paradigms currently being explored and proposed.

Characteristics of Effective Leaders

When examining the characteristics of effective leaders as espoused by several leadership scholars, some of the following important qualities were described as presented in Figure 4 below.

Figure 4. Characteristics of Effective Leaders

- Effective leaders possess, promote and convey values, moral principles and an ethical compass.
- Effective leaders create a supportive environment where people can grow, thrive, and live in peace with one another.
- Effective leaders promote harmony with nature and thereby provide mechanisms for ensuring sustainability for future generations.
- Effective leaders create communities of reciprocal care and shared responsibility where every person matters and each person's welfare and dignity is respected and supported.

~ (Astin & Astin, et al., 2000) ~

- Effective leaders provide direction and create a structure to support the direction.
- Effective leaders foster a supportive and collaborative environment.
- Effective leaders establish trustworthiness as a leader and have personal integrity.
- Effective leaders possess credibility to act as a role model--respecting existing culture and protecting staff autonomy.
- Effective leaders create an environment or context for academics and others to fulfill their potential and interest in their work.
- Effective leaders foster a collegial climate of mutual respect and supportiveness.

~ (Bryman, A., 2007) ~

- Effective leaders model the way.
- Effective leaders inspire a shared vision.
- Effective leaders enable others to act.
- Effective leaders encourage the heart-recognizing individual contributions and celebrate individual and collective accomplishments.

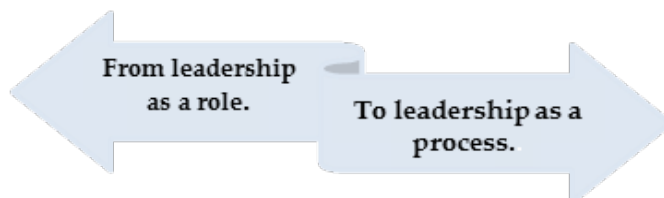
~ (Kouzes, J. & Posner, B., 2012) ~

Toward New Models of Leadership

“The ancient saying — “as within, so without” — comes to mind, for conventional models of leadership have themselves reached a ceiling. Without the emergence of new leadership models (and more importantly new leadership practices) that understand that mechanical and Newtonian worldviews are no longer full representations of the world in which we live, we will remain stuck, banging our heads against the ceiling — where the ceiling is actually getting in our own way and arguing for our own limitations.” (World Economic Forum, 2012)

There is a global call for new models of leadership. Per organizational theorists, a good starting point would be to begin with redefining what leadership truly should encompass (Petrie, 2014).

A Shift in Emphasis



Toward this end a new mindset is necessary along with new skills and knowledge for a new leadership model of the future. There is a call for a shift in consciousness and a new worldview.

“All the tools in the world will not change anything if the mindset does not allow and support change.”

(McGonagill & Doerffer, 2011)

“It is only an internal worldview shift that can enable, or more accurately allow, new external possibilities, resources, innovations and pathways to become knowable and available to us.”

(World Economic Forum, 2012)

Sharpening Developmental Domains

The World Economic Forum (2012) has a vision that at the heart of the new leadership model is a space in which the leader has developed skills, competencies and attitudes. Critical competencies in the new model include three major aspects:

- **Emotional**—which includes empathy, social-awareness, altruism, mindfulness, learning from failures, and critique;
- **Social**—the creation of ecosystems, the building of deep relationships and strong links to the community; and, the foundations of these social aspects are building networks and engaging in deep collaboration; and
- **Intellectual**—deep mastery, creativity, innovation, passion and a worldview.

At the center of these three aspects per the Forum report is *purpose* that brings energy and focus to the leader. *How do you create a strong shared sense of purpose?* It is believed that purpose is crucial to leadership. The leader must be flexible enough to adjust to changing circumstances, and challenges, difficulties and uncomfortable circumstances. These are true signs that a purpose exists. It is reported that purpose flourishes when teams can work collaboratively, and flounders when it is driven by ego; the sense that “*me*” outweighs the sense of “*we*.”

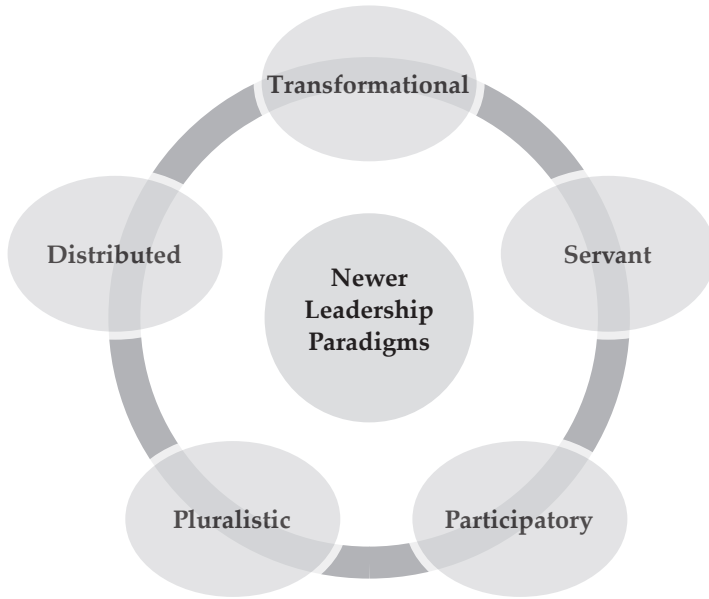
Cognitive Shift and Change in Worldview

The call for new paradigms of leadership requires a change in consciousness and worldview. New models and practices are needed to help us step over a critical threshold from a personal, organizational and societal point of view. This threshold has been referred to by some as a threshold of ego-development – a movement from a conventional, objective and fragmented view of the world, to a more post-conventional, subjective and interdependent view of the world. Either way, it is only an internal worldview shift that can enable, or more accurately, allow new external possibilities, resources, innovations and pathways to become knowable and available to us. It is this threshold that new models of leadership need to illuminate, challenging leaders to muster the humility, energy and wisdom to step forward and over.

New Directions and Emerging Models

There are some definitive new directions in leadership as well as more recent emerging models. To some extent it is not what the new models of leadership are that is the issue. Researchers believe the challenge is how to define the subtle skills and complex capacities that are needed and how to teach them in weeks or months, not years. While transformational leadership is the most prevalent model being espoused, there are other models as presented in Figure 5. Each model is discussed briefly.

Figure 5. Newer Models of Leadership



Transformational Leadership Model

As indicated previously, *transformational leadership* begins with the individual and comes from a base of knowledge. Thus, the individual is transformed. The individual that is transformed will have a new perspective and meaning of life and will apply its principles to every aspect of life. This type of leadership will provide the basis for the person wanting to transform every organization that he or she interfaces with. They will have a basis for their judgment or assessment of every situation they confront. Transformational leadership as described earlier “...occurs when one or more persons engage with others in such a way that leaders and followers raise one another to higher levels of motivation and morality” (Burns, 1978, p. 20).

Servant Leadership Model

Servant Leadership connotes the *call to serve*. This model of leadership includes authenticity, humility, facilitating and meeting the needs of others with insight, listening skills, and more. Servant leadership also includes fostering problem solving and taking responsibility at all levels. This leadership model promotes emotional healing in individuals and the organization. The means are as important as the ends and it embraces paradoxes and dilemmas. Servant leaders leave a legacy to society and encourage the development of more servant leaders (see Wheeler, 2012).

Participatory Leadership Model

The *participatory leadership* model is based on respect and *engagement*. It constructively focuses *energy* in every human to human *encounter*. A more advanced, more democratic and more

effective model of leadership, it *harnesses* diversity, *builds* community, and *creates* shared responsibility for action. It deepens individual and collective learning yielding *real* development and growth (see participatory leadership.com).

Participatory leadership relies on interdependence and collective efforts. It necessitates that campus participants feel included in the leadership process and emphasize communication throughout the organization as critical for organizational success. Participatory models assume a common leadership reality for all individuals within the organization. Participatory leadership requires all individuals to be involved in the leadership process. This would include faculty, staff and students. While hierarchical leadership excludes the understanding of people who do not hold formal leadership positions. Administrators usually talk to each other and assume that leadership can only be understood best by those who are in official administrative positions.

Pluralistic Leadership Model

Pluralistic leadership incorporates diverse voices that reflect the culturally pluralistic society that we live in. Cultural diversity in organizations indicate that when one stifles or not acknowledge difference, this can lead to organizational inefficiency, lack of productivity, reduced quality and the inability to meet organizational goals (Cox, 1993; Kezar, 2000). On the other hand, knowledge and recognition of cultural differences enhance work relationships, effectiveness, and the ability to reach organizational goals. Per Kezar, “*many institutions find themselves struggling with resistance, losing disenfranchised faculty or administrators who think others do not respect their perspectives; and, embattled with miscommunication and conflict*” (p. 723).

Distributed Leadership Model

Distributed leadership recognizes the teacher as leader and the administrative roles they undertake, along with the administrator. Distributive leadership is closely aligned with collegiality and professional autonomy.

Distributive leadership focuses on the mechanisms through which diverse individuals contribute to the process of leadership in shaping collective action. Some use the term “shared leadership.” Two principles underpinning distributed leadership are: 1) that leadership is a shared influence process to which several individuals contribute; and, 2) leadership arises from the interactions of diverse individuals which together form a group or network to disperse essential expertise (see Bolden, Petrov & Gosling, 2008; Jones, Lefoe, et al., 2012).

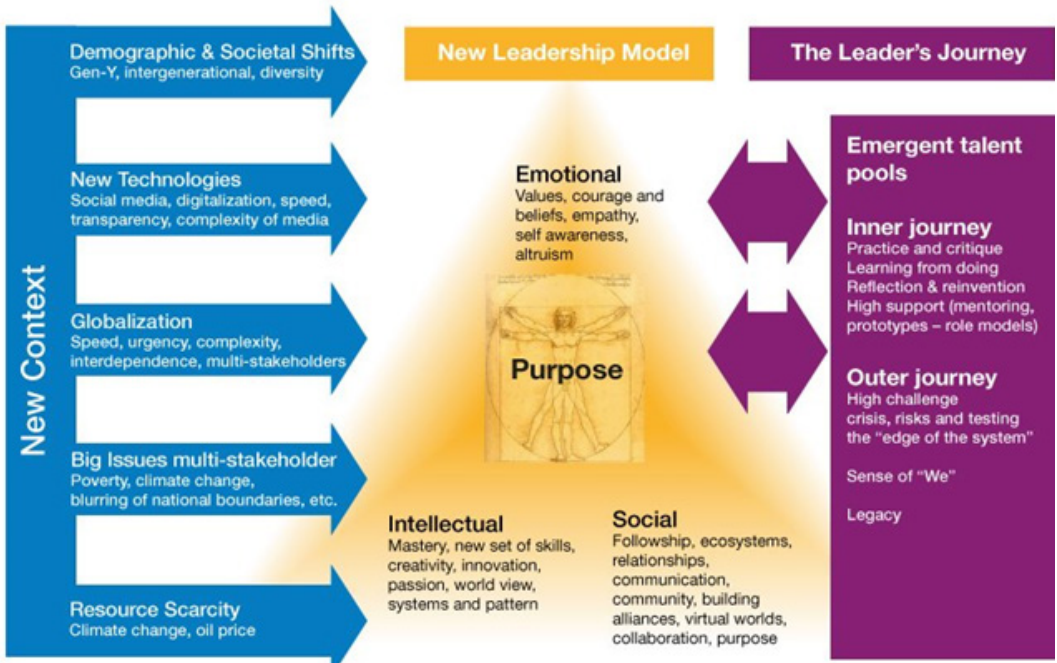
The World Economic Forum Proposed Model of Leadership

We are amid a profound shift in the context in which leadership takes place and in what it takes to flourish as a leader, according to The World Economic Forum’s Global Agenda Council on New Models of Leadership. Over a six-month period in 2011 and 2012, they convened to create an in-depth dialogue about the extent and likely impact of these changes. This is a diverse Council representing leaders from various industries and members from leadership development within corporations, academia, non-governmental organizations and sports authorities. The model presented in Figure 6 describes the Council’s collective assumptions about new models of leadership. In summary, they believe that there is a *quantum change* in the context in which

leadership is taking place. This emerging context is defined by significant demographic and societal changes, fundamental technological advances and continuous globalization, as well as complex multi-stakeholder issues and resource scarcity. Figure 6 presents this model of leadership as formulated by this Global Council. Figure 7 presents their comparative analysis of old paradigms of leadership with newer models.

Figure 6. World Economic Forum Proposed Model of Leadership

Towards a New Model



(Global Agenda Council, World Economic Forum, 2012)

Figure 7. Comparative Analysis of Old vs. New Models of Leadership

Old models of leadership		New models of leadership	
External shifts from...		to also...	
1. Building high performance (achiever) cultures		Building cultures of innovation	
2. Controlling linear value chains		Innovating across complex ecosystems	
3. Technology as enabler		Technology as catalyst	
4. Silos and matrices structures (mechanical)		Adaptive cells and self-organizing communities (biological)	
5. Objective, planned strategies		Creative journeys and innovation pathways	
6. Profit-driven (i.e., gain)		Purpose-driven (i.e., contribution)	
7. Baby boomers and Generation X as the dominant worldview we need to manage		Generation Y & Millennials as the dominant worldview we need to inspire	
8. The management of change		The choreography of transformation	
9. The dominance of hub and spoke operational teams and agenda-based meetings		The power of creative teams and the design of leadership containers	
10. Innovation as the management of a processes		Innovation as a way of thinking, relating and learning	
Which require internal shifts from...		to also...	
1. The linear management of time		Knowing how to speed up and slow down of time	
2. Fact-based decision-making		Pattern-based evocation	
3. Competencies and capabilities		Subtle skills and complex capacities	
4. Driving performance (push)		Calling forth potential (pull)	
5. Systems thinking: using the power of our intellect to decode cause and effect and to interrupt reinforcing and balancing loops		Systemic awareness: using embodied and phenomenological data to unblock energetic entanglements and to restore creative flow	
6. Minimizing tension		Harnessing creative tension	
7. Message-based communication		Outcome-based communication	
8. Ideation-based creative tools		Insight-based collective intelligence	
9. Working with tangible forms		Working with intangible energies	
10. Learning how to plan work		Learning how to design breakthrough	

(Global Agenda Council, World Economic Forum, 2012)

Leadership Development and the Leader’s Inner Journey

Mindfulness Leadership

There is an overwhelming movement in the studies on leadership that advocate for more interpersonal training for leaders. An emerging paradigm on identifying and preparing leaders suggests that to be an effective leader, the leader needs to explore the inner self. Discovering the inner journey is the only way to get in touch with one’s inner self. It is a way to get rid of the train of disturbing thoughts which break through our consciousness without our permission. Leaders need to have the attitude of someone who acknowledges that one does not know

everything but should be committed to explore and learn. Without that humility, some of the mysteries of one's true nature will not be revealed (World Economic Forum, 2012).

Therefore, the leader's journey is an inner one. MIT Professor, Otto Scharmer has spent more than a decade working with leaders to support them on their journey and has conducted many professional development training classes and seminars for leaders. He believes that leaders are required to cross the threshold between themselves and the edge of their system, and by doing so to expose themselves to situations very different from their normal life.

The inner journey is also asking for a generosity and sense of contribution. People who take the time to embark on the inner journey do so because they care not only about themselves, but also about the positive impact that their personal transformation will have on other people. It is reported that when individuals cross the threshold and leave their comfort zone, they must possess the courage, confidence and faith to know that sooner or later something extraordinary will happen.

It is because of this inner journey, of going within, of embracing the silence through strategies, such as practicing the art of meditation and mindfulness, *"that we come across our own shadows--the parts of us that we do not want to acknowledge and that we project on other people. When we face our demons despite our fears, we transform those demons into resources and, as a consequence, we become more resourceful"* (World Economic Forum, 2012, p. 34).

Many people live in the hallucination that they can truly lead other people without being able to lead themselves and this is pure fantasy. It is much easier to try to change other people and not be willing to change one's self. This exercise of authenticity is essential if a leader truly wants to inspire, touch and move the brains and the souls of those around them. Unfortunately, many leaders do not receive adequate training or professional development to be leaders. This is ironic. Furthermore, while everyone else is evaluated in higher education, administrative leaders are not evaluated by faculty, but faculties are evaluated by, in some cases, inadequate leaders.

Scharmer believes it is necessary for the leader to cross three thresholds:

- The first threshold is an exterior one: going to the edges of one's own system, where the new shows up first. Leaders need to develop practices that expose themselves to the edges of their systems (example: stepping into the shoes and seeing the system through the eyes of the most disenfranchised communities).
- The second threshold is an inner one: waking up to the deeper journey they are on in their own work and life. Leaders need to ask themselves: Who is my Self? What is my Work? The "Who is my Self" question refers to the leader's highest future possibility. The "What is my Work" question refers to a deeper sense of purpose and source of energy. All great leadership starts with exploring these deeper foundations of one's Leadership Presence.
- Finally, the third threshold is to create and hold a space in which one's core group or organization can go through the same process collectively. As leaders and communities of leaders move through this journey they realize that they can only discover their true or authentic self, when they immerse themselves deeply into the world. Then they can

recognize what is truly wanting; and, as a result, emerge in the world when their listening extends to the deeper levels of their inner selves and inner knowing.

(Scharmer, World Economic Forum, 2012)

The most critical question posed to the leader is: *How do you manage your own psychology?* According to these researchers, the “inner journey” brings deep insight, which helps leaders discover their authenticity and provides the resilience so crucial for judgment under pressure.

Transpersonal-Ethical Leadership

A transpersonal leader operates beyond the ego while continuing personal development and learning. The characteristics of transpersonal leaders are that they are radical, ethical and authentic, while emotionally intelligent and caring. Further, they are described as leaders who learn how to embed authentic, ethical and emotionally intelligent behaviors into the DNA of the organization. They build strong, collaborative relationships and create a performance enhancing culture that is ethical, caring and sustainable (Knights, 2017).

Ethical leadership is a fundamental component of transpersonal leadership. Policy researchers indicate that unless there is development of ethical leaders that can permeate an ethical base embedded in the way they operate within organizational culture; ethical leadership will continue to remain a purely academic and unrealizable exercise. Knights (2017), define ethical behavior as:

“Acting in a way that is consistent with one’s own principles and values which are characterized by honesty, fairness, and equity in all interpersonal activities, be they personal or professional. And, by respecting the dignity, diversity and rights of individuals and groups of people.” (p. 3)

This is different from moral behavior, because moral behavior can be relative to the values of any culture or group and may be good or bad. The rules of conduct may be specific to the culture or group; and these may differ from one group to the other.

Ethical behavior is of a higher order than moral behavior and is essential for effective leaders to exhibit who operate in an organizational culture. Ethical organizations are described as ones that exhibit the following characteristics:

“... have a culture that considers the implications of what they are doing and the effect it might have on all their stakeholders, the planet and even the universe. An ethical organization does the right thing (being honest, fair and equitable) [with] everyone in the organization having a common touchstone about what that is.” (Knights, 2017, p. 4)

Self-development of the leader and the motivation to lead one’s self on the inner journey is important and necessary for leaders to clarify their values and face their own inner biases. The research literature on ethical leadership refers to five basic principles that can be traced back to Aristotle. They are: *respect; service to others; justice for others; honesty toward others; and, building community with others* (Dubrin, 2010; Northouse, 2013). Knights (2017) added a sixth principle: *human equality—treating all humans equally regardless of status*. Most importantly, it is

indicated that the values and principles must be practiced through behavior. Therefore, it is important for leaders who want to become transpersonal-ethical leaders to increase their values to a higher level of consciousness and to raise their awareness of how their behavior impacts the performance of themselves and others (Knights, 2017).

Research scholars agree that many organizations tend to ignore these traits when identifying leaders. Instead, they favor traditional leadership characteristics of self-confidence, assertiveness, influence and achievement, *“which without the good values to temper them regress to high-ego, aggression, manipulation and ruthlessness, and an obsession for total control”* (Knights, 2017, p. 7). Leadership researchers indicate that one in twenty-five CEOs in leadership positions

“Organizations must change and start identifying leaders that will be the right kind of leader when they get there, not just effective at climbing to the top.”

(John Knights, 2017)

are considered *“psychopathic”* four times higher than the general population (see Babiak, 2010; Dutton, 2012). Knights (2017), agrees but indicates he would describe the leader’s behavior as *“sociopathic”* as they have most often been taught to *“leave values and ethics at the front door when you come to work”* (p. 7).

Knights (2017) and other researchers believe that organizations need to be aware of these new leadership qualities and traits and begin to identify future leaders who possess them. However, it is also believed that those currently in leadership positions may be trained or coached to cultivate, develop and achieve some of these inner qualities.

Leadership of the Future

“Too often we have mental models for what we expect leaders to look like. When looking for future leaders to mentor, we seek out verbal, charismatic, quick decision-makers. They look like leaders. But there are other people who don’t seek the limelight but do act with great integrity and great strategic thinking, and they get results. They’re right in front of us, but we don’t see them.” (Pat Sanaghan, The Sanaghan Group, 2011)

Leadership of the future will be very different from what currently exists. First and foremost is the redefinition of what it means to be a leader. This is very different from the current administrative transactional model that exists today in higher education. In addition, leaders of the future will need to possess skills across the developmental domains but particularly the cognitive domain. The call is for not just new leaders, but new kinds of leaders. Therefore, there is caution about finding comfortable clones, which so many institutions do.

It is reported that future leaders must possess a global perspective. Future leaders must be knowledgeable about the world cultures and people globally. The world around us affects us all. Future leaders should be world citizens.

The character of the leader also matters. This includes the important personal characteristics of integrity, effective communication, trust, honesty, self-confidence and loyalty to principles. Future leaders will also need to possess technological mastery of such skills as creativity, innovation, problem solving and the ability to be transformational and lead change.

Ongoing learning, continual professional development, and renewal will be essential to the future leader. They will need to integrate time for study and then can incorporate what they have learned to continually evolve and reinvent themselves.

Finally, leaders will need to be able to reach out, develop partnerships, collaborate, build coalitions and put their own self-interest aside for the greater good of the organization. The old rules of “winner takes all” negotiation will no longer work. Leaders will need to master the skills of listening, empathy and the ability to come up with creative win-win solutions for all (McCarthy, 2017).

Visionary perspectives on leadership in higher education are scarce. Moreover, there is even less research on the variety of leadership roles that may or could exist in colleges and universities. Leadership should not have a single focus. Leadership is inclusive of all. Leadership must transform its general paradigm.

Research (and observation) also point out that little is known about whether or how leaders in academia contribute to departmental culture, collaboration, and departmental performance. There also is very little research on the need, role or duties of middle managers.

ECCSSA has called for identification of new and emerging models of leadership as they evolve. Leadership in higher education needs attention and transformation is essential. The future of a productive and sustainable society, world, and human population depends on it. The research, discussions and models emerging on the transformations needed in leadership and those currently taking place in higher education will continue to be monitored.

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Precedents and Parallels: Raden Adjeng Kartini and Malala Yousafzai—Two Case Studies of Transformational Leadership

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Abstract

Malala Yousafzai has received a great deal of publicity for her efforts to obtain education for women in Southeast Asia not only in a best-selling biography, but also in a recent (2015) biopic. Remarkable as her achievements are, there were other women in Southeast Asia who preceded her by over a century. The parallel story of Raden Adjeng Kartini is especially relevant. Separated by time and space, these two young Muslim women share a similar trajectory in the short span of their lives. The name of Raden Adjeng Kartini (1879-1904), except perhaps to academics, is not well-known outside her Indonesian homeland, whereas Malala Yousafzai (1997-), a Pakistani Pashtun, achieved global acclaim as a result of her attempted assassination by the Taliban. Both women lived in traditional misogynist Muslim societies and both sought, through education, to liberate women from the shackles of tradition, purdah, child marriage and ignorance, and both achieved a measure of success. Both are examples of transformational leaders. Both are visionary, creative women who sought to alter the mindset of their respective societies. But as this paper suggests, their perception of education as a panacea for women's issues may be misplaced until other problems in their societies are addressed. Given the history of their two countries, progress is contingent upon the dynamics of international relations, national politics, the relative strengths of women's movements in their respective countries and their ability to work with the conventions of Islam.

Keywords: *pesantren, ethical policy, arbitrary repudiation, Pancasila, Islamic feminism, Women's Action Forum, Hudood Ordinances, Law of Evidence, Pakhtun, Enlightened Moderation, NGO, Council of Islamic Ideology, Islamic Modernism, Guided Democracy, New Order, madrassah.*

Introduction

To understand the accomplishments of these two young women, who, with varying degrees of success, were able to challenge the traditional patriarchy of their respective societies, a brief overview of their countries is necessary. Despite their separation in time and space, there are distinctive parallels in their struggles to obtain equality for Muslim women.

Because of their geographic locations, both countries witnessed massive transigrations of peoples and cultures, each of which left their imprint and continue to influence their countries. The Indonesian archipelago is a kaleidoscope of cultures and races of great antiquity predating early humans. Later groups included Mongols, Malays and people from India, who brought with them a Hindu culture which persisted in a weakened state until the coming of the Europeans. Co-existing with it were Buddhist kingdoms which endured through the 10th

century. Undoubtedly the most significant impact was Islam, which initially diffused peacefully from India in the 13th century, gradually expanding over much of the archipelago by the 16th century, embracing over ninety (90) percent of the population. The most notable exception is the island of Bali, which still embraces Hinduism (Ahmad, 2016; Taylor, 1976).

European voyages of discovery brought additional influences-Portuguese, English, and for almost 350 years (1603-1947), the Dutch. The Netherlands gradually imposed its rule by brutal conquest, despite fierce resistance from the native peoples (Government of Indonesia, 1962; Mohuiddin, 2006).

Pakistan shared historical parallels with Indonesia. It too, has long cultural traditions dating back at least to the 8th century BCE. A civilization flourished in the Indus Valley, the decline of which paralleled the coming of Aryans. Northern Pakistan had a Hindu culture in the 6th century BC, followed by periods of Persian, Macedonian, Indian cultures and others, including a strong Buddhist influence. As with Indonesia, the establishment of Islam was profound, beginning in the 8th century CE. Pakistan was later incorporated into the Muslim Mogul dynasty in the 16th century. Later, British imperialism brought much of the Indian subcontinent under its control, but its conquest was vigorously contested by the native peoples. The sole exception to conquest was Afghanistan, which retained its autonomy after successfully resisting British control in two wars during the 19th century (Mohuiddin, 2006; Rizwan, 2016).

In both countries, the various cultures which migrated into them, left a myriad of religious minorities who are often targets of discrimination, a problem which stymies progress and, in times of crisis, encourages scapegoating. In both countries, when European trading companies experienced financial difficulties, each was taken over by their respective governments, which then began to focus on issues of social reform, instead of profits. One result in both instances, was the introduction of education on a scale previously unknown.

In addition, Kartini and Yousafzai also were contemporaries with Islamic revitalization movements which fused with a sectarian nationalism. Education, both secular and religious fueled the fires of resistance in both countries. Kartini and Yousafzai were unique in that each had a support system which enabled them to challenge the status quo in their respective countries and receive a measure of fame and success in their own lifetimes.

Kartini's Context

Raden Adjeng Kartini (1879-1904) was a remarkable woman who lived during the turn of the 20th century. Her aristocratic roots and her father's support made it possible for her to attend a prestigious Dutch Language School. Kartini's siblings—five brothers and six sisters—were also encouraged to become educated in the Western tradition (Zain'uddin, 1980). This was significant for several reasons. Not only was it a break with tradition, it also opened the world of Western learning to a girl from a small town in Java. Kartini obviously realized, because of her position, she had options denied to others. "*Alas,*" she wrote, "*we girls are not allowed by custom to learn languages; it was a great innovation for us to learn Dutch*" (Kartini, 1964, p. 55).

Because the school was opened to Eurasian and Dutch children, she was also exposed to prejudice, since they did not like being outdone by a girl and a native. Kartini was also taught

traditional crafts and the Quran at home, which symbolized the ambivalence which raged within her during her short life. Her father, a Dutch government official, would extend only limited education to his daughters. After six years, despite urging from European friends, he insisted they conform to custom and go into seclusion at age 12 to await a proposal of marriage. The boys would continue their schooling (Taylor, 1976), a point deeply resented by Kartini. Hence, her years of seclusion, 1892-1896, were referred to as “*sheer Hell.*” “*I am locked up, cut off from all communications with the outside world... I long to be free, to be able to stand alone, to study, not to be subject to anyone, and, above all, never, never be obliged to marry*” (Kartini, 1964, p. 32-34).

But hers was never a total isolation. First, she was allowed limited socializing with the wives of resident Dutch administrators, many of whom had liberal sympathies. This open relationship was in direct contrast to her rigid, hierarchal, closed, life. She also traveled occasionally, visiting local craftsmen. When Queen Wilhelmina ascended the Dutch throne, Kartini and her siblings attended the local celebration (Taylor, 1974). These outings and her writings brought her unwanted attention, increasing her father’s pressure on her to marry. Despite her seclusion, her father allowed her unrestricted access to Dutch books and magazines. Kartini read and wrote to many “*subversives,*” including Socialists, reformers, feminists, Liberals, and pacifists—all a dramatic challenge to her stifling social environment.

Arguably the most important decision she made was to advertise for a pen pal in the liberal feminist journal, *The Dutch Lily*. The woman who responded, Estelle (Stella) Zeehandelaar, was a direct contrast to the young Indonesian. Six years her senior, Stella was Jewish, single, an employed Socialist, doing charitable work among the Dutch poor. Yet, they found themselves kindred spirits. Kartini declared, “*I completely share the feelings of my progressive sister in the far-off West*” (Cote, 2005, 89). The correspondence would last three years. They exchanged views on contemporary social issues—polygamy, husband-wife relationships, the status of women, education, colonialism, and Kartini’s plans for study abroad (Taylor, 1976). Despite their break in correspondence in 1903, the letters encouraged Kartini’s questioning of traditional Javanese practices which relegated women to negotiated pawns in order to promote the power and status of males.

Among other Dutch feminists she admired was Cecile de Jong van Beek en Donk (1866-1944), whose novel, *Hilda von Suylenberg* (1897), emphasized that for society to progress, women had to be educated and enter the labor force, rather than be forced to marry to survive. Kartini was deeply affected by it (Blackburn, 1997). She wrote: “*I could not lay the book down; it held me so... what I would not give to live in Hilda’s environment... I shall never rest until H van S appears in my own language to do good, as well as harm, to our Indian world*” (p. 121). In the next paragraph, she asked to be “*told more of the labors, the struggles, the sentiments of the women’s movement,*” obviously identifying with the western feminist point of view (Kartini, 1964, p. 35).

Inspirational too, was Kartini’s reading of the Indian Pandita Ramabai, who despite many obstacles, became a Hindu scholar and later converted to Christianity. Orphaned at a young age, Ramabai was prevented from becoming a doctor due to deafness. Challenging custom, she chose her own husband, an Untouchable lawyer. A published author, she was against child-marriage, widow abandonment and she used money raised on a tour of the USA to establish a school for poor girls, prostitutes and the handicapped. Kartini’s reading of Ramabai was

influential. In a 1902 letter Kartini wrote: *"I shook with excitement. So, it's not only white women who are able to take care of themselves — a brown Indian woman can make herself free and independent, too"* (Kartini, 1964, p. 177-178).

Other writers of whom she was aware were critical of Dutch policy. They included Edward Douwes Dekker, P.V. Veth, and Louis Marie Ann Couperus (Kartini, 1964; Van de Velde, 2006). Collectively, their writings exposed the misery and suffering of Indonesia during the 19th century and predicted the demise of Dutch colonialism (Kartini, 1964). Their publications roused the conscience of the Dutch nation. Reform came by the turn of the century in the *"Ethical Policy,"* a program lasting for over four decades (Cribb, 1993; Ricklefs, 1991; Vickers, 2005). This policy had three major goals: irrigation and subsidies to encourage native handicrafts; encouragement of migration from overcrowded Java to the outer islands; and, education which would open schools to a select number of natives. The education component was implemented by J.H. Abendanon (1852-1925), the Dutch Minister for Culture, Religion and Industry from 1900-1905 (Vickers, 2005). Abendanon both encouraged Kartini's efforts to obtain an education and subverted them. He sought to use her as an embodiment of the success of the Ethical Policy. It was he who immortalized her by selectively publishing Kartini's letters, the true contents of which are a matter of continuing debate.

The Ethical Policy would repay the debt owed by the Dutch to Indonesia by providing them with some Western education, often limited to those loyal to the government. It was also restricted because it was assumed that educating rural children beyond a certain point was a *"waste of resources"* (Cribb, 1993), an attitude like that of contemporary white southerners in the United States who assumed that too much education for African-Americans would *"spoil a good field hand."* This was especially true for girls. The colonial government rejected the idea of new government programs on female education believing the time was not yet ripe, but it did subsidize existing private schools (Vreede de Stuers, 1960). Per its proponents, the elitist approach would create a select, Westernized body of natives who would supplant the Dutch as civil servants, curtail administrative expenses, provide role models for the masses and restrict Islamic *"radicalism."* The latter was especially pertinent, because at the end of the 19th century, Western critics claimed Islamic contributions to science and philosophy had stagnated since the Middle Ages, was restricted by religious orthodoxy and exhibited a tendency towards fanaticism (Cochrane, 2015; Lahoud, 2008; York, 2011).

It resulted in a movement called Islamic Modernism calling for a purified Islam which would use Western technology and science to lift it from its perceived state of decline. The call for a revitalized faith encouraged more pilgrims to journey to Mecca, helping spread Modernist doctrines to Indonesia (Ricklefs, 1991). This development was in contrast to the usual Indonesian attitude towards Islam, which, according to Ricklefs, was a formal, nominal commitment, with little regard for its ritual obligations, a point noted by Kartini who called her countrymen, *"Moslems in name only"* (Kartini, 1964, p. 182). Most Javanese were more committed to the mystical traditions of their pre-Islamic past (Ricklefs, 1991). But it did inject a Muslim element into Indonesian politics.

It was this politicized Islam which Dutch reformers sought to contain. With their racist and cultural assumptions of white, Western superiority, Dutch reformers believed once natives were exposed to Western education, they would identify with it, co-opting indigenous leadership,

making them loyal to the colonial regime. Instead, the opposite occurred. Faced with limited opportunities, educated Indonesians were converted into advocates for independence (Cribb, 1993). Through an assumed *enlightened* policy, the Dutch had sown the seeds of their own destruction.

By the turn of the century, Kartini had become known to a small circle of liberal Dutch and Javanese aristocrats through her writings in several journals such as the publication of her work on Javanese woodcarvers in *From a Forgotten Corner*, her article in the ethnographic journal *Reports on the Language, Country and People of the Dutch East Indies*, and her efforts to popularize batik (Cote', 2014). Probably to limit her family's vulnerability to criticism, she often wrote in a pseudonym, Tiga Scanara, (Three Sisters) because she involved her siblings in a number of her projects (Taylor, 1974). It was at this time, Kartini sought to pursue more education abroad. She used her contacts with Stella Zeehandelaar to obtain a scholarship, who in turn contacted a liberal Socialist who took the request to the Dutch Parliament.

It was here Abendanon undermined Kartini's aspirations, revealing his true beliefs. He did not think she needed more formal education to open a school for native girls, fearing too much of it might alienate her from her people. Abendanon preferred having Kartini at home to showcase her as a successful model of Ethical Policy. Abendanon changed her request instead to attend a girls' school in Batavia (Jakarta). At the time all this was transpiring (1902), two major events transformed her life. She was asked by the Dutch Minister of Colonies, J. Slingenberg, to respond to questions about the aims and types of education best suited for Indonesians. Never before had Dutch colonial authorities solicited a woman's opinion (Taylor, 1974). Her paper focused on two points: education that gave instruction in Dutch so Javanese could access Western technology; and, ideas, and mirroring her own aspirations, a policy that urged the education of elite Javanese women who would open schools for the masses. About the time she received word she had won the coveted scholarship to study in Holland, Kartini surrendered to an arranged marriage, something her father had been pushing since she was 16 years of age. It was not a total surrender to tradition, although her husband was twice her age, was in a polygamous marriage—an institution she abhorred, with three wives and six children. But it was not a fully traditional arranged marriage. She was given three days to decide. And she had preconditions. Her future husband, the Regent of Rembang, agreed she be allowed to open a school for girls, like the one she had opened in her village of Jepara (Zainu'ddin, 1980). She married and was soon pregnant. In her letters, she seemed to rationalize her decision: "*Now we shall have something ala Hilda van Suylenberg—a mother who with suckling baby goes out to work*" (Kartini, 1964, p. 241). She hoped her child would be a girl.

"If the child I carry under my heart is a girl, what shall I wish for her? I shall wish that she shall live a rich, full life and that she may complete the work her mother has begun. She shall never be compelled to do anything abhorrent to her deepest feelings. What she does must be of her own free will. She shall have a mother that will watch over the welfare of her inmost being, and a father who will never force her in anything. It will make no difference to him if his daughter remains unmarried her whole life long; what will count with him will be that she shall always keep her esteem and affection for us." (Kartini, 1964, p. 240)

She was disappointed in that also. Her child was a son and Kartini died four days later from complications of childbirth at age 25. Prophetically she wrote: *“If the child is a girl, I will have a long life, but if it’s a boy, I shall die soon”* (Kartini, 1964, p. 242).

Kartini In Retrospect

It would be benefitting of Kartini’s struggle for education for women in Indonesia to have her efforts crowned with success at all levels, especially in the post-Independence period. But such has not been the case. Despite Kartini’s pioneering efforts, the beginning of formal organized education for women in Indonesia began following her death in 1904 under the leadership of Dewi Sartika (1884-1997), who, like Kartini, had a father who encouraged her education. It was called a “wife school” and initially students were taught basic literacy, religion and sewing skills. Her efforts were supported by her husband (Blackburn, 2004).

Later, using money from the proceeds of her letters, J.H. Abendanon established the Kartini Fund. Reflecting Dutch Ethical Policy, its curriculum focused on vocational education, emphasized character development, home economics, hygiene, Javanese, the Dutch language and sewing. It was probably not the liberating curriculum Kartini advocated to obtain economic independence, freedom and choices beyond marriage and motherhood. This point was noted by Dutch feminist Aletta Jacobs, the first female medical doctor in the Netherlands and a pioneer in birth control, who toured Indonesia with American feminist Carrie Chapman Catt in 1912. They were especially critical of the narrow vocational curriculum in women’s schools. Echoing Kartini, they urged an education system that would encourage women to operate as individuals and prepare them for meaningful roles in society (Blackburn, 1997; Jacobs, 2016).

During the colonial era, village schools were established by the Dutch government to encourage basic literacy and hygiene but their impact was limited. Islamic societies also built schools (pesantren). Despite efforts of Dutch administrators, Islamic societies and Christian missionaries, the gender gap in education was—and continues to be—a persistent problem. Depending on the region or ethnic group, it varied between less than one (0.5) percent of women as compared to twenty-six (26.5) percent literacy among men. Universities were established in the 1920s but any further improvements in education were minimized by the fiscal impact of the Great Depression, Dutch parsimony and the scarcity of trained teachers (Education in Indonesia: Overview, 2011). At the same time, women pioneers, like Kartini from the upper class were establishing schools for girls, a parallel yet complimentary movement occurred — the formation of women’s groups which embraced Kartini’s wider focus on women’s issues and political independence (Vreede de Stuers, 1960). These associations granted scholarships to intelligent girls and established journals critical of child marriage, polygamy, illiteracy, child welfare and encouraging girl’s involvement in sports. They also provided a vehicle by which women could obtain leadership roles. As with modern Pakistan, of particular concern to women was polygamy and arbitrary repudiation, whereby husbands have the privilege of dissolving the marriage unilaterally and remarrying without their wife’s consent, a tradition dating back to the middle ages. National women’s congresses debated these issues with groups arguing both for maintaining and totally abolishing them (Vreede de Stuers, 1960).

By the 1900s religious and political organizations formed women's auxiliaries. And a little over a quarter of a century after Kartini stated the need for unity between the sexes (Kartini, 1964), the Young Indonesia Conference swore an oath with men and women proclaiming solidarity and a united national consciousness. Indonesian feminism was born in the twentieth century simultaneously with Indonesian nationalism (Vreede de Stuers, 1960). But it was essential to have a modern system of education, as Kartini noted, if progress was to be made (Kartini, 1964). The need for schooling was imperative. By 1930, the illiteracy rate was ninety (90) percent among men; for women, it was ninety-seven (97) percent. Although there were regional variations, the overall literacy rate for Indonesians was slightly over seventeen (17) percent (Vreede de Stuers, 1960).

On the eve of WWII, vernacular schools' enrollment had increased from 100,000 to 2.2 million, when the government claimed over forty (40) percent of the population aged 6-9 years was in school. The problem was, even if one accepts that figure, the quality of it was low and was of limited duration (van der Veur, 1969). In addition, while many may have enrolled, few graduated and Indonesia's population had doubled. Also, there was the economic reality of the Great Depression. At the same time, the proportion of Europeans in the number of schools decreased relative to Indonesian and Chinese students during the same period, yet fewer than 25 percent completed the course. As van de Veur states, the very thing education under the Ethical Policy was to prevent had the opposite effect. "*It contributed to a new elite and the growth of a national consciousness-an educated proletariat for which there were no jobs who turned to Nationalist agitation*" (van de Veur, 1969, p. 17).

At the same time, women's groups also focused on other social reforms, obtaining the right to vote and modernizing marriage regulations without giving offense to Islam (Vreede de Stuers, 1960). These efforts were cut short by the outbreak of World War II. What had occurred incrementally over the decades since Kartini's death was the women's movement had grown from the demand for social and economic reforms into political ones as well, fusing with a growing national consciousness and for some, a stronger Islamic identity.

Per Kuipers, after Indonesia obtained independence, a law enshrined the right of every citizen to an education. Students could attend government or religious schools, but most preferred the former. Under Sukarno's "Guided Democracy" which began in 1959 and continued through Suharto's "New Order," the school curricula focused on the Nationalist doctrine of *Pancasila's Five Principles*—belief in one God, humanitarianism, national unity, democracy and social justice. It was abandoned in 1998 (Kuipers, 2011). Thus, for almost forty years, education was subordinated to indoctrination, obviously hampering any meaningful educational progress. Under Suharto's successor, B.J. Habibie, there was little to hope for in terms of meaningful change. He squandered billions in an effort to create an Indonesian armaments industry with obvious deleterious effects on social programs, including education (Templar, 2016).

In addition, sectarian violence between Christians and Muslims broke out and a separatist movement in Aceh resurfaced. Interestingly, in a program dating back to the Dutch Ethical Policy, transmigration of peoples from overcrowded Java to the lesser populated areas, resulted in inter-ethnic conflicts in a number of the outer islands. All this was accompanied by the worst Asian economic slump since WWII, increasing unemployment, poverty and obviously decreasing the money available for human services, such as education (Templar, 2016).

Since 2000, Indonesia had three Presidents: Megawati Sukarnoputri (Sukarno's daughter); Susilo Yudihoyono; and, Jojo Widodo. None of these individuals had major impact on Indonesian education. Despite claims that one hundred (100) percent of relevant age groups completed primary education as of 2003, the system, like the government, was plagued with rampant corruption. These included principals paying off school inspectors to ignore cheating on national exams (Kuipers, 2011). There were some measures of improvement, however. For example, enrollment increases were reported at all levels (Kuipers; 2011; UNICEF, 2002). While these statistics show some limited progress, there remain serious imbalances. The rural-urban enrollment disparity continues: fifty-four (54.1) percent vs. nearly seventy-two (71.9) percent; as does the class bias, with the poorest fifth of the population enrolling at slightly under fifty (50) percent and the richest fifth at seventy-two (72.2) percent. The gender gap persists at primary and secondary levels. The dropout rate for girls is sixty (60) percent and for boys, forty (40) percent, whereas it increases to seventy (70) percent and thirty (30) percent respectively at the secondary level. Almost ten million students remain out of school (as of 2002), yet the country claims a literacy rate in the 15-24-year age group of nearly a hundred (98.7) percent (UNICEF, 2002). In an article in Al Jazeera (Educating Indonesia, 2013), Indonesia ranked last of 50 countries as measured by literacy, test results and graduation rates. This, despite like Pakistan, having a notoriously low threshold for defining literacy as, "Any person over 15 who can, with understanding, read and write a short, simple statement on their everyday life" — a definition that has remained unchanged since it was first formulated under Dutch colonialism in 1930.

Further, Al Jazeera noted only one-third of students complete their basic education. Indonesian 15-year-olds scored second from the bottom in math, science and reading. The average Indonesian 15-year old is four years behind a similarly – aged Singaporean. There have been examples of cheating scandals, the selling of exam answers, in a system plagued by poor teaching, and high teacher absenteeism, with twenty (20) percent of them working outside the classroom for additional income. Low teacher quality is reflected by the fact that of 400 teacher training institutions only one in ten is considered "good" by the Secretary of Education (Educating Indonesia, 2013). The country's teachers have come under criticism for an emphasis on rote learning, focusing on obedience and a "rigid" approach to religious studies. Corruption is rampant, with an estimated forty (40) percent of the school budgets siphoned off before they reach the classroom. Further undermining quality, the government is proposing to return to the Pancasila program, promoting national identity and reducing or abolishing the teaching of science, geography and English in elementary schools. Books and equipment are lacking and materials are limited at best. All this in a country with a five to six percent annual economic growth rate and classified by the World Bank as a middle-income country.

As far as tertiary education is concerned, of 400 university rankings in Southeast Asia, Indonesia had only four, ranking 360, 369 and 395. Enrollment rates in Indonesia also compare unfavorably with other Southeast Asian countries. Only thirteen (13.28) percent of the population is in tertiary education and fifty-one (51.35) percent in secondary education compared to a Southeast Asian average of twenty-seven (27.4) percent and sixty-five (65.2) percent, respectively. Per UNICEF (2003), the country also lags in HIV/AIDS education as well. Under President Susilo Yudihoyono, the government passed a law guaranteeing twenty (20) percent of state revenues to education, or about \$26 billion in US dollars (Education Indonesia: Overview, 2011). Yet, only one (1.2) percent of GDP is spent on tertiary education. Of that small amount, seventy-five (75)

percent comes from the private sector. In comparison, Malaysia spends two (2.1) percent of its GDP on tertiary education (Kupo, 2013).

Given the geographic size of the country, its 220 million people, 18,000 islands, 700 languages and 33 provinces, Indonesia has serious obstacles to overcome, not the least being barriers to women, including gender-based textbooks, gender stereotyping, inadequate programs to promote gender equality, limited gender awareness and the still prevalent custom of early marriage.

Kartini maintained a steady faith in education as the vehicle for upward social mobility and economic independence. She states:

Father says in his note that the government cannot set the rice on the table for every Javanese and see that he partakes of it. But it can give him the means by which he can reach the place where he can find the food. That means education. When the government provides a means of education for the people, it is though it has placed torches in their hands which enabled them to find the good road that leads to the place where the rice is served. (Kartini, 1964, p. 57)

Given the depressing statistics as to recent trends in Indonesian education, it appears that Kartini's faith in a benevolent government to dispense quality education was misplaced—and continues to be. Per the current generation of Indonesian educational critics, many believe her legacy is trivialized. Despite being elevated to the status of "national hero" in 1964, it is marred by Kartini look-alike contests, the wearing of traditional confining costumes and cooking contests. The term "*ibu*," mother of the nation, is particularly galling to some feminists (Topsfeld, 2016).

In a letter to Stella Zeehandelaar in 1899, Kartini stated "*that the age-old traditions that kept her and other Indonesian women captive would break away and release them in three or four generations*" (Kartini, 1964). It has been over six generations now and some progress has occurred, but much more needs to be done. In the overview of the Indonesian women's movement given by Vreede de Stuers, she posits that "*once the nationalist revolution was over, the position of women began to deteriorate—women, in the eyes of men, became competitors and have had to continue the struggle in all areas of life*" (Vreede de Stuers, 1960, p. 162).

Kartini complained as early as 1900 about the stifling effect of "Islamic law" on women despite its claim of extending protection to them (Kartini, 1964). In the pre-independence period, reform Islam women's groups and nationalist parties came together for meaningful social change. With such a precedent, current developments may bode more meaningful change in women's status in Indonesia. There is a growing modernist feminist movement in Indonesia fueled by the research of Islamic scholar Kiai Haji Hussein Muhammad. The owner of a Muslim school, he began researching gender inequality in the 1980's with the encouragement of the Nahdatul Ulama. Essentially a moderate orthodox Muslim association (Ricklefs, 1991; Topsfeld, 2016), with a tradition of advocacy of social reform dating to its origins in 1926, it was concerned with "sliding into irrelevance" with the rise of "radical Islam." It encouraged Muhammad's research. His publication in 2006 challenged traditional thinking about early marriage, arranged marriage and the male monopoly on becoming Imams. Like Kartini he embraced a program addressing the needs of the lower classes as well. Like what happened to Malala Yousafzai, when his book

was published, Muhammad was denounced as an infidel, and a foreign agent. And like Malala in Pakistan, some Indonesian feminists believe this is the only way women in Indonesia can obtain redress. According to Julia Suryakusuma, Indonesian feminists must work with Islam to obtain redress—“*Islam is not the enemy*” she says, “patriarchy is.” Yet progress is still slow. In 2016, a women’s cultural festival was disbanded by police and conservative Islamic groups (Topsfeld, 2016).

For Indonesia, the past is prologue. Feminists must work within the cultural context of Indonesia, fusing efforts with women’s groups, moderate Islamic scholars and political parties to obtain greater progress in education and society.

Does Kartini fit the profile of a transformational leader? Yes, but the question of her being coopted by others who claim to speak for her clouds her legacy. She was a visionary, creative person, but had her letters not been published, would she have attained the fame she now enjoys? Her writings reveal the intellectual stimulation of a young woman committed to new thinking, learning and actions. She created a vision of what she aspired to be, but was unable to fulfill it due to her devotion to her family, her betrayal by intimates and her premature death. But her call to action was heeded by others and continues to inspire feminists in modern Indonesia.

If transformational leaders look to changing society, Kartini certainly qualifies as one. She continues to inspire generations, but the reality of Indonesian society is sobering. Of the country’s list of 156 National Heroes, one percent are women (Indonesia’s List of National Heroes). As the data on Indonesia suggests, Kartini’s dream of women’s equality through education remains largely unfulfilled.

Does Kartini Fit the Profile of a Transformational Leader?

- *She was a visionary, creative person, but had her letters not been published, would she have attained the fame she now enjoys?*
- *Her writings reveal the intellectual stimulation of a young woman committed to new thinking, learning and actions. She created a vision of what she aspired to be...*
- *...her call to action was heeded by others and continues to inspire feminists in modern Indonesia.*
- *If transformational leaders look to changing society, Kartini certainly qualifies as one. She continues to inspire generations.*

Malala’s Context

Following the establishment of Britain’s Indian colony, there was continuing concern in the Muslim community as to its status under a dominant Hindu majority. Perceiving Hindu domination and secular education under British control as subversive of their faith, Islamic

leaders staged several rebellions beginning in the 1830s. Because he was hailed as leader of the Sepoy Rebellion, the last Muslim Mogul ruler was deposed and exiled, further alienating Muslims from their British overlords, simply reinforcing what Naz, et al., regard as an “oppositional identity.” In Pakistan, this had long term repercussions. The British rewarded those loyal to them during the Great Rebellion of 1857 with grants of land, especially in Southern Punjab and upper Sindh, bolstering a reactionary, feudal structure which has ruled Pakistan since its creation (Naz, et al., 2013). Despite changes in the law, little was done by Britain to improve women’s status.

Despite the efforts of some Hindu and Muslim leaders to remain unified in the 1920s, sectarian violence escalated as pressure for independence increased, culminating in the call for an independent Muslim state by Mohammad Iqbal in 1931. By WWII, efforts to reach an accommodation between both parties were abandoned. With hostilities subsiding, Muslim leaders insisted on an independent state which occurred in 1947 (Kapadia, 2010). In the subsequent partition, riots and relocations resulted in over two million deaths.

As with Indonesia, there were two strands of reform which impacted women’s status in Pakistan — 19th century secular reform movements and an Islamic political movement. As early as 1870, there were efforts by Muslim leaders to promote modern education, some even advocating improved status and literacy for women. But progress was slow. By 1921, only four of every one thousand Pakistani women were literate (Pakistan: The status of women..., 2015; Women’s role in the Pakistan movement, 2016).

Malala’s efforts can be understood only within the wider context of Islamic revivalism, the Pakistani women’s movement, international relations, domestic politics and her Pakhtun culture. Initially encouraged by the founder of Pakistan, Mohammad Ali Jinnah, who referred to the “deplorable conditions” of women as “a crime against humanity,” Muslim women, supported the independence movement. Women made significant gains in the three decades following independence. Under the leadership of Fatima Jinnah and Rana Liaquat Ali Khan, women won the right to vote and had proportional representation in parliament and provincial assemblies. The Constitution of 1973 outlawed sex discrimination and civil service jobs were open to women for the first time (Kapadia, 2010).

Pakistan oscillated politically between military dictatorships and flirtations with democracy with women’s rights making progress in the latter, and regressing in the former (Naz, et al., 2013). In the 1970s there was a global Islamic revival (Zia, 2009). In Pakistan, its impact was most profound during the military dictatorship of Zia-al-Haq (1979-1988). He permitted the re-establishment of religiously-based political parties. That gave more power to mullahs, allowing them greater influence in the military and civil service. Zia also suspended fundamental rights guaranteed in the Constitution of 1973 (Kapadia, 2010). Religious minorities also became objects of persecution (Yousafzai and Lamb, 2015). For women, the most oppressive acts passed were the *Hudood Ordinances* (1980) and the *Law of Evidence* (1984).

The Hudood Ordinances required a woman to present four eyewitnesses to validate her claim of rape without which she could be accused of adultery. *The Law of Evidence* gave greater credibility to a man’s testimony. If a woman had only female witnesses, it failed to meet the evidence

requirement (Ovais, 2014; Pakistani Women's Human Rights Organization, 2016; Rouse, 1988). These obvious violations of women's rights were a catalyst to change. In response, a Women's Action Forum (WAF) was organized to restore their rights. To undermine its appeal, and to give himself greater credibility with his conservative Islamic supporters, Zia-al-Haq condemned WAF leadership as led by "Western-educated women" who represented alien values, which were "inauthentic" and "irrelevant;" and hence, need not be heeded (Critelli & Willett, 2016; Kapadia, 2010; Ovais, 2014; Rouse, 1988). This would become a recurring criticism of feminism in Pakistan. Despite liberal leaders from 1988-1999 such as Benazir Bhutto and Nawaz Sharif, little progress was made undoing the anti-woman ordinances of the Zia regime.

The 1979 invasion of Afghanistan by the Soviet Union impacted Pakistan in two major ways. Foreign fighters, including Osama bin Laden, rallied to the support of the besieged Muslim country. They used Pakistan as a base, particularly the Khyber Pakhtunkwa, the home base of the Yousafzai family. Also, it encouraged the Islamization policies of Zia al-Haq. He became a surrogate, armed and supported by the United States, establishing a precedent pursued by a subsequent military dictator, Pervez Musharraf (Rouse 1988; Ryder, 2015).

The result was a spike in violence against women, especially in rural areas, including rape, forced marriages, acid attacks, mutations and honor killings. This was given legal sanction by the Pakistan Provincial Assembly's passage in 2003 of a bill introducing Sharia law into the Pakistan's border region with Afghanistan. Six years later it was extended to the Swat Valley, Malala's home region (Pakistani Women's Human Rights Organization, 2015). While such vicious acts are technically illegal, there has been little enforcement. By 2012, the year Malala was shot, Northwest Pakistan was, "*a human rights-free and democracy-free zone*" (Shuster, 2012, p. 4).

Malala Yousafzai (1997-) was born in Northwest Pakistan, in the Swat Valley into a Sunni ethnic Pakhtun tribe which had migrated there in the 16th century (The Khyber Pass, 2001). She was named after a famous Pakhtun woman warrior who died in the Second Afghan War against the British. There is a monument to her in Kabul and she is referred to as the Pakhtun Joan of Arc (Yousafzai & Lamb, 2015). Nominally independent since 1926, Swat was officially incorporated into Pakistan in 1969. Malala hailed from a family of "enlightened" males. Like Kartini, this bestowed an advantage, especially given the extreme patriarchy of the Pakhtun way of life, whereby males control key positions linked to wealth, power, prestige and authority, with women totally subordinate. The women's world of domestic labor is considered a gift from God which they have been born to fulfill (Naz & Chaudhry, 2011). Malala's grandfather, an Imam, condemned the yawning gulf between the classes, encouraging his son to go to a government school, not a Madrassah. Her parents married for love and her father always treated his wife as his equal. Obtaining financial assistance from his aunt's family, he established a school and could achieve a modicum of prosperity (Yousafzai & Lamb 2015).

Since the President, Pervez Musharraf (1998-2008), had allied himself with the United States in the international war on terror, it created a climate of intense violence on both sides. Ostensibly, Musharraf embraced a policy of "*Enlightened Moderation*" (Afzal-Khan, 2007; Zia, 2009). He encouraged women to be more involved in politics, reserving a percentage of elected seats for women at federal, provincial and local levels (Naz & Chaudhry, 2011).

Musharraf also encouraged women's involvement in media and sports. Many pro-women bills were passed, such as the *Women's Protection Bill of 2006*, repealing several provisions of the Hudood law. An anti-sexual harassment law and the *Criminal Acid Act*, outlawing the throwing of acid in the face of women were also passed (Ovais, 2014, p. 3).

These events created the illusion of a reform climate which may have encouraged the Yousafzai family to resist efforts by the Taliban to restrict women's rights even more. But there were some ominous signs. Islamist political parties increased their representation in parliament. The Pakistani women's movement split in the wake of the passage of reform bills. The leaders of mainstream political parties went into exile (Zia, 2009). More women began wearing the hijab, a covering, until then, not widely used in Pakistan (Critelli & Willett, 2012).

In Swat, the local mufti sought to close Malala's father's school, arguing it was a sanctuary for blasphemy. A compromise averted closure, but it was the first of many efforts to do so (Yousafzai & Lamb, 2015).

There continued to be a rising tide of resentment to things Western as the USA launched drone strikes against Mujahadin in Pakistan, many of whom were fellow Pakhtun (Yousafzai & Lamb, 2015). If things could not get any worse, Pakistan, was ripped by a massive earthquake, leaving 73,000 dead, 123,000 injured, 11,000 orphans, and 6,400 schools destroyed. Malala's father raised money for relief efforts. Taliban leaders were active in assisting, asserting the earthquake was punishment for the people's ungodly ways. More edicts followed, restricting education for girls, outlawing movies, tobacco, DVD's and instituting public whippings and political assassinations. Undeterred, Malala's father published a letter openly criticizing the Taliban leader (Yousafzai & Lamb, 2015). Malala joined him. In 2009, she agreed to write a blog for the BBC, using the pseudonym, Gul Makai. Makai was a Pakhtun woman who fell in love with a man from another tribe. In order to avoid an inter-tribal war, Gul Makai used her knowledge of Islam to convince the tribal elders that war is evil, ultimately allowing the two lovers to marry (Yousafzai & Lamb, 2015). Malala, unlike Kartini, was also learned in Arabic and the Quran. She was using the weapon adopted by Modern Islamic feminists to show religious truth, especially regarding female education, was not a monopoly of mullahs. They, in turn, offered their own interpretation of religious texts (Huma-Yusuf, 2014; Jamal, 2005; Ryder, 2015; Zia, 2009). This is like the work of Kiai Haji Hussein Muhammad in Indonesia.

Because of their outspokenness, both Malala and her father received death threats. The extreme violence in Swat forced the family to leave their home, returning only after it was retaken from Taliban control. But it was still unsafe (Yousafzai & Lamb, 2015).

In 2011, Navy Seals executed Osama bin Laden in Pakistan. That same year, Malala Yousafzai was awarded the First National Pakistan Peace Prize by Prime Minister Nawaz Sharif. The result was two-fold: it made her and her family more susceptible to Taliban violence; and, she used the prize money to re-publicize her campaign for girls' rights (Yousafzai & Lamb, 2015). A short time later, in October 2012, Malala was shot in the head by a Taliban gunman (Profile: Malala Yousafzai, 2014).

The Taliban claim she was targeted for promoting “secular education.” Publicity from the attack and her miraculous survival had the opposite effect of what the Taliban intended. It led to the passage of the first *Right to Education Bill* in Pakistan. It increased her global fame, leading to the establishment of a Malala Fund for girls’ education. Nonetheless, in a blatant showing of the country’s double standard, by April of 2015, those who plotted her murder were either in hiding or acquitted (Yousafzai & Lamb, 2015).

After her release from the hospital, Malala met world leaders, using her celebrity status to stand up for those who have few options other than being slaves to tradition (Ali, 2012). At 17 years of age, she became the youngest recipient of the Nobel Peace Prize. Pakistani Prime Minister Nawaz Sharif proclaimed her “the pride of Pakistan.” The United Nations made July 12, 2015, *Malala Day*. Malala asserted “... *on behalf of the world’s children, I demand of leaders we invest in books instead of bullets; if the whole world stopped spending money on the military for just eight days, we could have the \$39 billion still needed to provide 12 years of free, quality education to every child on the planet* (Malala Yousafzai, children’s activist, 2016).

Malala: A Preliminary Assessment

Like Kartini, Malala had her critics. The publication of her biography was banned by the Pakistan Private Schools Federation as “disrespecting Islam.” She was condemned as a CIA spy and an agent of the West (Pakistan bans book..., 2013; Yousafzai & Lamb, 2015). Other critics claimed the murder plot was simply a scheme to further central government incursions into the Northwest frontier (Beemish, 2016). Others claimed she was being used by the West to portray a wrong image of Pakistan as a violent, anti-woman society, ideas rejected by Malala herself (Ryder, 2015).

It would be a fitting tribute to Malala to state her near martyrdom brought significant change to education and women’s rights in Pakistan, but it is a country still imprisoned by its past. Malala and her father were waging a struggle which pre-dated independence, when it inherited an inadequate system of education, the quality of which has been a matter of concern since its inception.

As with the Dutch in Indonesia, education in Pakistan during the colonial era focused on producing a functional civil service and a select group whose loyalty was to the British Empire (Education: Pakistan, 2015). By definition, it was elitist, the tradition continuing into the post-colonial era. The good news is there has been some improvement, albeit extremely limited, with women in rural areas being the major losers. For example, in 1992, thirty-six (36) percent of adults over 15 years of age were literate, compared to twenty-one (21) percent a generation earlier. Enrollment was also up from nineteen (19) percent of those aged 6-23 years in 1980, to twenty-four (24) percent in 1990. This “improvement” is mitigated by two factors. In 1992, like Malala’s mother, the over-25 years population averaged less than two years of formal education. In addition, the extremely loose definition of literacy — “*the ability to read and write, with understanding, a short simple statement in everyday life*” may inflate statistics on literacy. The situation is worsened by the fact that despite public statements to the contrary, government investment in education is limited, with only one (1.1) percent of GNP dedicated to it in 1960, rising to only three (3.4) percent three decades later. This compares to spending almost forty

(40) percent of GNP on defense. That's understandable given the frequent border clashes with India, but it makes more poignant Malala's admonition about the need for spending more on books than on bullets. As with Indonesia, teaching programs are limited, with few incentives to attend since fiscal resources are lacking. Teacher absenteeism is endemic, as they often leave school to obtain additional employment. Many science teachers, *"because of their religion, reject the concept of evolution, because they do not believe humans evolved from monkeys"* (Ashgar, 2016).

In 1991, the student teacher ratio at the primary level (grades 1-5) was an astronomical 40:1 ratio. At the high school level, it was half that. The primary dropout rates in the 1970s and the 1980s was fifty (50) percent for boys and sixty (60) percent for girls. Seven million adolescents in Pakistan are not in school, fifty-four (54) percent of whom are girls. Almost half of all girls who enter primary school leave before completion. The educational neglect of women typical of Malala's mother's generation persists. Seventy-one (71) percent of women in Pakistan have not completed primary school; while forty-one (41) percent of males do not. Only forty (40) percent of women in Pakistan are literate, compared to almost seventy (70) percent of men (If you're a girl in Pakistan, 2013).

According to UNESCO data, as of 2011, primary school enrollment for girls was sixty (60) percent and for boys, eighty-four (84) percent. At the secondary level, it was thirty-two (32) percent for girls and forty-six (46) percent for boys (UNESCO Institute for Statistics, 2016). The sex ratio in literacy reflects the lower rate of girls' participation in education at all levels, with only one-third of primary school-age girls in school, and only one (1.5) percent in grades nine and ten. The situation was most critical in Baluchistan and the Northwest Frontier Province, where the female literacy rate was between three (3) and eight (8) percent (McKenney, 2015). This disparity was made worse during the time the Taliban controlled Swat, Malala's home province. In January 2009, 400 private schools educating 40,000 girls were shut down. They have been rebuilt since the government regained control, but gender inequality persists. There are currently 717 primary schools for boys and 425 primary schools for girls (Girls' education in Pakistan-Malala Yousafzai, 2013).

A major reason for parents restricting girls' access to education was concern for women's honor. But such statements may reflect a more basic need—economic survival. Child labor is a major problem in Pakistan with millions of children working in brick factories, carpet weaving, agriculture and domestic service. Girls are involved in work for as many as 14-18 hours daily. Schools are often distantly located with poor families unable to pay for travel expenses. There is, also shown in Malala's case, the constant threat of death for attending school (Women, girls, Malala, 2014). The government tried to respond to the need for women's education by creating technical schools with dormitories. The government, as of November 2013, considered expanding the role of madrassas to increase girl's attendance, no doubt in response to concerns about women's safety (Education in Pakistan, 2015; Girls education in Pakistan-Malala Yousafzai, 2013).

The government also tried to fill the educational void by encouraging an informal network of schools sponsored by NGOs and political parties, in both urban and rural areas, for both girls and adult women. But even this limited success is challenged by government instability (McKenney, 2015), entrenched patriarchy, and widely held beliefs that such agencies are anti-

Islamic and in Swat, anti-Pakhtun (Naz & Chaudhry, 2011). A recent study called for more government involvement to improve the status of women in Pakistan:

“The government should take immediate action to change policy, rules and regulations towards equal rights and responsibilities for women and men, with universal access to education as a most important step, the protective effect of education against gender inequality is strong and unambiguous.” (Ali, et al., 2011, p. 9)

Yet reliance on government support seems to be wishful thinking. It is extremely unlikely since after almost four decades, government expenditures on education is small. So, despite efforts of Malala and others, Pakistan appears destined to remain the country with the second highest illiteracy rate in the world; second only to Nigeria, with millions of children outside the education system. They are the third highest number of illiterate adults after India and China (UNESCO, 2014).

The World Economic Forum ranked Pakistan as the least gender equitable country in the Asia-Pacific region (Women, girls, Malala, 2014). Recent events seem to reinforce that assessment. As late as June 2016, Pakistan’s Council of Islamic Ideology amended the Punjab Assembly’s passage of the *Protection of Violence Against Women Act of 2015*, declaring it was permissible for a man to “lightly” beat his wife under circumstances of wifely disobedience. Items included refusal of marital sex, interaction with male strangers and refusing to take baths following intercourse or menstruation. The Council opinion is advisory only, but it nonetheless exerts normative power over Pakistani society, hence justifying male violence (Zakaria, 2016). Male Islamic scholars justified their selective interpretation based on the chapter on women in the Quran, even though Muslim feminists dispute this translation, claiming there is no Quranic permission for violence against women. Perhaps more disturbing was the death of Qandeel Baloch in July 2016 as an “honor killing,” which is a shocking reminder of the limitations on female autonomy and the ugly truth of patriarchy in Pakistan (Rashid, 2016). In Pakistan, these killings reveal a selective anti-feminism. Those who are perceived as challenging the status quo, are, like Malala, targets of violence. Hence, the prognosis for meaningful social change for women and girls, especially in Pakistan’s traditional tribal areas, is extremely dim.

So, is Malala a transformational leader? For her, it may be too early to judge, but her international acclaim has given her a bully pulpit with which to influence others. Just as Kartini has her day, Malala has hers – November 10 was declared “*Malala Day*” making her a global hero. But Malala downplayed it, claiming it instead for people everywhere. *Malala Day is not my day. [It] is the day of every women, every boy and every girl who have raised their voice for their rights* (Yousafzai, 2016). Malala’s own words and actions reveal she is selfless, asking for education for all, even terrorists. She is committed to new thinking, learning and actions, opening schools for girls in other conflict zones such as Lebanon in 2015. And like Kartini, she is confident of ultimate victory.

Is Malala a Transformational Leader?

- *Her international acclaim has given her a bully pulpit with which to influence others.*
- *She is selfless, asking for education for all. even terrorists.*
- *She is committed to new thinking, learning and actions, opening schools for girls in other conflict zones.*
- *Like Kartini, she is confident of ultimate victory*

“The terrorists thought they would change every aim and stop my ambitions, but nothing changed in my life except this — weakness, fear and hopelessness died. Strength, courage and power was born. I am not against anyone, neither am I here to speak in terms of revenge against the Taliban or any group.” (Yousafzai & Lamb, 2015, p. 313)

In the past, Malala has spoken of returning to Pakistan and becoming Prime Minister, but the continuing threat of Taliban vengeance remains a factor keeping her in England. But she has managed to garner national and international attention for the cause of young peoples’ education around the world. And she has, unlike Kartini, been largely able to retain control of agency, to speak in her own voice in her campaign for girls’ education on a global scale. Feminism in Indonesia and Pakistan is not anti-Islam, nor does it embrace female superiority or immorality as some critics allege. Women’s rights activists in both countries must be strong, vocal and organized, understanding that meaningful change will not occur without access to education and political support. To fight for their rights, women must be made aware of them. It is a commitment embraced by both Kartini and Malala which continues to inspire advocates for social change in their respective counties.

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Empathy as a Leadership Tool for Teachers: A Case Study on Writing with Students in the College Composition Classroom

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Abstract

Dialogic leadership theory has been proposed as an alternative to traditional hierarchical models of leadership in business contexts. With its emphasis on cultivating empathy and discourse, the dialogic model can be transferred to the classroom as a new approach to practical leadership and teaching. A case study is presented in which an empathic approach is modeled in two English composition classes in a community college setting as the instructor participated in the same writing assignments that were given to the class. The qualitative assessments reflected a significant positive response from the students and a higher level of engagement in the learning activities.

Keywords: dialogic leadership, empathy, composition pedagogy.

Introduction

As suggested by the title, this paper weaves three topics together: writing with students, empathy, and leadership. The connection is not adventitious, as can be shown by the following three simple propositions.

- *First*, all teaching is leadership. The classroom, therefore, is an ad hoc laboratory for testing leadership models.
- *Second*, empathy is a non-traditional leadership tool that emphasizes participation, collaboration, affective interaction, and dialogue.
- *Third*, writing with students is a concrete way to express and cultivate empathy in the classroom.

The structure of this paper will follow these three principles. In the end an approach to teaching writing will be presented in which teachers actively participate with their students as writers. The small body of literature on this topic will be surveyed and a case study will be presented. The case study will document and reflect upon the experience of writing with students in two semester-long composition classes in a community college. The instructor's writing was subjected to student comment and critique for modeling the idea that *writing teachers are teachers who write*. Based on this experience, further research into writing with students will be suggested to explore more fully its implications for student achievement.

Background

That “*teachers are leaders*” hardly needs defense. What is at stake, however, is the *type* of leadership that teachers model in the classroom. There is little controversy in claiming that the predominant educational model, at least in complex, highly bureaucratized societies, has been hierarchical and authoritarian. The roles of teachers and students are clearly delineated, and distance between the two is strictly maintained by convention.

Violations of these conventions are cause for sanction. One can go all the way back, as far as written records will allow, to ancient Babylon for illustration. That is how old and deeply entrenched this model of teaching (and leadership) ultimately is; it is also centralized, bureaucratized, patriarchal, and hierarchical. Strand (1980) relates how one Babylonian tablet contains a humorous story of a teacher and his student. The student is late to school and finds himself beaten by one school official after another for wasting their time and making mistakes in his scribal copying. Tired of *this* approach to education, the student plots an alternate strategy with his father. They invite the teacher to their house and flatter him with wine, food, and gifts—after which, and not surprisingly, the student does very well in scribal school. The story must have been a hilarious burlesque in ancient Babylon. The comedy, however, expresses a serious point: when the teacher is brought down to the student’s level, the very idea of education is subverted. The Babylonian leadership model, like the empire, is hierarchical and authoritarian.

It is not necessary to go back three thousand years to Babylon for examples of hierarchical leadership in the classroom. Another example, with none of the irony that makes the ancient story so delightful, is found in the British curriculum associated with English writer and critic F. R. Leavis in the early 20th century. Students are directed to read advertising copy written in the dialect of the lower English class. Following this, and by way of analyzing the text, the curriculum instructs the teachers to “suggest” the following questions for their fifth- and sixth-grade students: “1. Describe the type of person represented. 2. How are you expected to feel towards him? 3. What do you think his attitude would be towards us? How would he behave in situations where mob passions run high?” (Storey, 2015, p. 26). This example, also drawn from the annals of an imperial culture, is a particularly overt illustration of the coercive power of a top-down leadership model in the classroom. Unlike the Babylonian story, however, nobody gets beaten in this classroom—only brainwashed. The teacher neither values nor respects the individual worth of each student; the teacher is a “law-giver” with an approved, class-bound set of values that must be enforced.

Fortunately, for teachers uncomfortable with playing Moses, there is another model for the classroom. That model is based on empathy, identification, and authentic dialogue—and it is a model particularly well suited to teaching composition.

Literature Review

It is in response to the rigid, hierarchical model of leadership that “dialogic leadership” has been proposed, first in the executive contexts of the business world, but with direct relevance to educational leadership (and the composition classroom) as well. Dialogic leadership has been defined by Isaacs (1999) as “*a way of leading that consistently uncovers, through conversation, the hidden creative potential in any situation*” (p. 2). Isaacs goes on to list qualities that support dialogic

leadership. These are “the abilities (1) to evoke people’s genuine voices, (2) to listen deeply, (3) to hold space for and respect as legitimate other people’s views, and (4) to broaden awareness and perspective” (p. 2). Each of these qualities, though presented within a management paradigm, can be mapped onto the college composition classroom as well. The potential here for transforming the ossified activities that make up the hallowed “writing process” is suggested in the following summative quote from Isaacs:

Dialogic leaders cultivate these four dimensions—listening, suspending, respecting, and voicing—within themselves and in the conversations they have with others. Doing so shifts the quality of interaction in noticeable ways and, in turn, transforms the results that people produce. Failing to do so narrows our view and blinds us to alternatives that might serve everyone. (p. 5)

Two acknowledged sources for dialogic leadership are the existential “I-Thou” philosophy of Martin Buber and the client-centered theories of psychologist Carl Rogers. Both Buber and Rogers, who are often spoken of in the same sentence, take seriously the affective, experiential dimension of human relationships and the transformative power of acknowledging and affirming one another’s humanity. As such, their work is taken to be foundational to dialogic leadership theory.

One promising application of the dialogic model to education was proposed by Berkovich (2014) in his essay, “*Between Person and Person: Dialogical Pedagogy in Authentic Leadership Development.*” Acknowledging the influence of Buber’s philosophy, Berkovich discusses eight “components” of what he terms a “*dialogic pedagogy*” (p. 245); each of these components has direct relevance to writing instruction. These components are: *self-exposure, open-mindedness, empathy, care, respect, critical thinking, contact, and mutuality.*

The irony which writing teachers should reflect upon (which, perhaps, *all* teachers should reflect upon), is that these components are the very qualities teachers want to see exhibited in their students’ work, but which they are often reluctant to exhibit themselves. Regardless of one’s stated objectives, the hierarchical model is structurally set against achieving these qualities. Instead of *self-exposure*, barriers are often erected to protect secret knowledge, hiding the teacher’s vulnerabilities and undeveloped skills. Instead of *open-mindedness*, “rules” are established that must be assimilated, but seldom questioned. Instead of *respect*, blind conformity is often modeled to what is generically called “standards,” thereby blanching out uniqueness and potentialities. Instead of *critical thinking*, teachers can too easily obscure the complexities of options and alternatives or anything that falls, chaotically, outside the “learning objectives” or “measurable outcomes.” Instead of *mutuality*, teachers are expected to maintain distance—both spatial and emotional—to privilege and protect their power as educators. In short, there is often a real disconnect between what teachers *say* they want to do and what they are *actually doing* when leading their classrooms.

Writing with students is one way to rethink what leadership in the classroom might look like when empathy is taken seriously. As one leading compositionist has put it, “*writing with our students is probably the single most powerful thing you will do to help them learn to write*” (Graves, 1994, p. 42). This claim is supported by the research—limited though it is.

Three themes recur throughout the research: *expectations, empathy, and empowerment*. The role of *expectations* in teaching writing, and the modification of those expectations, is echoed frequently. Thus, Baxter's (2009) paean to journaling notes that it "*helps you be more reasonable with what you expect*" (p. 24). Hewitt's (2001) analysis of Vermont's portfolio system concludes that "*too much was expected too soon*" (p. 187). Kulmala (2010) confesses that "*I need to have realistic expectations of my students' writing*" (p. 2). McLeod (1995) poses the question, "*How much of our students' success or failure is due not to our teaching methods but to our expectations about our students?*" (p. 369). In each of these cases, the trope is completed when the authors declare that these expectations were modified by the specific act of participating with their students in writing various assignments. As Gillespie (1985) confesses, "*I never knew why students didn't seem to enjoy more wholeheartedly my 'Imagine You're a Hypnotist' topic—until I tried it myself*" (p. 1).

The second recurring theme is *empathy*—the affective, emotional identification that can be cultivated by the deliberate choice to write with one's students. Gillespie (1985) simply states that "*[w]hen teachers write, we learn empathy for our students*" (p. 1). He goes on to describe the experience of participatory writing as a kind of field research in which he learned how to teach writing more effectively by doing it with his students. Specifically, Gillespie lists eight things that "*I know, not just because I read them in a book or heard them at a workshop, but because I write*" (p. 2). Shafer (2006) relates how he learned empathy firsthand by sharing his writing with students: "*My first critique session, and my volatile feelings toward it, made me realize how much personal investment is involved in writing and how sensitive we must be in becoming a part of that literacy event*" (p. 57). McLeod (1995) concludes that "*cultivating empathy mean[s] that teachers actively engage themselves in the thinking and learning processes of their students*" (p. 375). One could add to this that empathy is a worthy objective—but unless it is embodied in *specific teaching methods*, empathy will remain little more than a noble abstraction. Writing with students can, accordingly, be seen as an intentional, strategic way to cultivate and express empathy in the classroom. Composition teachers should reflect on this and consider taking on a participatory role for themselves, because (as McLeod goes on to note) "*[t]he research on teacher empathy suggests that there is a robust positive correlation between high teacher empathy and student achievement*" (p. 376).

The third recurring theme, *empowerment*, is decidedly political in nature and follows naturally from the second. Empathy is the game-changer between expectations and empowerment. As writing teachers experience their own assignments firsthand, as they subject themselves to student critiques and the transparency of self-revelation, they modify their original expectations and "*democratize*" the learning process. Hewitt (2001), for example, claims that "*[w]riting with your students will give you a realistic perspective on the difficulty of your writing assignments and it will demonstrate for the students that writing is not just something that adults make students do*" (p. 189). Hewitt concludes his essay on a lofty note by arguing that "*a writing portfolio [in which teachers participate] invites all students and teachers to demonstrate their competence and, in reflection, to witness their unique humanity*" (p. 190). The power shift is evident in classrooms led by "*high-empathy teachers*," as noted by McLeod (1995): "*Teachers identified as high-empathic see their role as that of facilitator rather than authority; they give a good deal of responsibility to the students; and they rely more on collaboration and cooperation than on competition*" (p. 376). Shafer (2006) is the most explicit in embracing this new model of student empowerment: "*The dynamics of writing with students rather than being a despotic overseer, of exposing a part of yourself on paper, is a powerful step*

toward sharing power and opening the class to other voices" (p. 56). As only one method among many, writing with students can nonetheless be viewed as paradigmatic of an intentional empathic approach.

Case Study

The empathic teaching approach of writing with students was undertaken in two first-year English composition classes at Central Virginia Community College in Lynchburg, Virginia, during the spring semester of 2016. Thirty-one students comprised the two classes (18 females and 13 males); all were college freshmen enrolled in their first writing class since high school. The instructor participated in each of the four writing assignments for the semester, engaging in the process with the students, from topic selection through first and final drafts. Student impressions were collected in written form at the end of the semester.

Students were surprised and receptive to the attempt, tentative though it was, at *"power-sharing."* When asked if any teacher had ever written with them, the nearly unanimous response was *"no."* Out of a sample of 31, only two students indicated that a teacher had written with the class (or at least shown them writing samples). Even in these cases, the teacher did not engage in the entire writing process of an assignment. One student wrote, in an almost plaintive way, that *"I have never had a teacher write with me. Even attending college for four years, a teacher never wrote with me—only graded."*

Students responded positively by describing the instructor as *"integrating into"* and *"interacting with"* the class, and describing him personally as being *"interested in"* and *"involved with"* their work. Students also commented (somewhat predictably) on the practical value of seeing, as one put it, a *"good example of how we should be writing the paper."* Another student echoed this pragmatic response by noting that *"seeing the teacher's work and analyzing it would help us understand the topic better."* Some students saw beyond their own pragmatic concerns and realized that there might also be a practical benefit to the teacher as well:

"I like that as a method because it means that the teacher would better understand potential roadblocks with the assignment. I also can see how it may help the professor through the feedback of their students."

"I think it is very beneficial for the instructor to do this so they know what the students are assigned and what it's like. This way he can see firsthand what works and doesn't work and can adjust for future assignments. I've had teachers give complicated and confusing projects, but they didn't understand any of the trials because they had not done it themselves. And it makes the students feel like you care more."

Many of the comments seem to suggest that the students perceived genuine empathy; one student noted that the teacher's participation *"makes the students feel comfortable knowing that their teacher is doing the same work with them."* Other comments echoed this sentiment:

“I’ve had teachers give complicated and confusing projects, but they didn’t understand any of the trials because they had not done it themselves. It makes the students feel like you care more.”

“I feel that it shows students that this isn’t a meaningless assignment. If the teacher is writing with you, then it kinda goes to show that they didn’t create the assignment for busy work or to waste a student’s time.”

“It also would mean the teacher could empathize with unrealistic deadlines (which are sadly very common in most classes).”

“It also assures me, personally, that the teacher is not simply piling ridiculous assignments onto the students. I feel better knowing the teacher knows what they’re doing.”

Most surprising was the frequency of comments that could be classified as “human interest” in nature. Students seemed genuinely interested in learning more about the teacher as a person—not just as a source of practical information that would be helpful on a given assignment:

“[M]y teacher may be able to guide as I go rather than just critique at the end.”

“The class will get to see the level of experience of the instructor. Also, it will motivate the students to do well on their own papers.”

“I guess it’s comforting to know that if I have any questions concerning my paper, you would possibly understand how to better help me because you’re writing with the same guidelines.”

“I think this is a great way to interact with the students because not only is this hands-on, but also makes the students feel comfortable knowing their teacher is doing the same work with them. I have benefited from this because it allows the teacher to give more feedback, rather than just grading.”

“It will also be interesting to see what the teacher comes up with.”

“It is also interesting to be able to see the teacher’s writing style and personal opinions that they hadn’t previously shared.”

“I’ve always wanted to see how good of a writer my teachers are. Now I can.”

“I also enjoy your thoughts or opinions on the topics.”

*“I’m interested, to be honest, in what the teacher wrote about.
It kind of shows you something you didn’t know about the teacher.”*

“The student sees that his or her teacher is passionate about or enjoys writing. It also shows that writing is possible—that is, it can be accomplished by real people.”

These comments suggest that there is a tremendous untapped potential in fostering greater transparency in the classroom, thereby building bridges with students as fellow human beings. These personal responses from students come close to capturing the humanistic perspectives of Martin Buber and Carl Rogers.

Conclusions and Future Research

As Arnold (2005) has argued, *“There is considerable scope for research into empathy in education... We need to know more about the ways students experience empathic and non-empathic educators”* (p. 135). The flip side of the equation involves understanding *“how educators develop the important attributes of empathic teaching”* (p. 135). Further research in composition pedagogy could contribute much to this broader enterprise through qualitative and quantitative studies. Given the variables involved, one might only be able to establish correlations—not causality; but this, at least, would be a good start toward understanding the efficacy of empathic teaching methods such as writing with students.

The role of writing is undergoing some of the most profound changes ever seen in the history of human literacy. Considering the vital importance of writing as a cognitive, sense-making skill, greater attention should be focused on how to adapt, with nimbleness, to these changes. Operating on digital platforms, writing is increasingly multi-modal, fluid, and requires higher levels of collaboration and mutuality. The default classroom leadership model, which is hierarchical, may be the least effective model for teaching skills that are increasingly decentralized and democratized. Empathic teaching methods that are based on dialogic leadership theory should be viewed as a promising alternative.

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Spanning the Gulf: Creating an Innovative Institutional Model for Effectively Mentoring Adult African American College Students

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Abstract

African American adult learners experience challenges much different than traditional students, requiring institutions of higher education to purposefully create programs designed to achieve success for this population. The need becomes even greater for students in off-campus and online environments. This paper presents one university's approach to creating a mentoring program that attempts to address African American adult students' needs. The researchers created a survey and used data it generated to propose a plan for creating and implementing a mentoring program that will address students' self-reported needs. Data revealed the complex nature and varying degrees of students' mentoring needs. The importance of university buy-in and the need to assess the commitment level of potential mentors also is addressed.

Keywords: *African American students, adult students, adult learners, non-traditional students, mentoring programs, colleges and universities.*

Introduction

College and universities must capitalize on the unique opportunities associated with providing mentoring for African American adult learners in both online and on-ground environments. This fast-growing and underserved demographic population experiences many different challenges from traditional students.

While the needs and concerns of adult students have been largely ignored in the past, researchers have paid more attention to this group over the last decade. The need for a focus on these learners resulted from statistics showing that adults (aged 25 and older) comprise an ever-increasing number of credit-seeking students, far outpacing their traditional counterparts (Kasworm, Sandmann, Sissel, 2000; U.S. Dept. of Education, 2014). Studies show that adult learners experience college differently; they also have different needs and different motives for enrolling in college than traditional students (Erisman & Steele, 2015). For example, while traditional college students matriculate to *begin* their careers, adults pursue higher education for personal enrichment, to prepare for a career change, or as a requirement for promotion

(Spellman, 2007). Based on data collected from the *Adult Learner Needs Assessment Survey* (ALNAS), Moison (2013) identified five distinct categories that reflect the needs of adult learners: having associations with others, educational planning, life skills, career development, and managing family issues. Because most adult students have responsibilities with their families, their work, and their communities to a greater degree than traditional students, flexibility with regard to when, where, and how they take classes is paramount to their success.

Significant for this study, African Americans are more likely to attend college at a later age than Caucasian Americans (Ross-Gordon & Brown-Haywood, 2000). Extant research also shows that statistically, more African Americans are matriculating in colleges and universities each year. However, despite extensive recruitment and retention initiatives, the attendance and graduation rates for African Americans are still lower than these rates for other groups (Shultz, Colton, & Colton, 2001). Per a 2009 report by the U.S. Department of Education, only forty-two (42) percent of African Americans enrolled in college earned their bachelor's degrees within six years; the national average was fifty-seven (57) percent (Johnson-Ahorlu, 2013). Like retention statistics among mainstream groups, the reasons African American students attrite can be related to a lack of funding or a lack of educational resources. However, African Americans are also consistently affected by a lack of effective mentoring during their formative years (Fruith, 2013).

Additionally, factors that reflect the culture of their academic institutions also impact retention among African Americans. For example, it has been cited that "*unwelcoming campus climates, racial stereotypes, and faculty relationships*" (Love, 2008, p. 41), influence attrition rates among African Americans. African American college students may also experience isolation and loneliness, as well as a lack of social and cultural networks in their institutions (Brittain et al., 2009). Studies suggest that mentoring programs, which are designed to promote collaboration, goal achievement and problem solving, also create a supportive environment for the mentee and enhance engagement and a sense of community (Butler, Evans, Brooks, Williams, and Bailey, 2012). Research shows a correlation between participation in mentorship programs and increased retention among African American college students (Brittain et al., 2009).

As such, institutions must purposefully create programs designed to meet their specific, self-reported mentoring needs. To successfully address the manifold needs of these students, it is necessary to assess their stated concerns and challenges. This study is a thematic analysis of the qualitative data collected from a survey of African American adult-learners at Saint Leo University, a liberal arts university serving over 14,000 students through its campus, online and off-campus center locations. Thirty-four percent (34.1) of these students identify as African American (Saint Leo University, 2017). The goal of this study is to use these data to facilitate the creation of an innovative mentoring program that will address the stated needs of non-traditional African American adult learners.

A review of the literature reveals that scholarship related to mentoring has emerged from many fields of study including, but not limited to, education, psychology, business, and government. Although mentoring can be understood from varying perspectives, most researchers agree that no single mentoring method can be universally applied to all students. As such, it is important

to become familiar with the many different approaches to mentoring to determine which method will most benefit the students who will be served by this study.

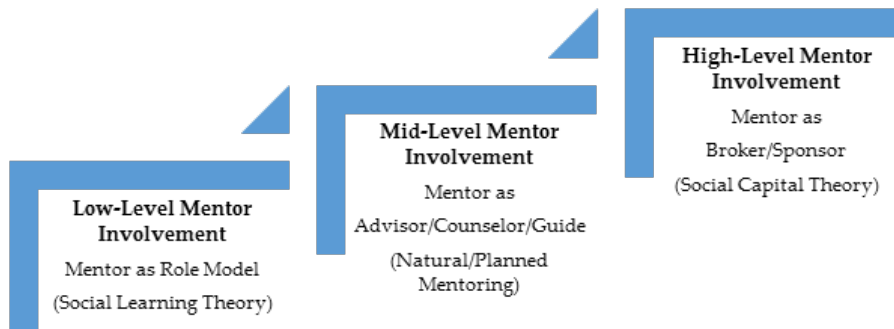
One type of mentoring is the natural or informal mentoring that occurs through daily contact between teachers, counselors, advisors and students. Informal mentoring includes various kinds of unstructured mentoring that result in the formation of trusting relationships through which mentees are provided with guidance and in which they benefit from their mentors' knowledge and expertise (DuBois and Karcher, 2005). Another type of mentoring is planned mentoring that results from a formal, structured process created to ensure that mentees are matched with mentors who will meet their specific needs (Gregory, 1993). Whether informal or formal, effective mentors influence the development of their mentees' social and emotional maturity, their sense of self, and their cognitive skills (Rhodes, 2005). Effective mentors also encourage students to view themselves as successful learners and model behaviors that can lead to academic and professional success (Erickson, McDonald & Elder, 2009). Modeling is especially effective if mentees view mentors as successful, and connect the mentors' modeled behaviors to academic and professional achievement (Kearsley, 2008).

Mentoring Theories

There are many theories associated with mentoring, three of which are particularly important for framing the current study. *Social learning theory* involves learning through observation and is most closely associated with the concept of mentors as models (Kearsley, 2008). *Social exchange theory* references the give-and-take between partners in a relationship and is most closely associated with the idea of mentors as not only givers of benefits but also receivers of benefits and vice versa (Kepler, 2013). Per this theory, mentoring relationships can only be truly effective if both the mentor and the mentee benefit from association with one another. Within the context of student mentoring, *Social capital theory* highlights a mentor's ability and willingness to introduce mentees to academic, social, and professional opportunities and networks that will facilitate students' success in their academic lives and in the working world (Chang, Greenberger, Chen, Heckhausen, & Farruggia, 2010).

The types of mentoring and the theories associated with mentoring can be understood through an examination of Norma Mertz's *Conceptual Model* (2004). In this model, mentoring relationships exist along a continuum, from the lowest level of mentor involvement which involves modeling successful behaviors (*social learning theory*), to the mid-level of mentor involvement which involves advising, counseling, teaching, and guiding students, to the highest level of mentor involvement in which a mentor acts as a broker or a sponsor for the student as the student transitions into a career (Mertz, 2004). This highest level of mentoring in which a mentor introduces a mentee to opportunities through the mentor's academic and professional networks is most closely associated with *social capital theory*.

The interrelationship between the types of mentoring (natural/informal or planned/formal) and mentoring theories (social learning, social capital) most closely associated with this study, can be superimposed upon an adaptation of Mertz's *Conceptual Model* to illustrate the way mentoring occurs at the university level (See Figure 1).

Figure 1. Conceptual Model of Mentoring

Adapted from Mertz's Conceptual Model (Mertz, 2004).

Developing a Mentoring Program

To create an innovative and effective college mentoring program that truly meets the needs of college students, experts in program development assert that it is first necessary to accurately assess students' needs. In 2015, the Association of American Colleges and Universities released a guide for college campus self-study and planning. According to this guide, the first step in planning campus programs is "knowing who your students are." The study encourages college program creators to ask, "What demographic shifts and trends in postsecondary success are occurring on your campus and in the regions from which you draw students?" and "What success or lack of success has your institution had in enrolling and educating students from underserved communities?" (AACU, 2015, p.4). Similarly, Campus Compact, a national coalition of colleges, released a study outlining best practices in campus-based mentoring and provided "steps to planning, implementing, and managing a mentoring program" (Campus Compact). According to this plan, the first step for creating mentoring programs is to "assess need." One must ascertain the climate of the college community and learn what services need to be provided to adequately address students' needs. One must also create collaborative relationships, capitalize on what is already proving to be effective, utilize expertise that is already at your disposal and draw from resources that may already be in place throughout the institution (Campus Compact).

Next, it is necessary to learn what aspect of student need is most relevant for the population being studied. As many surveys have been created to assess factors related to student success, the question arose as to whether one of these could be utilized to meet the needs for the current study (see Appendix B). Of the surveys examined, one appeared to be promising. In cooperation with Jackson College, Qualtrics has developed a *Student Success Assessment and an Institutional Success Assessment* that, together, allow colleges to "engage African American male students on a personal level, far greater than we've ever understood them before" (Hampton, Sorenson & Murray, 2016, p. 1). Key to the survey are three factors that are considered critical for understanding issues relating to African American male students: 1) financial needs, 2) cognitive needs, and 3) going a step further to understand students' life stories and their cultural stressors. This focus on delving deeper into stressors that exist beyond academics is key to this current mentoring

project. Missing from the Jackson College assessment tool, however, are non-gender-specific questions geared toward non-traditional adult students attending classes in off-campus centers or in an online environment.

Methodology

Drawing on surveys, research, and models, this mentoring survey project began with several premises. First, to accurately determine students' needs, the survey would need to include open-ended questions that allowed students to express their needs rather than forcing them to check boxes that might not apply to them. Second, to reach out to African American students, it would be necessary to send the survey to all students as there was no way to accurately determine which of the thousands of students were African American. After the completion of the survey it would be possible to separate the responses from students' self-reported race and ethnicity. Third, to facilitate the distribution of the survey to the entire student population and to encourage students to participate in the survey process, it would be necessary to obtain "buy-in" and support from the highest level of the university's administration. Fourth, the results of the study must drive the planning process so there could be no preconceived ideas about what creating an innovative and effective mentoring program for African American non-traditional students might involve.

This survey was developed based on the mentoring literature, as well as knowledge of the general characteristics of the university students. It was distributed using the *Qualtrics Insight Platform*. For this project students were asked to respond to twenty-eight questions (see Appendix A). Of these twenty-eight questions, only five did not allow students to include their own responses or to elaborate on questions that required them to choose a box to check. The questions were organized into three categories, 1) demographic and status data such as age, race/ethnicity, class level, GPA, major, military status, and enrollment location; 2) academic and life challenges or stressors such as financial issues, child care issues, academic issues, emotional issues, access to academic and emotional support, and connectedness and belonging; and, 3) mentoring preferences, such as what qualities students desire in a mentor.

The purpose of creating this survey was to solicit responses from students that will inform a proposal to create an innovative and effective mentoring program for African American students. However, it became clear that, as the university was launching a large-scale retention initiative, this survey was universal in its appeal and would provide valuable information about the mentoring needs and retention obstacles facing all students, university-wide. The next step was to bring the survey to the attention of upper-administration and to explain its wider benefits. Some of these benefits include providing retention-related data gathered from the entire student body, including researchers from all three schools within the university to ensure that all perspectives were represented (Arts and Sciences, Education and Social Services, and Business), and creating and publicizing a model that will associate the institution with a progressive plan for creative mentoring.

Importance of Buy-In

After obtaining the support of the academic deans, the vice president of academic affairs, and the university president, the survey was launched on a much wider scale than would have been

possible without this level of support. With the backing of upper-administration, the survey was sent to students as an official news item from the institution with a message stressing the importance of completing the survey. This was a very important factor in obtaining the high response rate for this survey. A survey link coming from any one of the researchers associated with this project would have lacked name recognition for most students and would not have appeared to be an important or official message in the students' email inbox. By contrast, an official university email that appeared in the same format as very important announcements from the university had the gravitas to encourage more students to participate in the survey than would otherwise have occurred.

Analysis of Findings

Over six hundred (665) Saint Leo University students responded to the survey, one hundred eighty-three (183) of which identified themselves as African American. As shown in the Figure 2 and Table 1 below, nearly all the African American respondents were adult students, most of whom were between the ages of thirty-five and fifty-five, with only seven (7) percent representing traditional college students between the ages of 18 and 23 (Figure 2.1). Sixteen percent were at the freshman and sophomore level; most were juniors, seniors or graduate students with the majority enrolled either as online students, forty (40) percent or off-campus center students, fifty-three (53) percent (Figure 2.2 and 2.3). The survey included questions specifically crafted to capture the experience of military and veteran students. While there were many veteran student respondents, there were very few active-duty military respondents, and most students reported no military service. (See Table 1). Further, the survey included questions regarding child care and transportation issues, but very few students indicated either of these as impediments to their educational experience.

Figure 2. Demographics by Age, Location, Class Level and Military Status

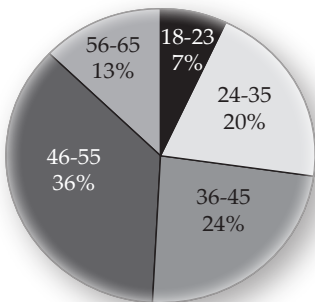


Figure 2.1
Age

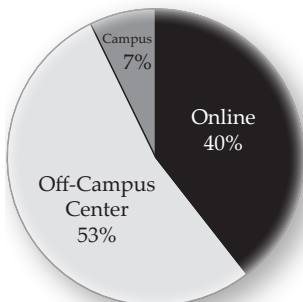


Figure 2.2
Location

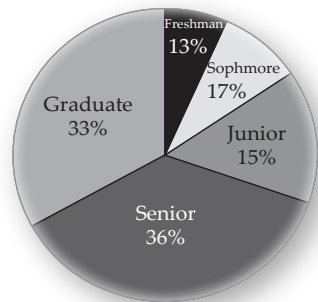
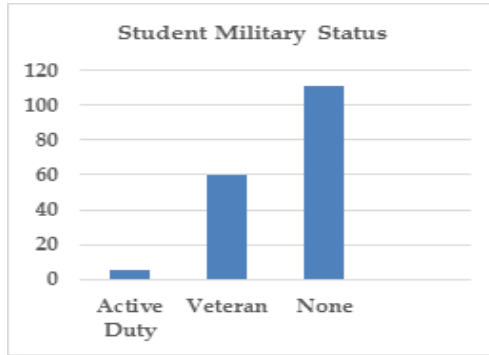


Figure 2.3
Class-Level

Table 1. Military Status of Respondents



Student Responses to Need for Mentoring, Type and Preference

In response to issues relating to mentoring programs and preferences, most African American students who responded to the survey expressed openness to participation in a mentoring program with thirty-four (34) percent stating “yes” and forty-four (44) percent stating “maybe.” Of the 70 students who provided specific feedback regarding the type of mentor they prefer, a greater proportion sixty-six (66) percent preferred having a faculty mentor than a peer mentor. Additionally, twelve (12) percent preferred being matched with a mentor of the same gender than with a mentor of the same race. Only nine (9) percent preferred the same race. Respondent feedback coincided with the Conceptual Model’s levels of mentor involvement and mentoring needs; and, preferences could be grouped into four different categories, with two falling in the mid-level involvement range. These categories include: 1) students who preferred a mentor to act as a broker or guide (high-level involvement mentoring); 2) students who preferred a mentor who could provide emotional support; (mid-level involvement mentoring); 3) students who preferred a mentor that could assist them with academic coursework (mid-level involvement mentoring); and, 4) students who preferred a mentor who could identify with them (low-level involvement mentoring).

Mentoring Categories

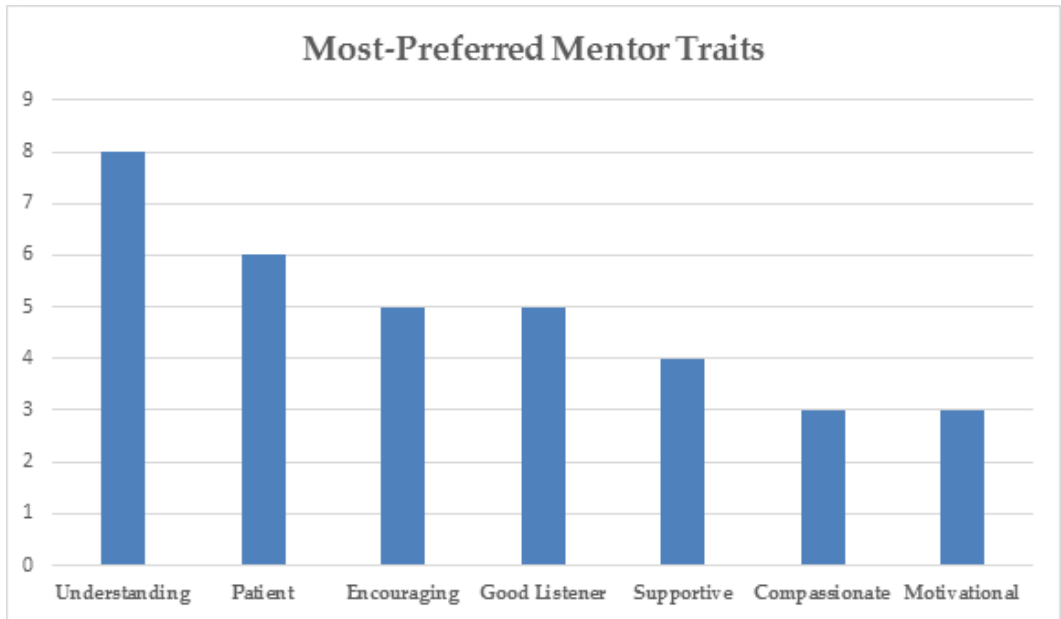
Students whose responses coincided to the Conceptual Model’s lowest level of mentor involvement expressed a desire for a role model and a mentor with whom they could identify.

Examples of such responses include: “a mentor with similar goals;” a mentor that can “identify with where I am in my life;” and, one “who can identify with me and my experiences at Saint Leo.” Other students described an ideal mentor as “someone with the same background and education experiences that will be able to relate to my circumstance,” and someone “that has a military background and can relate to the major that I’m in pursuit of achieving.”

Students who correlated with the Conceptual Model’s mid-level of mentor involvement to help them academically included one student who expressed a desire for a mentor who could “*help with adjusting to taking online classes,*” and another who was seeking someone to provide “*a real understanding of the MLA style.*” Others requested: “*help with a refresher in accounting;*” “*help with classwork I don’t understand;*” “*help concerning classes and curriculum;*” and, assistance with “*maintaining academic excellence.*” Other students requested help with research, indicating their need for “*continuous guidance through the writing and research process,*” and “*help with writing essays.*”

Many respondents described the desired mentor as: *one who adheres to a particular value system and has certain traits that will help the student emotionally* (See Figure 3).

Figure 3. Most Preferred Mentor Traits



Students who expressed a preference for mentors with certain traits provided some of the following descriptions: the desire for a mentor who is “*patient,*” “*encouraging,*” “*understanding,*” “*helpful,*” “*available,*” “*warm,*” “*friendly,*” “*down-to-earth,*” “*a good listener,*” “*truthful,*” “*compassionate,*” “*open-minded,*” “*supportive,*” “*thoughtful,*” “*genuine,*” “*respectful,*” “*trustworthy,*” “*worthy of respect,*” “*motivational,*” “*available,*” and a “*confidence-builder.*” One student expressed the desire for a mentor who could “*understand challenges and assist with overcoming them, and who considers the overall situation I am currently experiencing and understands that a student might be willing [to be successful in school] but not able.*” Another asserted that a mentor should be “*present not just physically, but also mentally.*” Another prefers “*a person I know who will be there—a person that can help me with classes as well as some non-educational problems.*” Still another wanted a mentor to offer “*support when I’m struggling and ready to give up.*”

The request for guidance was also a recurring theme. Some responses revolved around finding a mentor *“who would understand the challenges I have and can help provide practical solutions,”* and *“someone to listen and provide realistic answers.”* And yet, there were also responses that related to a reluctance to ask for help and guidance due to their status as older students, including one student who expressed a feeling that, as adults, they should already know how to help themselves. For example, when asked about comfort levels with seeking academic help, one 50-year-old student reported feeling, *“a little insecure. It’s like I should know this stuff with my age.”* Another 37-year-old student remarked that seeking academic help was not a comfortable experience because the advisor *“talks to me like I should know this already.”* In answer to the same question, a 40-year-old student stated, *“I usually keep stuff to myself and try to work it out,”* and a 32-year-old graduate student did not feel comfortable seeking academic help stating, *“I am in graduate school and would think that professors look down on it.”* It is important to note, however, that while several students expressed a reluctance to seek academic help, a majority seventy-six (76) percent indicated that they are comfortable seeking academic help (see Table 2). And, while some students (20) indicated that they preferred seeking mentoring, academic help and advice from a mentor related to their own field of study or desired profession, most students of the 62 who responded to this question did not specify a mentor in a specific discipline or profession.

Table 2: Comfort Seeking Academic Help

Comfortable Seeking Academic Help	n	Percent
Yes	140	76
No	38	21
No Response	5	.03

Many of the responses went beyond desiring emotional or academic support and described an ideal mentoring relationship as one related to the Conceptual Model’s highest level of mentor involvement and Social Capital Theory (Figure 1). In this mentoring relationship faculty mentors act as brokers offering direct assistance with navigating students’ current academic goals and their future professional aspirations. Examples of student responses regarding preferences for this type of mentor include, *“knowledgeable,” “qualified,” “a subject area expert,” “someone with professional experience,” “extensive and relevant guidance connected to my program of study,” “well-informed regarding my major,” “one who is currently in the field I am pursuing,”* someone *“who can help guide me through my academic career,”* someone *“to make sure I am on track and accountable for my actions,”* and, *“a mentor with experience, encouragement, and connections.”* One student requested *“help with moving through the system,”* while others asked for *“help with conducting a professional interview”* and *“a mentor who is willing to help you succeed in life.”* Along with such specific preferences, there were more general requests for guidance, resources, and information.

Creating an Effective Mentoring Program

This analysis of student responses to the survey reveals that a mentoring program for non-traditional adult African American students cannot involve a simplistic approach offering a single pathway for all students. Attention must be given to the intersection between emotional health, academic success, and the effective transition to the professional world. Students at differing emotional, academic, and professional levels will require differing levels of support, guidance and sponsorship. Ken Blanchard's *Situational Leadership Model* (2001) is useful as a basis for understanding the varying levels of support and direction required by students at different stages in their academic careers and with differing needs and aspirations. Although Blanchard focuses on leadership within the workplace, his model is easily adaptable to mentoring relationships. As a student grows and develops, a mentor's approach should evolve in response to the student's changing needs. A very competent, stable, mature, and motivated student should not be over-mentored, and a struggling, needy student should not be under-mentored. Mentors must adapt their approach to accommodate each student they encounter. "*The goal of situational Leadership,*" asserts Blanchard, "*is to match the leadership style that is appropriate to an individual's development level at each stage of development on a specific goal*" (Blanchard, 2001, p. 4).

Therefore, a critical aspect of creating an effective formal mentoring program for African American adult students is identifying what level of mentoring each student requires to best maximize his or her potential. These students must then be matched with mentors whose experiences, abilities, and professional knowledge best complements students stated needs. In order to accurately identify the needs of mentees and the strengths of potential mentors, institutions must develop an in-depth assessment tool for each group. The mentee assessment should identify students' emotional, academic and professional needs by asking very specific open-ended questions. The mentor assessment should identify potential mentors' ability to provide effective mentoring according to students' level of competency and development. The mentor assessment should be created with attention to the *Conceptual Model, Social Learning Theory and Social Capital Theory* to assist potential mentors in understanding the differing amounts of engagement required for differing levels of mentor involvement. This will allow mentors to participate in the program at the level most appealing and comfortable for them. For example, some mentors will prefer to operate at the lowest-level of involvement, acting as role-models (Social Learning), while others might be willing to participate at the highest level of involvement and will consider acting as brokers for their mentees (Social Capital). An effective mentor assessment tool will allow program creators to place mentors in mentoring relationships that best match their commitment levels and that will more likely result in successful partnerships.

Creating a mentoring program of this nature is a labor-intensive process requiring a committed group of individuals who are willing to dedicate themselves to the long-term planning and implementation of the program. Additionally, buy-in from the top administrative levels is necessary to provide legitimacy to the program; and, to make available the tools and resources necessary to ensure the active participation of large numbers of students. Support from top administrative levels guarantees that the work in which mentors engage to effect successful program implementation is recognized as an important and valued entry for student success. Moreover, consequently for the faculty member, it contributes to professional development, teaching

portfolios and faculty tenure and promotion. Thus, the program benefits both the mentor and the mentee, ensuring that both are invested in the success of the mentoring relationship (Social Exchange Theory).

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Appendix A

Saint Leo University Student Mentoring and Retention Survey

The boxes are expandable windows that accommodate infinite amounts of text

Where are you enrolled within the Saint Leo University system?

- University Campus
- SLU Center Location (Include name of Center below)
- SLU Online Program (Include name of online major below)
- Include any additional information below

What is your class level at Saint Leo University?

- Freshman
- Sophomore
- Junior
- Senior
- Graduate Student (Specify graduate program below)
- Include any additional information below

What is your age?

- Include your age below

Describe your racial and/or ethnic background in the way that you prefer to be identified (For example: African American or Black; Mexican American; White American; East Asian; Afro Caribbean; Jamaican American; Puerto Rican, Dominican, etc.)

Include your racial/ethnic background below

Are you currently active duty military?

NO
 YES (Add any information you would like to include below)

Are you a military veteran?

NO
 YES (Add any information you would like include below)

What is your major?

Include your major below

What is your approximate GPA?

Include your GPA below

Are you satisfied with your academic performance?

YES (If you wish, include additional comments about your satisfaction with your academic performance below)
 NO (In the space below, discuss the academic challenges you are experiencing and what would help improve your GPA)

Do you have all of the funds you need to pay for your Saint Leo tuition, books, and supplies each term?

YES. In the space below list the sources of your funds (for example: Parents, loans, scholarships, Self, etc.)
 NO. In the space below explain the financial difficulties you are experiencing paying for your education

Do you experience challenges related to obtaining child care when you attend classes?

NO
 YES. In the space below, explain these difficulties

Do you experience challenges related to obtaining transportation to get to class?

NO
 YES. In the space below, explain your transportation issues.

When you need academic help, do you know who to contact?

NO
 YES. In the space below explain what you do when you need academic help (For example: Do you contact a person? An office? A program?)

Are you comfortable seeking academic help?

NO. In the space below, explain why you are not comfortable seeking academic help.

YES. If you wish, include more information about your experiences seeking academic help.

If you need emotional help, do you know who to contact at Saint Leo University?

NO

YES. In the space below explain who at Saint Leo University would be able to help you with emotional needs.

Is there a faculty member you can turn to if you need help?

YES

NO

Do you have friends at Saint Leo University?

YES. In the space below, explain whether or not you socialize with your Saint Leo friends outside of school (in person, texting, social media, or "I do not socialize with Saint Leo friends outside of school," etc.)

NO. Explain why building and/or sustaining friendships at Saint Leo has been difficult (for example: I am an online student, I don't have time to socialize at Saint Leo, students are not friendly at Saint Leo, etc.)

Do you feel connected to Saint Leo University?

YES

NO. In the space below, explain why you do not feel connected to Saint Leo University?

Do you look forward to coming to school at Saint Leo University?

YES

NO

I am an online student

Would you participate in a mentoring program at Saint Leo University?

YES

NO

Maybe

In addition to a faculty member, I would like a peer mentor (a fellow student)

YES

NO

Maybe

What factors would be important to you in choosing a mentor? Check all that apply.

- Mentor that matches my gender
- Mentor that matches my race/ethnicity
- Mentor that is a faculty member
- Mentor that is a fellow student
- Other. In the space below, specify additional attributes you would look for in a mentor

In the space below, explain what you need from a mentor in order to be successful at Saint Leo University.

- Write your answer below

Appendix B

Sample Student Success Surveys from Other Institutions

The Missing Link: Jackson College & Qualtrics

<http://achievingthedream.org/resource/15081/the-missing-link-jackson-college-qualtrics>

This survey is geared toward incoming traditional-aged freshman students, not adult students.

Student Success Toolkit (Survey and Student Guide) College of the Desert

<http://studylib.net/doc/9717312/student-success-kit-student-guide>

Applicable aspects of this survey include attention to personal issues (motivation, self-esteem, relationships, conflict resolution, and health) in addition to questions about academic issues. This survey lacks opportunities for students to provide open-ended responses.

Community College Survey of Student Engagement

<http://www.ccsse.org>

Applicable aspects of this survey include attention to the needs of non-traditional, adult, working students. This survey lacks opportunities for students to provide open-ended responses.

Oakland Community College

www.achievingthedream.org

Applicable aspects of this survey include attention to personal issues and family issues in addition to questions about academic issues. This survey provides opportunities for students to provide open-ended responses to questions. This survey is geared toward incoming traditional-aged freshman students, not adult students, and lacks opportunities for students to provide demographic and other relevant information such as major, class-level, and race/ethnicity.

About the Contributors

Victoria Anyikwa, MSW, PhD, earned her MSW from New York University and her doctorate from Barry University and is associate professor of social work at Saint Leo University in Florida. An experienced clinician and leader in mental health, Anyikwa also served as Commissioner of Social Services in Greenwich Connecticut and Executive Director of Brooklyn Psychiatric Centers, Inc.

Michael A. Babcock, PhD, has over twenty years of college teaching experience in English and the humanities and is the former director of the Center of Cultural Studies at Liberty University. His area of expertise is linguistics and philology. He earned his doctorate in Germanic Philology from the University of Minnesota. He is currently a full-time professor at Central Virginia Community College. Babcock is author of several books. His current research is focused on the connections between writing and student well-being.

Rosalyn M. King, EdD, is professor of psychology at Northern Virginia Community College, Loudoun campus and Chair, Board of Directors, ECCSSA. She served as Chair, VCCS, Northern Virginia Regional Center for Teaching Excellence for 16 years providing professional development seminars and opportunities for faculty; and, Chair/Assistant Dean of the psychology program for more than 16 years. She received her doctoral training at Harvard University in Learning Environments and Administration, Planning and Social Policy, with special study at the Harvard Law School (in Constitutional Law, Intellectual Property Law, Commerce and Development) and the School of Design (Youth in the Urban Environment). King has an interdisciplinary background in psychology, psycho-educational studies, counseling, anthropology, sociology, administration, planning and social policy and the allied sciences. She specializes in cognitive developmental psychology, learning environments, educational psychology and research. She has served as Director of Research for several large scale national studies for the Federal government, private foundations and research institutions. She is the author of two books, *Enriching the Lives of Children* (2008) and *Psychology and the Three Cultures: History, Perspectives and Portraits* (scheduled for publication in 2017). She has written numerous articles and other publications, reports, working papers and research studies. King is an Oxford scholar with papers presented at two Oxford Roundtables.

Pamela Chandler Lee, PhD, is an associate professor of management and associate chair of the Department of Management at Saint Leo University in Chesapeake, Virginia. A former US Naval Officer, she earned her doctorate in Organizational Leadership from Regent University and Master of Science in Applied Linguistics from Old Dominion University. Lee has published and presented in the areas of women in leadership, the integration of faith in business, mentorship, and online learning and advising. She teaches in the MBA (Master of Business Administration) and DBA (Doctorate of Business Administration) programs. She chairs several doctoral dissertation committees. Lee is an ordained minister and serves as Associate Minister of the Bethlehem Baptist Church in Chase City, Virginia, where her husband is pastor.

Heather Parker, PhD, is associate professor of history and associate dean of the School of Arts and Sciences at Saint Leo University in Florida. She earned her doctorate in US History from UCLA. Her research interests span a wide variety of topics within US History that include twentieth century interethnic political interaction as well as presidential rhetoric and the politics of inclusion. Her most recent research focus is on the intersection between religion, race, and politics in Florida. She is committed to engaging in research and activities that promote retention and academic success among undergraduate and graduate students of color. Together with her husband, Dr. David D. Jones, Physician, she has created a mentorship program which remains active in California, New York, and Florida. These programs identify promising underprivileged college students from several universities, and provides support and mentoring in their discipline studies. The program also provides guidance in preparation for graduate study, and on to productive and successful careers.

Daniel F. Schulz, PhD, is professor emeritus of anthropology, history and sociology at Cayuga Community College. He is winner of the Chancellor's Award for Teaching Excellence and the Chancellor's Award for Scholarship Excellence. He presents at numerous conferences and is author or co-author of several articles. He received his BA, MA, and PhD from SUNY, Albany.



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