

BEYOND THE MONIKER: AN IN-DEPTH ANALYSIS OF FACULTY ROLES IN SHARED
GOVERNANCE WHEN RESEARCH 1 INSTITUTIONS RECEIVE A HISPANIC SERVING-
INSTITUTION DESIGNATION

A Dissertation

by

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BS, Lubbock Christian University, 2004
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ABSTRACT

Minimal research exists for critically examining assistant tenure-track faculty roles in shared governance when Research 1 Institutions receive a Hispanic-Serving Institution federal designation. Additionally, literature is scarce in understanding how department policies at R1s ensure institutional alignment of the HSI designation, or how classroom equity is enacted as it pertains to Latina/os students' success outcomes. When R1 institutions operate independently from an HSI designation, they perpetuate the cycle of inequity and inequality found within traditional higher learning institutions. Under the guise of organizational theory, undergirded by critical theory and critical consciousness, this study examined the role of 10 assistant tenure-track faculty at R1 institutions with an HSI designation. Utilizing a qualitative case study approach the findings suggested that assistant tenure-track faculty do have a role in shared governance when R1 institutions are granted a HSI federal designation as well as additional findings in relation to departmental policies and equity in pedagogy as it relates to Latina/os students' success. The study concludes with the implications of findings and recommendations for future studies.

DEDICATION

This dissertation is dedicated to my Lord and Savior Jesus Christ; all that I have and all that I am for His glory. Para Apa y Ama por todo tu amor y bendiciones. And lastly, to my family whose love and prayers have always anchored my life.

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TABLE OF CONTENTS

| CONTENTS | PAGE |
|--|------|
| ABSTRACT..... | v |
| DEDICATION..... | vi |
| ACKNOWLEDGEMENTS..... | vii |
| TABLE OF CONTENTS..... | iix |
| LIST OF FIGURES | xii |
| LIST OF TABLES..... | xiii |
| CHAPTER I: INTRODUCTION..... | 1 |
| CHAPTER II: REVIEW OF THE LITERATURE | 15 |
| Latina/os in Higher Education | 16 |
| The History of HSI Legislation and Policy Formation..... | 22 |
| HSIs Policies and Demographics..... | 25 |
| Research Institutions (R1)..... | 41 |
| The Merging of Two Institution Types..... | 54 |
| Policy, Procedures, and Practice | 64 |
| CHAPTER III: METHODOLOGY | 69 |
| Research Design..... | 69 |
| Research Questions..... | 70 |
| Case Study | 71 |

| | |
|---|-----|
| Description of Participants and Site Selection..... | 72 |
| IRB Approval..... | 76 |
| Data Collection | 76 |
| Data Analysis | 80 |
| Assuring Trustworthiness | 82 |
| CHAPTER IV: FINDINGS | 88 |
| Experiences and Perceptions of Shared Governance..... | 92 |
| The Conventional Roles and Responsibilities of Assistant Professors at R1s..... | 98 |
| Cultivating Equity for Student Success | 106 |
| Myths and Perceptions of the HSI Designation | 113 |
| Overview of the Findings..... | 123 |
| CHAPTER V: DISCUSSION AND CONCLUSION | 127 |
| Brief Overview of Study..... | 127 |
| Discussion of Findings..... | 131 |
| Implications for Practice | 145 |
| Future Research | 147 |
| Final Thoughts | 151 |
| REFERENCES | 152 |
| LIST OF APPENDICES..... | 172 |
| Appendix 1: SEMI-STRUCTURED INTERVIEW PROTOCOL APPENDIX A..... | 173 |

Appendix 2: DEMOGRAPHIC SHEET APPENDIX B 175

LIST OF FIGURES

| FIGURES | PAGE |
|---|------|
| Figure 1. Figure in review of literature..... | 17 |
| Figure 2. Figure in review of the literature..... | 19 |
| Figure 3. Figure in review of the literature..... | 33 |
| Figure 4. Figure in review of literature..... | 67 |

LIST OF TABLES

| TABLES | PAGE |
|---|------|
| Table 1. Table in review of literature..... | 36 |
| Table 2. Table in review of the literature..... | 51 |
| Table 3. Table in review of literature..... | 57 |
| Table 4. Table in methods..... | 74 |
| Table 5. Table in findings | 91 |
| Table 6. Table in discussion and conclusion | 130 |

CHAPTER I: INTRODUCTION

The organizational structure and processes of universities (interchangeable with higher learning research institutions) contextualizes the role of faculty in shared governance when faculty participation is operationalized in the tripartite mission of the institution in relation to research, teaching, and public service (Birnbaum, 2004; Bland, Center, Finstad, Risbey, & Staples, 2006; Hirt, 2006; Lee, 2017; Schoorman, & Acker-Hocevar, 2010). Historically, research institutions (R1) as classified by the Carnegie classification system (Bok, 1992; Carnegie Foundation, 2001; McKeown-Moak & Mullin, 2014) have been characterized as having very high research activity, individualized faculty research, specialization in the generation of new knowledge, and evolving into a more corporate organizational structure, resulting in an array of organizational complexities (Birnbaum, 1988; Carnegie Foundation, 2001; Hirt, 2006; Kerr, 1963; Kezar & Eckel, 2004; Tierney, 1988, 2008). It is within the organizational complexities of R1 institutions that this case study will critically examine the role of faculty in shared governance when receiving the U.S. federal designation of a Hispanic Serving Institution (HSI) (Corral, Gasman, Nguyen, & Samayoa, 2015; *Excelencia in Education*, 2015), and the process an R1 institution undergoes in aligning institutional mission (Sporn, 1996) with faculty roles and responsibility upon receiving the HSI designation.

A research university's public service function can be characterized by the percentage of expenditures allocated towards research, teaching, and public service activities (Birnbaum, 1988; Bland et al., 2006; Lee, 2017; McKeown-Moak & Mullin, 2014). The lack of fiduciary scrutiny for R1 universities receiving HSIs status undermines the legitimacy for which this designation is intended (Hurtado & Ruiz, 2012). It must be acknowledged for R1 institutions to begin to legitimize their HSI designation, the institution must clearly articulate the budgetary

encumbrance of research, programming, curriculum, student services, teaching and instruction, pedagogy, and campus engagement opportunities for the populations that the HSI designations are intended to serve (Caldron, 2015; Hurtado & Ruiz, 2012; Lee, 2017; McKeown-Moak & Mullin, 2014; Nuñez, Hoover, Pickett, Stuart-Carruthers, & Vazquez, 2013). While the aforementioned resides outside the scope of this case study, it must be recognized as integral to the broader issues which enable the organizational complexities (Kezar & Eckel, 2004; Schoorman, & Acker-Hocevar, 2010; Tierney, 1991) of faculty roles at R1 institutions once an HSI designation has been granted (Birnbaum, 2004; Doran, 2015).

This study will employ a critical theory (Fay, 1987) approach in contextualizing culture and ideology at R1 institutions (Bok, 1991; Thomas, 1985; Tierney, 1991) and how shared governance of faculty roles (Birnbaum, 2004; Schoorman, & Acker-Hocevar, 2010) are operationalized within the organizational structures of higher education (Kerr, 1963; Kezar & Eckel, 2004). The critical theory framework (Fay, 1987; Tierney, 1991; Wellmer, 2014) will guide how this study will explore the infrastructure of research, teaching, and public activities situated in an R1, once an HSI federal designation has been granted. The researcher will seek to critically understand how policies of an R1 are reflected at the macro-level of institutional governance (Birnbaum, 2004; Doran, 2015) as well as the microcosms of social injustice (Freire, 2009; Tierney, 1991) Latina/os (used interchangeably with Hispanic) students experience (Gasman, Baez, & Turner, 2008; Hurtado & Ruiz, 2012) when HSI designations are not reflective of environment or access to a broader base of knowledge (Hurtado & Ruiz, 2012; Lincoln, 1991; Nuñez et al., 2013; Patton, 2016) intended by the HSI designation.

Background of Study

The role of faculty in shared governance is most evident at R1 institutions when the capacity of decision-making is a shared responsibility as it pertains to research, teaching, public service educational policy, institutional goals, institutional objectives, planning, budgeting, and administration selection (Birnbaum, 2004; McKeown-Moak & Mullin, 2014). When the process of decision-making is a shared responsibility, it creates the normative institutional process of efficiency, trust, and reliability essential to institutional purpose of shared governance (Birnbaum, 2004; Kezar & Eckel, 2004). The reciprocity of this formalized structure creates the social capital institutions depend on for faculty to endorse formal and informal institutional goals and objectives (Birnbaum, 2004). Additionally, research (Tierney, 2008) contends that the governing structures of higher learning institutions have enacted environments composed of existing elements that are rarely deviated from, creating unlikely conditions for changes in organizational structures.

Moreover, the landscape of higher education has shifted since the reauthorization of the Higher Education Act (Nuñez, Hoover, Pickett, Stuart-Carruthers, & Vazquez, 2013; Santiago & Andrade, 2010) which authorizes federal aid programs to provide financial aid support for students pursuing a postsecondary degree as well as financial support for institutions of higher learning (HEA; P.L. 89-329), creating a juxtaposition of mission and identity for faculty roles. Since 1992, 409 HSIs have surfaced (Corral et al., 2015; Mendez, Bonner, Palmer, & Méndez-Negrete, 2015; Nuñez et al., 2013; Torres & Zequera, 2012) as a result of migration patterns, demographic growths and geographic proximity to Latina/o populations (also used interchangeably with Hispanic populations) (Calderon, 1992; Santiago, 2011). Unlike traditional Minority Serving Institutions (Renn & Patton, 2017) whose historical foundations are recognized

by the U.S. Department of Education as serving minorities with “high financial need” from certain racial and ethnic categories (Gasman et al., 2008; Johnston & Yeung, 2014), HSIs designations require institutions to support programs reflective of Latina/o populations (Contreras & Contreras, 2015; Nuñez et al., 2013) independent of institution type.

By enrolling more than half of all Hispanics in the U.S., HSIs play a critical role in the development of Latina/os students (Laden, 2004). Research posits that the majority of Hispanics enrolled at HSIs are primarily first-generation college students and that the broad access to postsecondary education that HSIs provide are essential for this dynamic student demographic (Hurtado & Ruiz, 2012; Nuñez et al., 2013). Research also suggests by 2020, 39% of the U.S. population will be minorities in which Hispanics will contribute to 22% of that number (Harris, Joyner, & Slate, 2010). As such, the need to increase enrollment in higher learning institutions will be greater than ever. However, more important than enrollment is the need for Hispanics to attain degree completion (Fry, 2002). The degree completion is needed for social mobility and for the contributions Latina/os generate in the larger society (Castillo, 2017; Nuñez et al., 2013; Santiago, 2011).

The access codes and opportunities for higher education differ for underrepresented populations, as modeling of Latina/o culture and representation is needed at all levels of higher education to encourage and increase retention (Kamimura-Jimenez & Gonzalez, 2018; Perna, Li, Walsh, & Raible, 2010; Terenzini et al., 1985). Research suggests (Pajak & Green, 2010) that “misrecognition” defined as the dominant elements of society in education, perpetuates the disbelief in the legitimacy of institutions to facilitate upward mobility. This “misrecognition” is often the driving force in which institutional cultures (Tierney, 1991) perpetuate pedagogical and campus climate negligence against diverse student bodies. As such, a critical paradigm is needed

in contextualizing the dual functions of faculty roles in shared governance when granted HSI status, creating the conditions Latina/os need for student success at R1 institutions (Nuñez et al., 2013; Santiago, 2011).

Problem Statement

Minimal research exists for critically examining faculty roles (Schoorman, & Acker-Hooever, 2010) in response to departmental policies in ensuring institutional alignment of HSI designations, as well as operationalizing classroom equity as it pertains to Latina/os students' success outcomes (Corral et al., 2015). Historically, research institutions have not been characterized as having broad access (Doran, 2015; Hirt 2006) but having very high research activity with distinguished depth selection (Hirt, 2006); thus, creating the juxtaposition of broad access and opportunities for Latina/os in which HSIs have operated. When R1 institutions operate independently from an HSI designation, they perpetuate the cycle of inequity and inequality found within traditional higher learning institutions (Lincoln, 1991; Pascarella, Pierson, Wolniak, & Terenzini, 2004). The power of environmental settings on university campuses can either signal exclusion or empowerment for students and often these power constructs intersect race, ethnicity, gender, and socioeconomic status for Latina/o populations (Baxter Magolda, 2001; Baxter Magolda & Taylor, 2017; Museus, 2017; Renn & Patton, 2017).

Purpose of the Study

The purpose of this case study is to examine the roles of shared governance as it relates to the institutional policy-making in which faculty operate at R1 institutions (Carnegie, 2012), but most saliently when R1 institutions are granted HSI status. Shifts to an HSI designation can be contentious when R1 institutions are not transparent about their decision-making in seeking the HSI status (Renn & Patton, 2017). The characteristics of decision-making in obtaining the designation is not distinguishable between institutions who seek to serve Latino/a populations or

institutions who apply for the designation based on demographic growth (Contreras & Contreras, 2015). Research suggests that Latina/os experience negative outcomes related to high attrition and low completion rates (Fry, 2002; Hurtado & Ruiz, 2012) when institutional environments are not reflective of HSI-specified federal funding focused on Latina/os student success outcomes (Griffin, 2017; Hurtado & Ruiz, 2012; Renn & Patton; 2017; Terenzini et al., 1985).

Research Questions

Given the governance structures of higher learning institutions, the case study critically examined the role of faculty in shared governance when an R1 is granted HSI status and the institutional policymaking process the R1 undergoes in aligning institutional mission with faculty roles and responsibility once receiving the HSI designation. Additionally, this case study also examined how R1 institutions operationalize the HSI designation in relation to Latina/o student success. The overarching research question and ancillary research questions are as follows:

PRQ: What role, if any, do faculty have in the institutional policy-making process of an R1 when granted a federal HSI designation?

RQ1: In what ways, if any, does an HSI designation prompt faculty at a R1 university to re-examine departmental policies to ensure equity for their respective students as it pertains to degree completion?

RQ2: In what ways, if any, does an HSI designation prompt faculty at R1 institutions to redefine their teaching pedagogy to meet the learning needs of their respective students?

Theoretical Framework

Critical theory distinguishes itself from traditional forms of social theory in that it conceives of itself as part and parcel of a struggle for an “association of liberated human beings, in which everybody would have an equal chance of self-development” (Wellmer, 2014, p. 706). The theoretical applications for this case study critically examined if the social responsibilities of universities in promoting shared governance of faculty contextualizes the roles and responsibilities of faculty at an R1, upon receiving an HSI designation (Birnbaum, 1988; 2004; Bok, 1982; Gumport, 1991; Lincoln; 1991; Tierney, 1988; 1991, 2008). Additionally, this case study examined the institutional policymaking process the R1 undergoes in aligning institutional mission with faculty roles and responsibility as it relates to student success for Latina/os populations, once receiving the HSI designation. For institutions of higher learning, an institution type can determine the culture on organizational policy and decision-making (Tierney, 2008). Organizational culture as postulated by Tierney (1988, 2008) suggests that different cultures within institutions shape various institutional functions including governance, leadership, and planning (Birnbaum, 1988; Birnbaum, 2004; Kezar & Eckel, 2004; Tierney, 1988; 1991; 2008). Culture can also be defined as the interpretation or set of norms found within a particular group which can be attached to values, ceremonies, rituals or traditions (Tierney, 2008). Therefore, a critical examination is warranted in understanding the organizational culture found within an R1 once granted HSI status, and the process which R1s operationalize their HSI status.

Review of Literature

Higher learning institutions differ from organizations in structure and processes but most saliently through governance (Birnbaum, 1988). The primary authority in establishing a college or university is that of the state, but often through statutes, charters, or constitutional provision with oversight of a governing board, providing the legal framework in which private and public

institutions operate (Birnbaum, 1988; McGuinness, 2016). As such, governance should be examined when R1 (Carnegie, 2001; The Carnegie Classification of Institutions of Higher Education, n.d., Classification Summary Tables) institutions seek the U.S. federal designation of Hispanic Serving Institutions status. Shifts to the designation can be contentious when R1 institutions are not transparent about their decision-making in seeking the HSI status (Contreras & Contreras, 2015; Renn & Patton, 2017).

The characteristics of decision-making in seeking the designation are not distinguishable between institutions who seek to serve Latino/a populations or institutions who receive designation based on demographic growth (Contreras & Contreras, 2015). As explicated by research (Nuñez, et al., 2013; Santiago and Andrade, 2010), the role of HSIs was constructed with the intent of improving post-secondary education for Latino/a populations:

As part of the reauthorization of the Higher Education Act, Title III, the purpose of the HSI funding is fourfold: (a) to expand educational opportunities for Hispanics students; (b) to improve the academic offerings, program quality, and institutional stability of colleges and universities that are educating the majority of Hispanic college students; and (d) to help large numbers of Hispanics and other low-income students complete postsecondary degrees. (p. 5)

HSIs represent 17% of all colleges and universities (Excelencia in Education, 2019) and enrolls at least 66% of Latina/os populations. This is an issue for Latina/os (interchangeable with Hispanic) populations, who also identify with cultures tied to Cuba, Mexico, Puerto Rico, Spanish cultures and South or Central America (Corral et al., 2015); when they are exploited for an HSI federal designations due to their increased number of representation in their state or regional demographic (Contreras & Contreras, 2015). Institutions need only to meet two criteria

for the federal HSI designation if (1) enrollments of the institutions are at least 25% Hispanic full-time undergraduates, and (2) at least 50% are eligible for federal student aid (Corral et al., 2015; Renn & Patton, 2017). Research suggests that Latina/os experience negative outcomes related to high attrition and low completion rates (Fry, 2002; Hurtado & Ruiz, 2012) when institutional environments are not reflective of HSI-specified federal funding focused on Latina/os student success outcomes (Griffin, 2017; Hurtado & Ruiz, 2012; Nuñez et al., 2013; Renn & Patton; 2017). Subsequently, the ongoing organizational cultural norms of institutions foster an implicit belief that the mission of institutions is to provide a public good (Bland et al., 2006), in the sense that staff, faculty members, and administrators all feel that they contribute to a common good, the education of working-class students (Tierney, 1988, 2008). This implicit belief perpetuates the cycle of “false generosity” (Freire, 2009) when R1 institutions are not reflective of their HSI designation.

Methodology

Qualitative research studies elect to deal with multiple realities (Lincoln & Guba, 1985) and can inform professional practice or evidence-informed decision making in both clinical and policy realms (Baxter & Jack, 2008). As such, this research utilized a method of inquiry through a single case study approach (Creswell & Creswell, 2018; Glesne, 2016; Yin, 2009) in critically examining the organizational structures of R1 institutions and their shift to an HSI designation. The method of a single case study approach allowed for an in-depth analysis (Baxter & Jack, 2008; Yin, 2009) in understanding how faculty at an R1 operationalize in the decision-making of seeking an HSI designation and what changes were made to departmental policies to ensure equity for their respective students as it pertained to success once the designation was obtained. Secondly, through a method of critical inquiry and criterion of participants, data collection, and

data analysis for this case study also examined in what ways, if any, does an HSI designation prompt faculty at R1 institutions to redefine their teaching pedagogy to meet the needs of their respective students related to successful academic outcomes.

Positionality Statement

Positionality is vital in understanding the researcher's subjectivity to the study (Glesne, 2016). Naturalistic paradigms affirm the symbiotic influence in which researcher and participants have with one another (Erlandson, Harris, Skipper, & Allen, 1993). As such, it is imperative as the research instrument that I acknowledge my positionality to this study (Erlandson et al., 1993; Guba, 1981) in establishing trustworthiness. As a Latina, first-generation college student, and currently a doctoral student, I have experience in working in higher education at a 4-year private institution but also at a 4-year public HSI. As a former resource manager and developer for a Title V Developing Hispanic Serving Institution (DHSI) grant, I understand first-hand how cultures found within universities can affect the processes of creating and institutionalizing programming for supporting Latina/os and how Title V grants can be mismanaged when there is lack of experience and support for understanding Latina/os populations. I want to be transparent in relaying as the researcher that I too have had a role in replicating the cycle of ignorance in supporting Latina/os because I lacked the tools needed in asking critical questions on how we can better support Latino/as in higher education. There are distinctions in governance among faculty roles for both research institutions and HSIs which I hope to gain understanding throughout this study. I do not yet possess a terminal degree, nor do I fully understand the demands of productivity for faculty at research institutions, but I hope to gain perspective and understanding their roles in shared governance specifically, of those employed at an R1 and have achieved HSI status. As a researcher, and future faculty member, it is imperative that I contribute

and bring awareness to the praxis of equity in education that contribute to Latina/o academic student success outcomes. As we continue to experience the tectonic demographic shift of Latina/os in the U.S., policies and practices must be implemented in order to undergird and support the success of this growing demographic. The academic and economic successes of the Latina/o populations is the academic and economic success of all Americans.

Glossary of Terms

Below is a glossary of terms that will be utilized throughout the study.

1. *Critical Theory*: In critical theory, the term critical refers to “detecting and unmasking of beliefs and practices that limit human freedom, justice, and democracy” (R. Usher, 1996, p. 22).
2. *Critical Theory Research*: “Critiques historical and structural conditions of oppression and seeks transformation of those conditions” (C. Glesne, 2016, p. 10).
3. *Culture and Ideology*: How the culture of an institution operates institutional ideology as a filter that defines the action and activities of postsecondary institutions (Tierney, 1991, 2008).
4. *Faculty*: Typically, faculty are considered experts in their field and are proactive in student involvement, advising, and influence the experience of students at research universities (Hirt, 2006).
5. *Faculty Roles*: In the 1967 historical “Statement on Government of Colleges and Universities” (American Association of University Professors, 2001), constructed by three national associations formed the Joint Statement, formally articulated and legitimatizing the faculty role and decision-making in academic shared governance (Birnbaum, 2004). Faculty

roles can also be construed as the fundamental aspects of research, teaching, and service (Mamiseishvili, Miller, & Lee, 2016).

6. *Hispanic Serving Institution*: Hispanic Serving Institutions (HSIs) are defined by the federal government as accredited, degree-granting, nonprofit institutions that enroll at least 25% or more fulltime equivalent undergraduate Latina/o students (Garcia, 2016), HSIs now represent approximately 11% of all postsecondary institutions and enroll 60% of all Latina/o students (Corral, et al., 2015; *Excelencia* in Education, 2016).
7. *Latina/o interchangeably with Hispanics*: Populations who also identify with cultures tied to Cuba, Mexico, Puerto Rico, Spanish cultures and South or Central America (Corral et al., 2015).
8. *Organizational Culture*: “An organization's culture is reflected in what is done, how it is done, and who is involved in doing it. It concerns decisions, actions, and communication both on an instrumental and a symbolic level” (W. Tierney, 1988, p.3, 2008).
9. *Research Institutions (R1)*: Research universities as classified by the Carnegie classification system as having “very high research activity” (Carnegie Foundation, 2001). Research institutions are shaped by their complexity in offering both undergraduate and graduate education, authorized by land grant campuses and engaged in public service (Hirt, 2006).
10. *Shared Governance*: The term given for structure and processes of academic institutions based on the legal authority of trustees, university administration, and the professional role justified by faculty (Birnbaum, 2004).
11. *Title III*: “Under the Higher Education Amendments of 1992 (P.L. 102 325), Congress created the Developing Hispanic Serving Institutions (HSIs) Program under HEA Title III A.

Under the Higher Education Amendments of 1998 (P.L. 105 244), the Developing HSI program was moved to its own title, HEA Title V.166” (Hegji, 2017, p.35).

12. *Title V*: The designation as defined by Section 316, Title III, Part A of the HEA of 1992 (Congress of the United States, 1991), would include any institution of higher education (IHE) with a full-time undergraduate enrollment (FTE) composed of the legislative negotiated percentage designation of 25% Hispanic population, as well as 50% of those being first-generation and low-income.

Significance of Study

The significance of this study is threefold. First, the Hispanic Serving-Institution designation was constructed with the intent of improving the success of post-secondary education for Latina/o populations by providing federal aid support for both students and higher learning institutions, as part of the reauthorization of the Higher Education Act, Title III. Regrettably once received, institutions of higher learning have yet to fully translate the federal funding tied to the HSI designation, in ensuring equitable completion outcomes for Latina/o students. Secondly, a critical issue facing contemporary society is the increasing number of occupations requiring postsecondary education, as the stability of economic growth for the U.S. is largely dependent upon the number of citizens who obtain degree completion. This is problematic as Latina/o populations represent the youngest and fastest growing ethnic minority group in the U.S. yet, have the lowest levels of degree attainment. Thirdly, an empirical gap exists in understanding how research institutions negotiate their organizational and cultural identities when receiving the federal Hispanic Serving-Institution designation as well as how the governing structure of an R1 enacts the dual designation of both the R1 and HSI. Lastly, minimal research exists in critically theorizing faculty roles as it pertains to shared governance and the

process that an R1 institution undergoes in aligning faculty function in relation to departmental policies in ensuring equity for Latina/o students as intended by the HSI designation.

Chapter Overview

Chapter 1 provides a brief overview of the phenomenon being explored, the problem statement, the purpose and significance of the study as well as detailing the research questions that guide this study. Key terms such as, *Hispanic Serving Institution*, *Organizational Culture*, *Faculty Roles*, and *Shared Governance* are defined and situated within the context of the study. A review of the literature significant to *Hispanic Serving Institution*, *Organizational Culture*, *Faculty Roles*, and *Shared Governance* are detailed in Chapter 2. Also included in Chapter 2, is an extensive review of the theoretical framework and literature. Following the review of Chapter 2, Chapter 3 outlines the methodology utilized in this study. Additionally, Chapter 3 addresses the research design, participants and site selections, data collection methods, method of data analysis, and trustworthiness of the study. As a result, the findings and analyzation of the data is explicated in Chapter 4. The final chapter, Chapter 5, presents a brief overview of the study, its respective findings, and conclusions derived from findings. Following the conclusion of the findings, implications and recommendations for future research are expounded.

CHAPTER II: REVIEW OF THE LITERATURE

U.S. higher learning institutions in the 21st century have encountered challenges deriving from the inability to maintain or return to the robust economic health that post-secondary institutions once experienced after World War II (Tierney, 1998). Research suggests that organizations that are symbiotically tied and fiscally dependent on the external environment such as postsecondary institutions, will most likely not succeed if the larger environment is no longer successful in their economic structure (Tierney, 1998, 2008). Higher education has had a role in shaping the macro-levels of society through microcosms in setting educational policies and precedence (Birnbaum, 1988; Cohen & Kisker, 2010) for educating the larger society. As higher levels of education continue to be associated with economics and social mobility, the higher education system continues to maintain its lucrative policies no longer reflecting the preservation of knowledge but ensuring brand value for higher learning institutions (Rouse, Lombardi, & Craig, 2018). The formalized systems of higher education have been sustained to maintain the status quo of power and prestige (Johnson, 2018); and therefore, the higher education enterprise continues to replicate anachronistic practices of continual inequity of access to education and is reflective of the tier system (Kosar & Scott, 2018) found among institution types. The interacting components between the nature of these systems (Birnbaum, 1988; Bolman & Deal, 2017) have contextualized inputs and outputs from external environments in shaping how higher education responds to the larger society. Hence, postsecondary institutions must be intentional in proffering new ways to critically think about how to systematically conceptualize the restructuring of the academic enterprises in relation to shared governance, faculty and student demographics, federal and state policies, mission, and higher education innovation of changed campus environments.

As such, the review of literature will examine the following sections (1) *Latina/os in Higher Education*, (2) *The History of HSI Legislation and Policy Formation*, (3) *HSIs Policies and Demographics*, (4) *Research Institutions (RIs)*, and (4) *The Merging of Two Institutional Types*. This literature review will convey how HSIs emerged on the landscape of higher education in an effort made by vanguards to pave the way for Hispanic higher education legislation to be acknowledged, were proponents of social change, and agents of equity for Latina/os in higher education. Secondly, this literature review will examine the policies and demographics of HSIs as it relates to the mission and the intent of HSIs, HSI institutional types, student demographics at HSIs, faculty demographics at HSIs, hiring practices of faculty at HSIs, governing and organizational structure of HSIs, and the role of faculty in shared governance for HSIs. Additionally, this literature will detail the historical aspects of Research Institutions (RIs), the mission of R1 institutions, faculty demographics at R1 institutions, hiring practices of faculty at R1 institutions, governing and organizational structure of faculty at R1 institutions, the role of faculty in shared governance at R1 institutions and student demographics at R1 institutions. Lastly, this literature review will reflect the organizational complexities and nuances of merging two institution types by examining the demographic shifts of Latina/os in higher education, challenges of merging two institutional types, the organizational structure of a dual designation, the complexities of merging a dual designation, shared governance, and the role of faculty; as it relates to student success for their respective constituents.

Latina/os in Higher Education

The demographic growth of Hispanics in the U.S. reached nearly 58 million in 2016 and has been the principal driver of U.S. demographic amalgamation accounting for half of the nation's population since 2000 (Pew Research Center, 2017). Between 2000 and 2015 degree-

granting postsecondary institutions experienced an undergraduate enrollment increase of 30% from 13.2 million to 17.0 million; of which the Hispanic undergraduate enrollment “more than doubled” from 1.4 million to 3.0 million in the same time period (McFarland et al., 2017). The attainment gaps for access to higher education is lessening however, the completion rates of Latina/os is still less than 10% of their white counterparts and 14% lower than those who traditionally complete in four years (NCES, 2017).

College enrollment overall has decreased by 6% but Latino enrollment increased significantly in the 6 years between 2010-2016 (Excelencia in Education, 2018, Closing the Equity Gap in Educational Attainment for Latinos, section, para. 3; NCES, 2017), led primarily by a 16% decrease for White, 15% for Black students but increased 25% for Latino and 2% for Asian/Pacific Islander students. See Figure 1 below.

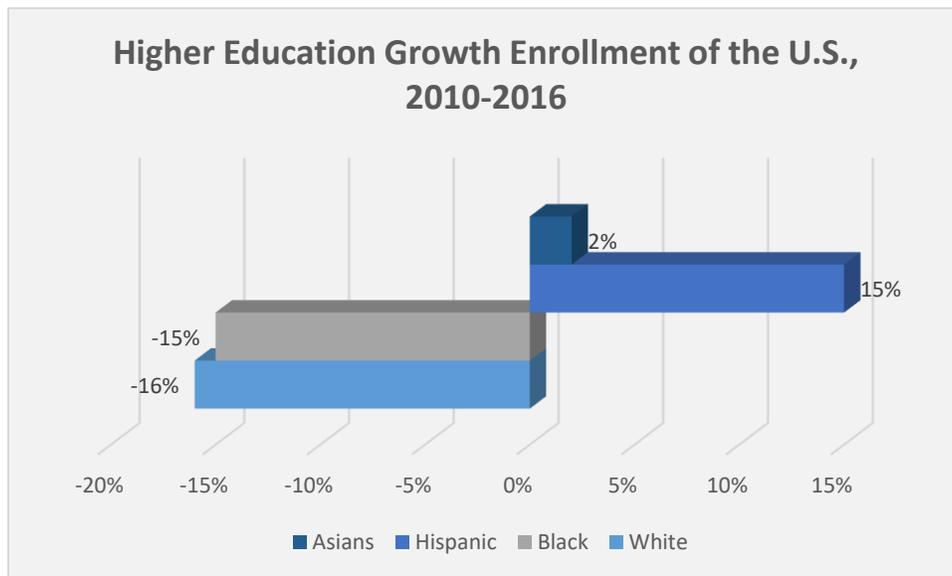


Figure 1. Higher Education Enrollment Growth of the U.S., 2010-2016 – Adapted from “Enrollment” September 2018, Closing the Equity Gap in Educational Attainment for Latinos. Retrieved from <https://www.edexcelencia.org/research/issue-briefs/closing-equity-gap-educational-attainment-latinos>.

Hispanic degree attainment is necessary for promoting the stability and economic growth of the U.S. (Castillo, 2017) as an increasing number of occupations require a postsecondary degree. Hispanics have traditionally trailed in the areas of degree completion in as much as 10% of White students and 14% lower than their counterparts who complete in four years (Nuñez et al., 2013; NCES, 2017). However, between the years of 2010-2016, Latinos' degree attainment grew significantly as the overall degree attainment for all other ethnicities increased more slowly over the 6 years (Excelencia in Education, 2018). Latina/os are experiences slight advanced trends in relation to higher education outcomes for both sub baccalaureate and baccalaureate attainments. The associate degree attainment grew 7% overall with Latina/os experiencing the largest growth by 55%, Blacks increased by 4%, while the associate degree attainment decreased most for White by -6% and American Indian/Native American students by -7%. More significantly, the baccalaureate degree attainment grew by 12% overall with the largest growth experienced by Latinos at 52%, Blacks at 13%, while White students had a slight increase of 1% and American Indian/Native American students decreased significantly by -18%. (Excelencia in Education, 2018). See Figure 2 below.

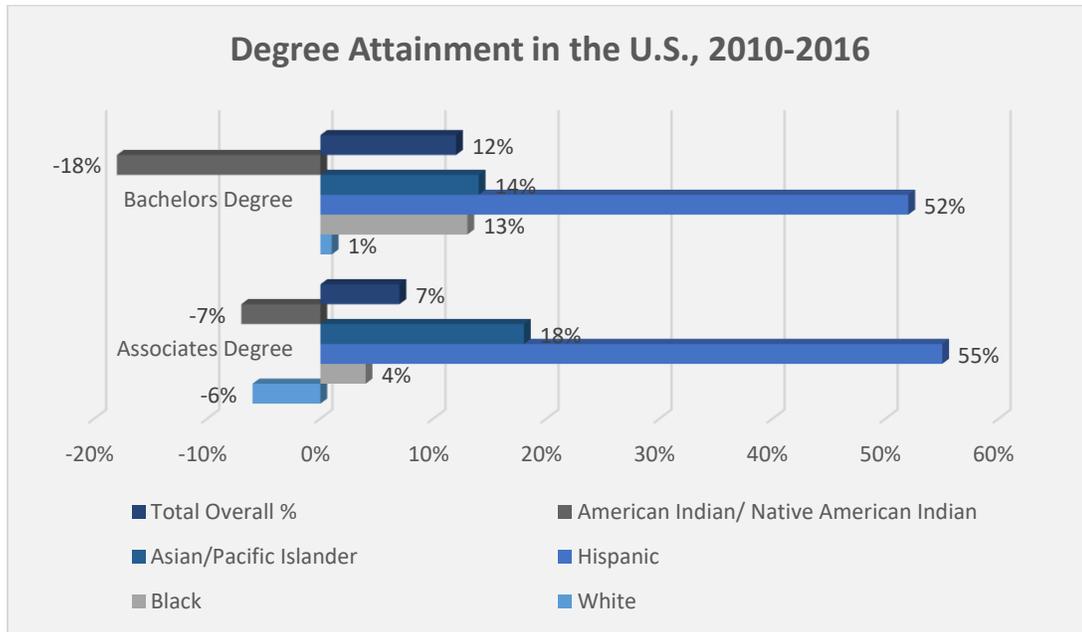


Figure 2. Overall Degree Attainment in the U.S., 2010-2016 – Adapted from “Attainment” September 2018, Closing the Equity Gap in Educational Attainment for Latinos. Retrieved from <https://www.edexcelencia.org/research/issue-briefs/closing-equity-gap-educational-attainment-latinos>.

Although the enrollment has increased for Hispanics, the completion rates of Latina/os is still less than 10% of their white counterparts and even more despairingly 14% lower than those who traditionally complete in four years (NCES, 2017). This is problematic as the number of Hispanics in the U.S. who do not attain a 4-year degree are left to low-and-middle wage jobs creating an increasing large gap between the highly-skilled and labor force occupations (Castillo, 2017; Field 2018). Hispanics have historically filled in the gaps of sub-baccalaureate jobs due to low levels of degree attainment (Castillo, 2017; Field, 2018; Fry, 2012) and as such, making the Latina/o community the lowest earning potential population for the United States.

The current success of enrollment and degree attainment for Latina/os has been most evident in HSIs. In 2017-18, 523 institutions, approximately 15%, met the definition of HSIs which enrolled 66% of Latina/o undergraduates (Excelencia in Education, n.d., Hispanic-Serving Institutions: 2017-18). Unlike traditional Minority Serving Institutions (Renn & Patton, 2017)

whose historical foundations are recognized by the U.S. Department of Education as serving minorities with “high financial need” from certain racial and ethnic categories (Gasman, et al., 2008), HSIs designations require institutions to support programs reflective of Latina/o populations (Contreras & Contreras, 2015; Nuñez et al., 2013). It is estimated that 1 in 5 undergraduate students today are Latina/os and that Latina/o students have increased representation from 14% to 19% in American higher education learning institutions (Excelencia in Education, 2018, Closing the Equity Gap in Educational Attainment for Latinos section, para. 2). Despite slightly higher retention rates for Latina/os at 67% versus 66% at non-HSIs, degree attainment at HSIs for this population lags behind non-HSIs (Ching, 2019). Additionally, the Latina/o student strong retention rates, six-year graduation rates at HSIs are only 29%, well below the national average of 57% (Ching, 2019; Issues Primer, 2017, Successes and Challenges of HSIs, section, para. 1).

Factors of Success for Hispanic Students

By enrolling more than half of all Hispanics in the U.S., HSIs play a critical role in the development of Latina/os students (Laden, 2001). Research posits that the significant factors which influence Latina/o’s college choice is dependent on the familiarity of culture and context in relation to environment and faculty demographics (Rendón, 1994; Rendón & Kanagala, 2014; Ponjuan, 2013; Torres & Zerquera, 2012). The majority of Hispanics enrolled at HSIs are primarily first-generation college students; and the broad access to postsecondary education that HSIs provide are essential for this dynamic student demographic to succeed in higher education (Hurtado & Ruiz, 2012; Nuñez et al., 2013).

Campus climate. The academic success variables for Latina/os relating to enrollment and degree attainment can also be contributed to the quality of the institution’s environment,

availability of support networks, mentorship, and comfort level of cross-cultural experiences (Alberta & Rodriguez, 2000; Berríos-Allison, 2011; Rendón, 1994). Additional factors that contribute to the successful outcomes of Latina/o's persistence and degree attainment (Hirschy, 2017; Kuh et al., 2010) are defined as asset-based modalities which include, but are not limited to, mentorship, acculturation, psychosociocultural, a cultural wealth paradigm, navigational codes, validation, *familia*, *personalismo*, and self-efficacy (Bandura, 1977; Castellanos & Alberta, 2007; Delpit, 1988; Kamimura-Jimenez & Gonzalez, 2018; Rendón, 1994; Yosso, 2005). Additionally, the combination of social support, academic support, and financial support networks found within institutions and the Latina/o community remain integral for Latina/os degree attainment (Sandoval-Lucero, Maes, & Chopra, 2011).

Research (Johnson, 2018; Rendón & Kanagala, 2014) posits that underserved student populations experiences differ in higher education outcomes from their white counterparts in relation to sense of belonging, when students are left to themselves to self-author and self-navigate higher learning experiences (Astin, 1984; Bernal, 2002; Berrios- Allison, 2011). Institutions that are intentional in serving unrepresented populations provide the communal environment Latina/os need to experience “membership” in the context of diversity and cultural capital (Hurtado & Carter, 1997; Johnson, 2018; Rendón & Kanagala, 2014; Yosso, 2005). In creating the social exchange of cultural inclusion, institutions create the equitable social integrated experience Latina/os students need to undergo a sense of belonging and persistence to degree completion (Astin, 1984; Cooper, 2009; Hurtado & Ruiz, 2012; Rendón, 1994; Rendón, & Kanagala, 2014; Tinto, 1975; Yosso, 2005).

Faculty. Faculty play a significant role for student success and persistence at the undergraduate and graduate level (Ledesma & Burciaga, 2015). However, despite the growing

number of HSIs, research is scarce in understanding faculty roles and responsibilities in relation to research, teaching and service (Mendez et al., 2015). Furthermore, faculty roles and faculty diversity at HSIs are essential given that the quantity of interaction between student and faculty is key to academic success (Mendez et al., 2015). Among the challenges for HSIs are “hiring adequate prepared faculty” and “no comparable pool of new faculty or administrative leadership” (De Los Santos & Cuamea, 2010, p. 101). Senior administrators report the difficulty of acquiring adequate funding in hiring quality faculty for HSIs or retaining faculty that are prepared to lead or work with underrepresented populations (De Los Santos, & Cuamea, 2010). As such, it is essential that institutions understand the cultural factors that enhance or reduce the retention of quality faculty at HSIs (Anya & Cole, 2003).

The History of HSI Legislation and Policy Formation

Most often social policy and policy changes are ascribed to the natural evolution of society where change is inevitable yet, such was not the case with the history of Hispanics in higher education or the origination of HSIs (Hirt, 2006; Valdez, 2015). The individuals and vanguards (Valdez, 2015) who paved the way for Hispanic higher education legislation must be acknowledged as proponents of social change and agents of equity for Latina/os in higher education (Benitez, 1998; Laden, 2001). As such, the genesis of Hispanic Serving Institutions can be attributed to a grassroots effort made by these noteworthy individuals who were comprised of educators, bringing to the forefront Latina/o issues affecting the nation’s Hispanic population (Garcia, 2019; Mendez et al., 2015). These scholars were primarily concerned about the growing numbers of Latina/os in higher education and the need for equitable federal funding considerations and educational support programs for colleges and universities experiencing significant high Latina/o enrollment (Mendez et al., 2015). Eventually, in 1978, this group of

scholarly advocates and other proponents such as ASPIRE of America, El Congreso Nacional de Asuntos Colegiales, League of United Latin American Citizens, Mexican American Legal Defense and Educational Fund (MALDEF), National Association for Equal Educational Opportunities, National Council of La Raza, Puerto Rican Legal Defense and Education Fund, and the U.S. Catholic Conference, formed a coalition in Washington D.C. known as the Hispanic Higher Education Coalition (HHEC) (Garcia, 2109; MALDEF, 1979; Mendez et al., 2015; Valdez, 2015).

The HHEC was influential in congressionally testifying during major reauthorization periods of the Higher Education Act (HEA) of 1981, 1984, and 1985 (Garcia, 2019; Valdez, 2015). The HHEC's testimony was intentional in highlighting the need to increase funding for Title III institutions (HEA,1965; Valdez, 2015) to address success for Hispanics in higher education as access, retention, professional development, and institutional representation (Valdez, 2015). Historically, Title III institutional funding was specific to underfunded developing institutions through a competitive grant process (Valdez, 2015) originally created for Black colleges thus, limiting institutions with high Latino populations in receiving the additional funding. In 1980, the HHEC's concerted efforts and congressional testimony was successful in bringing to the forefront the application of expanding Title III to include Hispanic students and future recommendations in reauthorizing the Higher Education Act of 1984, known as Title III: Developing Institutions, Volume 6, 1985 (Valdez, 2015). An additional victory for the HHEC which influenced the outcome of the reauthorization of HEA of 1984, was in 1982 when Rep. Paul Simon (D-IL) sponsored the Hispanic Access to Higher Education hearings before the House of Representatives Committee on Postsecondary Education, "as it was the first time a

congressional hearing on Hispanic access to higher education had ever been held” (Valdez, 2015, p. 20).

The Reauthorization of the Higher Education Act

Through the HHEC’s concentrated efforts, epic strides had been made to promote future recommended changes to the Higher Education Act of 1984 (Valdez, 2015) to include institutions serving high Latina/o student populations. In the same vein in which the HHEC had been formed, additional educators at the state level were also recognizing the need to advocate for Latina/o students at their own institutions (Santiago, 2006). In 1986, a significant secondary coalition known as the Hispanic Association of Colleges and Universities (HACU) was also formed in San Antonio, Texas (Garcia, 2019; HACU, 2011; Mendez et al., 2015; Santiago, 2006), to address the needs of students at institutions with large Latina/o enrollment. HACU has since been credited for shouldering an immense amount of advocacy work for HSIs and at its first conference in 1986, coined the term *Hispanic-Serving Institution* (Garica, 2019; Santiago, 2006).

In 1985, the HHEC’s 13-year journey of innovating and affecting policy and policy formation on behalf of Latina/os in higher education and the advocacy of Hispanic institutions came to an end (Valdez, 2015). The HHEC recognized the potential of HACU as the premiere organization to provide support to institutions serving Hispanic populations. HACU would later provide congressional testimony during the 1991 HEA reauthorization hearings, resulting in the creation of the first legislative definition of an *HSI* (Congress of the United States, 1991; Valdez, 2015). The designation as defined by Section 316, Title III, Part A of the HEA of 1992 (Congress of the United States, 1991), would include any institution of higher education (IHE) with a full-time undergraduate enrollment (FTE) composed of the legislative negotiated

percentage designation of 25% Hispanic population, as well as 50% of those being first-generation and low-income. In 1998, a section of the HEA, Developing Hispanic-Serving Institutions program, was established separately known as Title V (Garcia, 2019; Hirt, 2006; Nuñez et al., 2013; Santiago, 2006), and allowed HSI's access to increased federal funding.

HSIs Policies and Demographics

The 25% designation of supporting Latina/o student populations was highly negotiated throughout the HHEC's 13-year journey in legislating on behalf of Hispanic institutions. The significance of this negotiation was dependent on the HHEC's ability to effectively communicate to Congress the foresight of the HSI designation in how IHEs could operationalize the designation. The HHEC recommended a foundational and tangible structure for defining a *Hispanic Institution* for the purpose of "reaching a broader definition which can encompass a larger universe of Hispanic learners" (Valdez, 2015, p.16). Consequently, the reauthorization did not include the definition or concrete parameters of the designation other than the assigned minimal percentages (Hirt, 2006) of Latina/o students to be served and as result, research posits (Hirt, 2006; Garcia, 2019; Mendez et al., 2015; Renn & Patton, 2017; Valdez, 2015) that the definition of the designation continues to be arbitrary for IHEs in what it means to be *Hispanic-Serving*.

Inasmuch as IHEs have struggled with defining what it means to be an HSI, HSIs are defined in federal law as accredited and degree-granting public or private nonprofit institutions of higher education with 25% or more total undergraduate Hispanic FTE student enrollment and at least 50% are eligible for federal student aid (Corral et al., 2015; *Excelencia* in Education, 2019, Hispanic-Serving Institutions (HSIs): 2017 -18, para. 1; Renn & Patton, 2017). Since the reauthorization of the HEA (Congress of the United States, 1991), the evolution of HSIs has

experienced paramount growth. Between the years 2007-2017, the number of HSIs increased 98% from 264 to 523 (*Excelencia in Education*, 2019, Hispanic-Serving Institutions (HSIs): 2017 -18, para. 3). The Latina/o representation at HSIs is high with almost half of the students enrolled at HSIs (64%) identifying as Latina/o or Hispanic (Garcia, 2019). The growth of HSIs has resulted in “523 HSIs located in 27 states, the District of Columbia, and Puerto Rico, with these institutions representing 17% of all institutions of higher education and enrolling 66% of Latino undergraduates” (*Excelencia in Education*, n.d, section, para. 1).

The demographics of HSIs are significant in understanding the role of Latina/os in postsecondary education as well as their pivotal role in the larger society. The number of occupations requiring postsecondary education in the U.S. has risen as the stability of the U.S. economy is largely dependent upon the number of citizens who obtain degree completion (Castillo, 2017; Liu, 2011). Institutions of higher learning must concern themselves with the Hispanic representation in postsecondary education as the increased enrollment rates have risen significantly (NCES, 2017) yet, continue to have the lowest levels of degree attainment (Liu, 2011; Santiago, 2011; NCES, 2017; Torres et al., 2009). With the proliferated representation of HSIs on the postsecondary landscape, educators, administrators, and legislators must once again come together to create a collective understanding of how the mission and intent of HSIs should be operationalized on IHE campuses.

The Mission and Intent of HSIs

Since 1992, the number of IHEs with HSI designations has increased 98% and represents 17% of all institutions in the U.S. As much as HSIs have made their mark on the landscape of higher education, IHEs with HSI designations have yet to establish a framework for operationalizing the federal designation (Hirt, 2006; Garcia, 2019; Mendez et al., 2015). The

original intent proffered by the HHEC included a foundational and tangible threshold to define an effective *Hispanic Institution* (Mendez et al., 2015; Valdez, 2015). They offered that *Hispanic Institutions* needed several institutional structures in place such as,

(1) Be physically located in areas which have significant populations of Hispanics, (2) Be physically located in areas where the local elementary and secondary school enrollment reflect significant Hispanic enrollments which exceeds the states average by more than double, (3) Have cooperative agreements with local education agencies (LEA) having significant Hispanic enrollments, (4) Have Title IV Trio programs enrolling 50% or more Hispanic students, (5) Show evidence of significant Hispanic staffing patterns at the faculty and administrative levels, (6) Have special academic or programs accessed by Hispanics which provide training in academic and professional areas in which Hispanics are unrepresented, and (7) Show evidence of serious commitment to the needs of Hispanic learners and the Hispanic community. This can be reflected in the required five-year master plan for institutional development (Hearings on the Reauthorization Act of the HEA, 1984a, pp.808-809; Valdez, 2015, p.15).

The intent and the mission of HSIs has always reflected the social responsibility of higher education in relation to the Latina/o community. The HHEC had foresight in understanding to be an effective *Hispanic Institution* the organizational structure required that IHEs be intentional about the community within the institution as well as the community in which the institution resided (Valdez, 2015). The recommendations for defining a *Hispanic Institution* offered by the HHEC during the congressional hearings never came to fruition, however Congress did explicate

the intent in which HSIs could be evident in reflecting the designation (Nuñez et al., 2013; Santiago & Andrade, 2010, p. 5):

The role of HSIs was constructed with the intent of improving post-secondary education for Latina/o populations: As part of the reauthorization of the Higher Education Act, Title III, the purpose of the HSI funding is fourfold: (a) to expand educational opportunities for Hispanics students; (b) to improve the academic offerings, program quality, and institutional stability of colleges and universities that are educating the majority of Hispanic college students; and (c) to help large numbers of Hispanics and other low-income students complete postsecondary degrees.

Although a formal organizational structure for HSIs has not yet been established, the aforementioned explication is clear as to what the expectation and the of role of an HSI designation was intended for in relation to improving post-secondary education for Latina/o populations.

HSI Institutional Types

Unlike traditional minority serving institutions such as HBCUs and Tribal Colleges that were founded to serve underrepresented populations, very few institutions were established to serve or educate Hispanics (Hirt; 2006; Ledesma & Burciaga, 2015). There are several significant factors that contribute to the increased development of HSIs: (1) which can be attributed to the demographic growth of Hispanics, (2) high shifts in Latina/o migration patterns and, (3) the racializing of Hispanics in higher education (Carr & Kutty, 2008; Contreras & Contreras, 2015; Cobas et al., 2009; Garcia, 2019; Greene & Oesterreich, 2012). These factors have resulted in a smorgasbord of institutional types and identities for HSIs (Hirt, 2006; Renn &

Patton, 2017) which has created uncertainty for IHEs in identifying between institutions who seek to serve Latina/o populations or institutions who receive the designation based on demographic growth (Contreras & Contreras, 2015).

In viewing the racializing of Hispanics in the U.S. regarding race and ethnicity, this notion is further expanded upon as it has contributed to the facade of institutional identity for HSIs (Carr & Kutty, 2008; Contreras & Contreras, 2015; Cobas et al., 2009; Garcia, 2019; Greene & Oesterreich, 2012). In 1973, the U.S. federal government instituted the “Hispanic” monolithic identity to include several races, but not limited to, Mexicans, Puerto Ricans, Cubans, Dominicans, Salvadorans, Guatemalans, Colombians, Peruvians, and Chileans (Cobas et al., 2009). The categorization and selected groupings of Mexico, the Caribbean, Central and the Latin American races suggested that the U.S. government deemed “Latino (including the closely linked termed “Hispanic”) to become a color-coded category” (Cobas et al., 2009, p. 8). This monolithic designation impacted the overall U.S. education system and permeated down into the States’ district level (Olden, 2017). Historical court cases such *Keyes v. School District No. One*, *Plessey v. Ferguson*, *Mendez v. Westminster*, and *Delgado v. Bastrop* were all evidence that legislators and educational administrators’ conception of race did not move beyond the black-white binary to consider the unique racial positioning of Latina/o American descendants (Cobas et al., 2009; Olden, 2017). In the same aspect that the U.S. federal “Hispanic” racial designation has brought about misrecognition to the pan-ethnic identities of Mexico, the Caribbean, Central and Latin Americans, so has the U.S. federal designation of “Hispanic Serving Institution” for institutions of higher education. Garcia (2019) suggests that institutions that had been historically predominantly white, were abruptly minoritized through legislation in an attempt by the U.S. federal government to create ethnic categories (Rodriguez, 2002) for Hispanic and

Latina/o populations. Additionally, Garcia posits that “the racial category ‘Hispanic -Serving Institutions’ is highly subjective and socially constructed. Moreover, the creation and federal recognition of both terms, *Hispanic* and *Hispanic-Serving Institutions*, ultimately has had its consequences” (p. 15). What Garcia (2019) infers is that the complexity of both socially constructed designations has contributed to the arbitrary and uncertainty of operationalizing the HSI designation across multiple institutional types (Hirt, 2006). Hirt (2006) also supports this notion in that the complexity of operationalizing an HSI designation is not limited to institution type be it private, religious affiliation, R1 institutions, or comprehensive institutions because few institutions of higher education have been established to educate Hispanic students.

Student Demographics at HSIs

In 1960, Hispanics represented 3% of the U.S. population (Hirt, 2006) and increased to 58 million in 2016, accounting for 18% of the population (Pew Research Center, 2017). With the Hispanic demographic growth on the rise so has the number of Hispanics enrolling in higher education (McFarland et al., 2017). In the years between 2000 and 2015, the Hispanic undergraduate enrollment “more than doubled” to 37% from 1.4 million to 3.0 million (McFarland et al., 2017, p. 116). Hispanic students continue to increase in enrollment in higher education by 15% above all other ethnic categories and in 2017-18, 523 HSIs enrolled 66% of all Latina/o undergraduates (Excelencia in Education, n.d., *Hispanic-Serving Institutions: 2017-18*; (Excelencia in Education, 2018, *Closing the Equity Gap in Educational Attainment for Latinos*, section, para. 3). By enrolling more than half of all Hispanics in the U.S., HSIs play a critical role in the development of Latina/os students (Laden, 2001). However, research posits that Hispanics enrolled at HSIs are often viewed as deficit because they are first-generation college students who are perceived as “dysfunctional” or “problematic” due to living in poverty and

attending poorly resourced schools (Rendón, Nora, & Kanagala, 2015). The deficit framing of Latina/o students creates many obstacles for them in higher education, even at HSIs. Research also suggests that Latina/o students who attend 4-year HSIs would most likely have started their academic journey at community colleges (Gonzales, Murakami, & Nuñez, 2013) and that they face incredible odds in completing at 4-year institutions (Suro & Fry, 2005). However, the broad access to postsecondary education that HSIs provide are essential for this dynamic student demographic to succeed in higher education (Hurtado & Ruiz, 2012; Nuñez et al., 2013).

The significance and increased enrollment for Latina/os at HSIs is not necessarily due to low-preparation as “Latina/os who do very well on the SATs (1300+) have their scores sent to top schools at the same rate as their white peers” (Suro & Fry, 2005, p. 178). However, factors such as economics, family structures, and cultural dynamics play a role in the geographical proximity of where Latina/os choose to attend postsecondary education (Gonzales et al., 2013; Hirt, 2006; Suro & Fry, 2005; Torres, & Zerquera, 2012). These factors create high concentration of HSIs in rural areas (Hirt, 2006) as Latina/o students are less likely to leave their families and parents due financial dependency, family commitments, and most saliently contributing to the family financial well-being (Hirt, 2006; Ponjuan, 2013; Rendón, 1994; Rendón & Kanagala, 2014; Suro & Fry, 2005; Torres & Zerquera, 2012).

Students who attend HSIs often operate in multiple frameworks (Rendón et al., 2015) associated with the complexities of transitioning into college life and the experiences associated with being first-generation college students. However, the complexity of navigating the academic, social, cultural and emotional climate of postsecondary education illuminates the intelligence and capability Latina/os need to progress to degree attainment (Hurtado, 2012; Hurtado & Ruiz, 2012; Nuñez et al., 2013; Rendón & Kanagala, 2014). Students who identify as

Hispanic or Latina/os at IHEs will also encounter barriers tied to the stigmas associated with being Latina/o or Hispanic. Latina/o populations have often been viewed as low-socioeconomic, minimal 4-year degree completion, and minimal persistence beyond a 2-year community college (Cox, Joyner, & Slate, 2011; Fry, 2002). Furthermore, almost half of all Hispanic 4-year students reside with their parents compared to less than one-fifth of their white peers (Suro & Fry, 2005) making it much harder for Latina/o students at HSIs to socially engage and integrate into campus life. Additionally, Fry (2002) also contends that Latina/o high levels of part-time enrollment have unfavorable outcomes on their level of degree completion, due to the intense pressure to contribute to the family's well-being.

HSIs account for educating 66% of all undergraduate Hispanics students enrolled at postsecondary institutions in the U.S (*Excelencia in Education*, n.d, section, para. 1). As such, it is essential for HSIs to understand what types of educational interest Latina/o students major in and their outcomes of degree attainment. A study conducted by Georgetown *University's Center on Education and the Workforce* (2015) suggests,

In an analysis of the 137 majors measured, Hispanics received at least 4 percent of the bachelor's degrees granted in 86 of the 137 majors, and fewer than 4 percent of the degrees granted in the remaining 51 areas. Hispanics represent at least 10 percent of bachelor's degree recipients in only 17 majors, and are most represented in International Business, where they hold 22 percent of degrees. (Carnevale et al., 2015, p.2)

For the top 10 degrees that Hispanic undergraduate students completed in 2015, International Business ranked the highest at 22% and Language and Drama Education, Human

Services and Community Organization, and General Education ranked the lowest at 12% (Carnevale et al., 2015). See Figure 3 below.

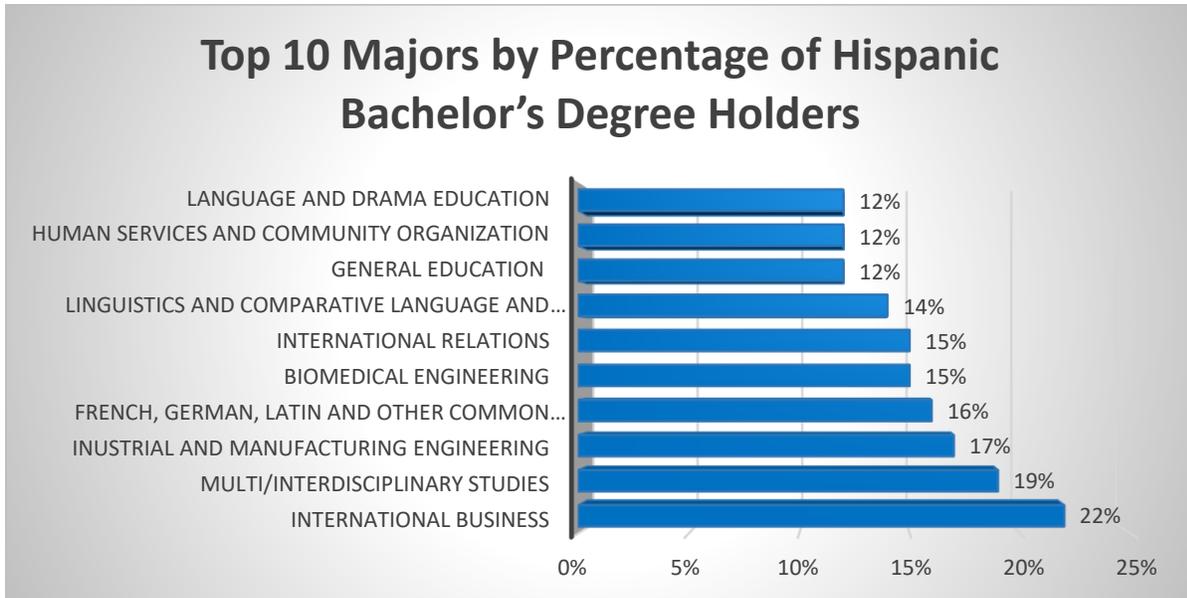


Figure 3. Top 10 Majors by Percentage of Hispanic Bachelor's Degree Holders - Adapted from Hispanics: College and major earnings. *Georgetown University Center on Education and the Workforce*. Retrieved from <https://cew.georgetown.edu/cew-reports/hispanicmajors/>

Scholars suggest that academic outcomes are the best indicators for effectively serving Latina/os (2019), yet Hispanic undergraduate students represented only 6.5% of the science, technology, engineering and mathematics (STEM) concentration of degree holders in 2015 (Carnevale et al., 2015) of which HSIs enrolled 64% of all Latina/o undergraduate students (Excelencia in Education, 2017). Even so, scholars argue (Garcia, 2019) that the academic outcomes for Latina/os in 2015 (Carnevale et al., 2015; *Excelencia in Education*, 2017) is debatable concerning the effectiveness and viability of HSIs. It can also be suggested that the academic success variables for Latina/os students at HSIs relating to retention and completion are not independent of themselves but are unique to the quality of the institution's environment, availability of support networks, mentorship, comfort level of cross-cultural experiences and

faculty make-up (Alberta & Rodriguez, 2000; Berríos-Allison, 2011; Garcia, 2019; Rendón, 1994).

Faculty Demographics

Faculty play a dynamic role in the maximization of Latina/os student learning efforts and educational outcomes (Anya & Cole, 2003). As such, it is essential to recognize that Latina/o student-faculty interactions on HSI campuses are occurring on socially constructed environments incorporating race, not as a categorical factor, but as an aspect of persistence to Latina/o undergraduate degree completion (Anya & Cole, 2003; Castellanos & Jones, 2003; Garcia, 2019). Faculty at HSIs play a particular important element in student persistence as “students who experience a high degree of faculty interaction take a more active role in their education than other students” (Castellanos & Jones, 2003, p. 8; Tinto 1993). The increase of persistence of Latina/o students can also be attributed to the non-cognitive factors faculty contribute, “the sheer presence of Latina/o faculty who have navigated and succeeded within the educational system proves to Latina/o students they can also succeed academically” (Castellanos & Jones, 2003, p. 9). Even so, the academic environment remains challenging for Latina/o students in higher education as the paucity of research is limited on the demographics of faculty representation at HSIs (Banda et al., 2017; Hirt, 2006; Santiago & Taylor, 2017). However, research concerning Latina/o faculty in general tends to be more readily available allowing for descriptive characteristics of Latina/o faculty in higher education (Castellanos & Jones, 2003; Hirt, 2006).

Hiring Practices of Faculty

The *hiring, tenure, and promotion* (HTP) of Latina/o faculty occurs within the much broader context of U.S. educational system (Beccera, 2012; Padilla, 2003). The segmentation of educational barriers for Latina/o faculty leading up to HTP has historically contributed to the dearth of Latina/os as professoriates (Benitez et al., 2017; Padilla, 2003). The disparity of

Latina/o faculty represented at IHEs and HSIIs (NCES, 2017; Hurtado, 2012) is evidence of the paucity of career advancement in which Latina/os have made as full professors and thus, limiting their influential roles in faculty governance, access to administrative roles, department chairs, deans, provosts, and presidents (Padilla, 2003). As it stands, Latina/os are currently underrepresented in every sector of higher education but most saliently in the professoriate (Castellanos & Alberta, 2007; Collegecampaing.org, 2013; Fry, 2002).

Latina/os have doubled their presence as professors and instructors since 2013, but due to the increase enrollment of Latina/o students it is estimated that the ratio of Latina/o students to Latina/o faculty has increased from 80:1 to 90:1 (Santiago & Taylor, 2017). A survey administered by National Center for Education (NCES) 2017 posited that in the fall 2015, of all full-time faculty at degree-granting post-secondary institutions, 42% were White males, 35% percent were White females, 6% were Asian/Pacific Islander males, 4% were Asian/Pacific Islander females, 3% Black males, 3% Black females, and 2% Hispanic males and 2% Hispanic females.

Table 1

Distribution of Full-Time Faculty in Degree-Granting Postsecondary Institutions, by Academic Rank, Race/Ethnicity, and Sex, Fall 2015

| Year, sex, and academic rank | Total Numbers of Combined Faculty | | Combined FOC Total | Percent | Black | Hispanic | Total | Asian | Pacific/Islander | American Indian/Alaska Native | Two or more races | Race/ethnicity unknown | Non-resident alien |
|------------------------------|-----------------------------------|----------------|--------------------|-------------|---------------|---------------|---------------|---------------|------------------|-------------------------------|-------------------|------------------------|--------------------|
| | White | | | | | | | | | | | | |
| Total | 807,032 | 575,657 | 167,367 | 22.5 | 44,146 | 35,786 | 77,422 | 76,265 | 1,157 | 3,533 | 6,480 | 22,364 | 41,644 |
| Professors | 182,204 | 146,964 | 31,142 | 17.5 | 6,720 | 5,956 | 16,924 | 16,720 | 204 | 598 | 944 | 2,478 | 1,620 |
| Associate professors | 157,799 | 116,511 | 35,107 | 23.2 | 9,077 | 6,967 | 17,259 | 17,041 | 218 | 609 | 1,195 | 3,066 | 3,115 |
| Assistant professors | 173,031 | 114,994 | 40,194 | 25.9 | 10,850 | 7,615 | 19,421 | 19,122 | 299 | 639 | 1,669 | 6,535 | 11,308 |
| Instructors | 99,286 | 72,487 | 21,630 | 23.0 | 7,280 | 6,881 | 5,667 | 5,438 | 229 | 860 | 942 | 3,551 | 1,618 |
| Lecturers | 40,958 | 30,568 | 7,649 | 20.0 | 2,084 | 2,368 | 2,691 | 2,654 | 37 | 142 | 364 | 1,228 | 1,513 |
| Other faculty | 153,754 | 94,133 | 31,645 | 25.2 | 8,135 | 5,999 | 15,460 | 15,290 | 170 | 685 | 1,366 | 5,506 | 22,470 |
| Males | 438,789 | 312,185 | 87,781 | 21.9 | 19,032 | 18,259 | 45,718 | 45,095 | 623 | 1,727 | 3,045 | 12,092 | 26,731 |
| Professors | 124,364 | 99,759 | 21,598 | 17.8 | 4,010 | 3,827 | 12,816 | 12,670 | 146 | 364 | 581 | 1,740 | 1,267 |
| Associate professors | 87,317 | 64,010 | 19,520 | 23.4 | 4,333 | 3,800 | 10,501 | 10,390 | 111 | 288 | 598 | 1,833 | 1,954 |
| Assistant professors | 84,762 | 55,186 | 19,118 | 25.7 | 4,171 | 3,692 | 10,263 | 10,120 | 143 | 290 | 702 | 3,398 | 7,060 |
| Instructors | 42,936 | 31,457 | 8,964 | 22.2 | 2,570 | 3,118 | 2,485 | 2,375 | 110 | 425 | 366 | 1,654 | 861 |
| Lecturers | 18,372 | 13,885 | 3,136 | 18.4 | 871 | 1,009 | 1,043 | 1,030 | 13 | 58 | 155 | 623 | 728 |
| Other faculty | 81,038 | 47,888 | 15,445 | 24.4 | 3,077 | 2,813 | 8,610 | 8,510 | 100 | 302 | 643 | 2,844 | 14,861 |
| Females | 368,243 | 263,472 | 79,586 | 23.2 | 25,114 | 17,527 | 31,704 | 31,170 | 534 | 1,806 | 3,435 | 10,272 | 14,913 |
| Professors | 57,840 | 47,205 | 9,544 | 16.8 | 2,710 | 2,129 | 4,108 | 4,050 | 58 | 234 | 363 | 738 | 353 |
| Associate professors | 70,482 | 52,501 | 15,587 | 22.9 | 4,744 | 3,167 | 6,758 | 6,651 | 107 | 321 | 597 | 1,233 | 1,161 |
| Assistant professors | 88,269 | 59,808 | 21,076 | 26.1 | 6,679 | 3,923 | 9,158 | 9,002 | 156 | 349 | 967 | 3,137 | 4,248 |
| Instructors | 56,350 | 41,030 | 12,666 | 23.6 | 4,710 | 3,763 | 3,182 | 3,063 | 119 | 435 | 576 | 1,897 | 757 |
| Lecturers | 22,586 | 16,683 | 4,513 | 21.3 | 1,213 | 1,359 | 1,648 | 1,624 | 24 | 84 | 209 | 605 | 785 |
| Other faculty | 72,716 | 46,245 | 16,200 | 25.9 | 5,058 | 3,186 | 6,850 | 6,780 | 70 | 383 | 723 | 2,662 | 7,609 |

Note. Adapted from “Table 315.10: Number of Faculty in Degree-Granting Postsecondary Institutions, by Employment Status, Sex, Control, and Level of Institution: Selected Years, Fall 1970 Through Fall 2015,” by National Center for Education Statistics, 2017. *U.S. Department of Education*. Retrieved from <https://nces.ed.gov/fastfacts/display.asp?id=61>

The underrepresentation and disparity of Latina/os faculty on IHEs is evident (NCES, 2017) and contributes to the inequitable cultural wealth paradigm that Latina/o undergraduate students experience when faculty representation is not reflective of the HSI designation (Rendón, 1994; Rendón et al., 2014; Ponjuan, 2013; Yosso, 2005). The presence of Latina/o faculty on HSI campuses have been found to have a positive effect on Latina/o student retention, as faculty

serve as role models and contribute to the academic motivation of students (Anya & Cole, 2003; Castellanos & Jones, 2003). At HSIs, almost a third (31.1%) of faculty are Latina/o (Hurtado, 2012), however some contest (Hurtado, 2012) that “Though these figures are higher than the national average, many still argue that they are not high enough given the ‘Hispanic-serving’ identity these institutions have acquired” (De los Santos & Vega, 2008; Haro & Lara, 2003; Hurtado, 2012, p. 21).

Research suggests that faculty at HSIs are slightly more likely to incorporate class discussions, group projects, and that the majority of their pedagogies are tied to social justice outcomes and critical thinking skills (Cooper, 1998; Hurtado, 2012; Mayhew & Fernandez, 2007). These faculty teaching methods are slightly higher at HSIs and are reflective of a student-centered pedagogy, which research suggests leads to higher levels of student engagement (Freeman & Martinez, 2015; Hurtado, 2012; Umbach & Wawrzynski, 2005). The combination of ethnic consciousness (Rendón & Kanagala, 2014) and academic support from faculty at HSIs creates the equity of a cultural wealth paradigm (Rendón & Kanagala, 2014; Yosso, 2005) Latina/o students desperately need in validating their experiences in higher education (Ponjuan, 2013; Rendón, 2014).

Governing and Organizational Structure of HSIs

The complexity of the organizational structure for HSIs is not determined by the designation but of the type of institution, “Mission statements of HSIs, then, reflect the historically entrenched functional roots of the institution rather than the relatively recent shift to educating Hispanic students. Evidently, the focus offered by HSIs to Hispanic students is reflective in what they do, not how they describe themselves” (Hirt, 2006, p. 164). HSIs are in unique positions as they transcend the majority of institutional types (Hirt, 2006) as the HSI

designation is not determined by “type” but by application of status meeting the two criteria for the federal HSI designation if: (1) enrollments of the institutions are at least 25% Hispanic full-time undergraduates, and (2) at least 50% are eligible for federal student aid (Corral et al., 2015; Renn & Patton, 2017). Unlike their HBCU counterparts, HSIs were not established to educate Hispanic students (Castellanos & Jones, 2003; Garcia, 2019; Hirt, 2006; Hurtado, 2012; Mendez et al., 2015; Renn & Patton, 2017). HSIs were created (1) through legislative effort on behalf of educational leaders who recognized that the growing numbers of Latina/os in higher education needed equitable federal funding considerations, (2) that educational support programs were needed for colleges and universities experiencing significant growth with high Latina/o enrollment, and most significantly (3) that institutional cultures be intentionally organized to serve Latina/o students (Benitez, James, Joshua, Perfetti, & Vick, 2017; Davila, & Garcia, 2012; Ledesma & Burciaga, 2015; Mendez et al., 2015; Valdez, 2015).

The organizational structure of HSIs is arbitrary as the characteristics of decision-making in seeking the designation is not distinguishable between institutions who seek to serve Latina/o populations or institutions who receive designation based on demographic growth (Contreras & Contreras, 2015). Consequently, HSIs have operated in conferred dominate frameworks of Predominately White Institutions (PWIs) (Freeman, 1999; Johnson, 2018) rather than the enacted mission of sense of purpose and culture as those of traditional Minority-Serving Institutions (Mendez et al., 2015). According to Greene and Oesterreich (2012), “HSI is simply a moniker based on Latina/o student body count used for public relations and privileged access to funding rather than practices connected with mission and purpose” (p. 169). As a result, HSIs have operated with invisible identities (Contreras, Malcom, & Bensimon, 2008) as opposed to a more central institutionalized identity that is reflective of Latina/o cultures. Institutional organizational

structures are determined by cultures, political climate, and result in specific public policy choices, regardless of institutional mission or type (Hirt, 2006; Tierney, 1998; Tierney, 1999, 2008).

Regretfully, within the hierarchy of institution types (Hirt, 2006), HSI designations remain a second-class status due to the broad access and acceptance rates that are often characteristic of HSIs (Garcia, 2019). The dominant ideology of PWIs found within the organizational structures of HSIs exposes the normative frameworks incongruent of prioritizing institutional efforts in helping Latina/o students succeed in higher education (Garcia, 2019; Ledesma & Burciaga, 2015). Research posits (Blanchard & Baez, 2016) that the organizational structure of shared governance within a public or private IHE is directly tied to the academic outcomes of its constituents based on the contracts that they enter within institutions. As such, Latina/o students who enroll at HSIs are dependent on the organization structure to be reflective of the HSI designation in support of graduation outcomes (Anaya & Cole, 2003; Hurtado & Kamimura, 2003; Ledesma & Burciaga, 2015; Padilla, 2003).

The Role of Faculty in Shared Governance

The term shared governance, as described by Birnbaum (2004), suggests the structure and processes of academic institutions based on the legal authority of trustees, university administration, and the professional role justified by faculty. Unfortunately, research for shared governance of faculty at HSIs is minimal (Laden, 2001; Ledesma & Burciaga, 2015) due to the dominate PWI frameworks in which they often operate (Freeman, 1999; Garcia, 2019). Therefore, shared governance within traditional IHEs is often used to understand how HSIs contextualize faculty roles in shared governance, and the policies which they employ to serve Latina/o students. Ledesma and Burciaga (2015) posit that the disparity of research on the issues

of HSIs faculty governance is ripe for the examination, as higher learning institution's governance is organizationally contingent on the context and the needs of the institution type not the needs to serve Latina/o students (Contreras & Contreras, 2015; Hirt, 2006; Mendez et al., 2015; Renn & Patton, 2017).

As noted in the *Hiring Practices of Faculty* section, the *hiring, tenure and promotion* (HTP) of faculty is a gateway to the key positions in academia (Padilla, 2003). The HTP is most significant for faculty navigating the influential spaces of teaching but most importantly shared governance. Faculty have strong influence and authority in decision-making in relation to undergraduate curriculum, tenure and promotion standards, and standards for evaluating teaching (Austin & Jones, 2016; Birnbaum, 2004; Tierney & Minor, 2004; Schoorman & Acker-Hocevar, 2010). Birnbaum (2004) supports this notion in suggesting, "Educational matters such as faculty status and programs of instruction and research, but it also articulated the importance of faculty involvement in educational policy more generally, including setting institutional objectives, planning, budgeting, and selecting administrators" (p. 6). The role of faculty at HSIs is significant as their pedagogies are often tied to principles of equity and social justice which research suggests leads to higher levels of student engagement needed for Latina/o students to persist (Benitez et al, 2017; Freeman & Martinez, 2015; Hurtado, 2012; Rendón, & Kanagala, 2014; Umbach & Wawrzynski, 2005; Yosso, 2005).

Furthermore, faculty roles tied to shared governance at HSIs are essential as faculty tend to anchor the institutional mission of pedagogy and shared governance with cultural knowledge and values tied to equitable academic outcomes for underrepresented populations (Hersh & Merrow, 2005; Hirschy, 2017; Kuh et al., 2010; Ledesma & Burciaga, 2015; Museus, 2017; Rendón, 1994). An interdisciplinary citizenry of faculty in shared governance at HSIs is essential

in shaping organizational culture, as campus cultures are powerful forces that shape and are shaped by postsecondary constituents (Renn & Patton, 2017; Tierney, 1998, 1999, 2008). A study conducted by *The James Irvine Foundation* (2006) measured how campus leaders defined the role of a diverse faculty presence on their campuses and created a narrative of significance for faculty shared governance,

Faculty play a critical role in the education, research, and service functions of the institution, from teaching and learning, to knowledge development, and to university governance. Campus leaders today recognize that to truly achieve excellence in all of these areas, they must tap the kind of intellectual power and innovation that comes from a professoriate that is racially and ethnically diverse. Moreover...faculty diversity—or the lack thereof—serves as a harbinger of the academy’s continuing educational, academic, and societal legitimacy. (p.5)

If HSIs are committed to helping Latina/o students succeed, institutional organizational structures at the highest levels must be designed to implement HTP action plans to allow for faculty diversity (Padilla, 2003). Research suggests (Hurtado, 2012) that Latina/o faculty represent 31.1% at HSIs and as such, HSIs must renegotiate their PWI tendencies and operate through espoused-HSI mission and values (Garcia, 2019; Freeman, 1999; Hurtado, 2012; Ledesma & Burciaga, 2015; Valdez, 2015).

Research Institutions (R1)

Unlike HSIs, Research Universities (R1) as classified by the Carnegie Classification System (Boyer, 1999; Carnegie Foundation, 2001; Kosar & Scott, 2018), have unmistakable identifiable characteristics which specifically govern the institution’s mission and organizational structure (Bok, 1992; Carnegie Foundation, 2001; Hirt, 2006; McKeown-Moak & Mullin, 2014; Renn &

Patton, 2017; Tierney, 1988, 2008; Tierney & Bensimon, 1996). The distinct tripartite mission of research universities has prominently included research, teaching, and public service (Birnbaum, 2004; Bland et al., 2006; Hirt, 2006; Lee, 2017; Miles, Miles, & Bement, 2018; Schoorman & Acker-Hocevar, 2010), with a strong public purpose and commitment to undergraduate education (Anderson, 1993; Checkoway, 2001; Kennedy, 1997; Lee, 2017; Tierney & Bensimon, 1996). The characteristics of R1s can be identified as having very high research activity, individualized faculty research, specialization in the generation of new knowledge, and having a more corporate organizational structure (Birnbaum, 1988; Carnegie Foundation, 2001; Hirt, 2006; Kerr, 1963; Kezar & Eckel, 2004; Kosar & Scott, 2018; Tierney & Bensimon, 1996). There are currently 3,004 public universities in the U.S. (NCES, 2019) and of those only 94 are public research universities having the highest research activity, as defined by Carnegie Classification System (Carnegie Foundation, 2016). As such, research institutions represent one of the “smallest sectors” at 3.1% of the higher education system in the U.S., but only second to minority-serving institutions (Hirt, 2006).

Historical Aspects of R1s

Historically, higher education research institutions have been used as a method to preserve which individuals should be selected, screened, trained, and placed in a more desirable and influential position in the U.S. economic structure (Boyer, 1990; Brown & Mayhem, 1965) Cohen & Kisker, 2010; Pak, 2008; Tierney & Bensimon, 1996). Research institutions were established at the turn of the 19th century in the aftermath of the Civil War (Hirt, 2006) and much like comprehensive universities, R1s focused on economics, politics, and social dynamics. Research institutions were also highly influenced by Germany’s philosophy and structures of higher education (Boyer, 1990; Brown & Mayhew, 1965; Cohen & Kisker, 2010). Germany’s

academic infrastructure of higher education emphasized philosophy, science, research, graduate instruction and most significantly, the *Lehrfreiheit* and *Lernfreiheit* which expressed the individuality of professors to teach as their competencies dictated (Brown & Mayhew, 1965; Tierney & Bensimon, 1999). Research institutions also grew in popularity after War World II (Gumport, 2016) in response to America's Industrial Revolution. During the University Transformation Era (Cohen & Kisker, 2010), institutions concluded that research was essential to industry and gained support in the capitalistic market by industrialists. In efforts to meet the demand of capitalism and broaden the funding base, research universities created additional departmental research units which reflected the specialization of interdisciplinary and applied research (Checkoway, 2001; Gumport, 2016).

This mode of organization gave rise to the "organized research unit" (ORU) and fueled the expansion of academic research on university campuses to meet the societal demand for research. The ORUs also gave way for funding from the national government, state governments, industries and foundations (Cohen & Kisker, 2010; Gumport, 2016). In the last decade of the 19th century, powerful American elites such as Ezra Cornell, John D. Rockefeller, Leland Stanford and other prominent industrialists provided the financial capital institutions needed to advance research in the U.S. (Bok, 1982; Cohen & Kisker, 2010). External interest in higher education continued to increase by the federal government and American elites, resulting in a triadic shift and combination of undergraduate instruction, high emphasis on research, and professional training (Tierney & Bensimon, 1996).

Research institutions have evolved into intellectual and institutional resources that are recognized worldwide (Bok, 1982; Checkoway, 2001; Hirt, 2006; Van Patton, 1996). R1 institutions are known for having credentialed interdisciplinary faculty members in both

academic disciplines and professional fields such as business, economic development, education, environment, engineering, globalization, health and human services, housing and neighborhood revitalization, and often have the largest enrollments of undergraduate students (Checkoway, 2001; Hirt, 2006; Kerr, 1963; Kuh et al., 2010; Renn & Patton, 2017; Tierney, 1999). Research universities have extensive libraries, research laboratories, revolutionary technology, academic support facilities and produce most of the world's influential scholarly publications prepared by faculty who populate the nation's elite colleges and universities (Checkoway, 2001; Hirt, 2006; Kezar, 2009; Kuh et al., 2010; Tierney, 1999).

Inasmuch as the evolution of RIs has developed exceedingly, the evolution of research institutions has also developed beyond the educational institution and higher education landscape (Birnbaum, 1998; Birnbaum, 2004; Boyer, 1990; Hersh & Merrow, 2005; Kerr, 1963; Kezar, 2009; Schuh, Jones, & Torres, 2017; Tierney, 1990, 1991, 2008; Tierney & Bensimon, 1996). Research institutions have become major employers, providers, consumers of private and public goods, political consultants and supplanters of culture, services, and powerful social and economic developers (Checkoway, 2001; Hirt, 2006; Kezar, Chambers, & Burkhardt, 2005; Lucas, 1994; Rice, 1996; Saltmarsh & Hartley, 2011; Tierney, 1998, 1999, 2008). As such, scholars contend that R1 institutions have lost their commitment to their original mission and have deemphasized the original intent and responsibility in serving the public good (Boyer, 1990; Hersh & Merrow, 2005; Kezar et al., 2005; Kezar, 2009; Lee, 2017; Lucas, 1994; Rice, 1996; Saltmarsh & Hartley, 2011; Tierney, 1999, 2008; Tierney & Bensimon, 1996).

The Mission of Research Institutions

Originally, R1 institutions were developed with an espoused mission to serve the public good as a response to civic engagement (Kezar et al., 2005; Miles et al., 2018; Saltmarsh &

Hartley, 2001; Schuh et al., 2017) and as history suggests, was instrumental in the building of the U.S. and the path to a civil and democratic society (Dewey, 2016; Bastedo, Altbach, & Gumport, 2016; Cohen & Kisker, 2010; Hirt, 2006; Saltmarsh & Hartley, 2001). Research universities were strategically situated for civic engagement and the original mission expressed a strong public purpose (Anderson, 1993; Checkoway, 2001; Kennedy, 1997; Lee, 2017). The distinct tripartite mission of research universities has generally included research, teaching, and public service (Birnbaum, 2004; Bland et al., 2006; Hirt, 2006; Lee, 2017; Schoorman & Acker-Hocevar, 2010). However, scholars (Lee, 2017; Rice, 1996) contest that the appendage of the tripartite mission in relation to “public service” no longer reflects the operationalism and espoused mission of "education for citizenship" and "knowledge for society" but more of an enacted mission to “service to science” and “professionalization of scholarly allegiance” (Checkoway, 2001; Price & Cotton, 2006; Hirt, 2006; Schoorman & Acker-Hocevar, 2010). Additionally, an R1 institution’s commitment to undergraduate education is not always evidenced in their institutional policies, as Lee and Rhoads (2004) note, “Universities quite easily can release entrepreneurial faculty of teaching loads and hire less qualified substitute lecturers, adjuncts, doctoral students, and other part-time instructors and on the surface conveys a commitment to the educational mission” (p. 743). The espoused mission statements of R1s have been known to emphasize teaching education; second, only to research. As such, the R1s mission statements typically include verbiage tied to the institutions brand value (Rouse, Lombardi, & Craig, 2018) relating to “research”, “innovation”, “excellence”, “curriculum and instruction” (Gonzales & Pacheco, 2012; Hirt, 2006; Rouse et al., 2018) ultimately depicting an institution’s enacted mission.

Faculty Demographics at R1 Institutions

The tripartite mission of research, teaching, and service within research institutions have traditionally defined the scope of faculty work (Birnbaum, 2004; Hirt, 2006; Tierney, 1999). The nature of faculty life at R1s generally mirrors the culture of campus life where knowledge production is dominant, undergraduate education and outcomes are the mission; competing with graduate teaching and research (Hirt, 2006; Price & Cotton, 2006; Renn & Patton, 2017; Rouse et al., 2018; Tierney, 1999). In Boyer's (1999) *Scholarship Reconsidered, Priorities for the Professorate: The Carnegie Advancement of Teaching* report, he describes the R1 classification as "Research institutions who offer a full range of baccalaureate programs, are committed to graduate education through the doctorate degree, and give priority to research. They receive annually at least \$33.5 million in federal support and award at least 50 Ph.D. degrees a year" (p. 129). Research and scholarship have historically been the driving force for faculty at research institutions (Brown & Mayhem, 1965; Hirt, 2006; Rouse et al., 2018; Tierney & Bensimon, 1996) which has resulted in research university faculty members teaching fewer students and fewer courses than those at any other types of institution (Hirt, 2006).

A significant factor for the deemphasis of faculty teaching and service at R1s is largely due to the promotion and tenure process (PTP) or reward structures placed within research institutions (Brown & Mayhem, 1965; Gonzales & Núñez, 2014; Price & Cotton, 2006; Tierney & Bensimon, 1996; Tierney, 1999). Research productivity for faculty at an R1 has traditionally averaged six refereed publications within the first 2 years (Fairweather, 1999) and with the expectation of faculty spend 40% of their time teaching and 20% on research. Research institutions have generally defined service as community outreach or more significantly shared governance within the institution (Tierney, 1999). Tenure and promotion committees have

traditionally evaluated candidates based on their contributions to teaching, scholarship, and service (Banks, 2012; Hurtado & Sharkness, 2008; Rice, 1996); however, for the faculty at research institutions, funding potential and funding records are essential to the PTP process with some regard to teaching and scarce regard for service (Mamiseishvili, Miller, & Lee, 2016). An R1s' commitment to research is evidenced in their faculty demographic as 33% represent full-time faculty, 21% represent part-time faculty and 66% of the faculty teach all undergraduate classes (Hirt, 2006; NCES, 2003). However, teaching assistants account for 14% of instructors who assist full-time R1 faculty in their teaching load (Hirt, 2006). Utilizing teaching assistants allows full-time faculty to devote more time to research and average 43% or less of their time to instruction (Hirt, 2006), which is significantly less than comprehensive or liberal arts institutions. Additionally, NCES (2003) produced a document entitled *Institutional Policies and Practices Regarding Postsecondary Faculty: Fall 2003* which highlighted that 100% of research universities, as described by Carnegie Classification system in having the highest research activity (Carnegie Foundation, 2001; Kosar & Scott, 2018), had a tenure system in place for full-time faculty. The NCES (2015) data also suggests that the majority of undergraduate students at R1s are at risk of having 66% percent of full-time faculty devote the majority of their time to research and less time to instruction or service (Mamiseishvili et al., 2016; NCES, 2015).

Hiring Practices of Faculty at R1 Institutions

The overall employment of postsecondary educators is projected to grow 15% from 2016 to 2026 (Bureau of Labor Statistics, n.d.), much faster than any other occupation. As the increased enrollment at postsecondary institutions continues to rise (McFarland et al., 2017), the majority of employment in postsecondary teaching positions is projected to center on part-time faculty positions (Bureau of Labor Statistics, n.d.). However, for R1 institutions, research

suggests (DiRamio, Theroux, & Guarino, 2009) that the hiring practices of faculty at high ranked research institutions differs as 70% of faculty working at top-ranked programs earned their terminal degrees from the same top programs. The expectation of productivity and funding potential is increasingly high for faculty seeking employment at top ranked R1 institutions. Tierney (1999) suggests that the “economic condition of higher education is directly related to the condition of its funding sources” (p. 4) and therefore, shapes the current context of faculty roles at R1 institutions.

In a faculty survey administered by the Collaborative of Academic Careers in Higher Education, Harvard Graduate School of Education Faculty (Collaborative of Academic Careers in Higher Education, Harvard Graduate School of Education Faculty, n.d., Faculty Job Satisfaction Survey section, para. 2), the findings concluded that the nature of faculty work and job satisfaction primarily revolved around research, “Satisfaction with research is a function not just of the time faculty members have to commit to research, but importantly, of the clarity and consistency of institutional expectations for research productivity and the resources colleges and universities provide faculty to meet them” (para. 2). The hiring practices for R1s also differs in that the concepts of faculty productivity and reward structures are tied to both external and internal factors of the institution (Birnbaum, 2004; Kosar & Scott, 2018; Layzell, 1999; Mamiseishvili et al., 2016). R1 institutions concern themselves with the economic and political landscape of the U.S. and as a result, shapes the underlying policy frameworks for productivity and faculty rewards (Layzell, 1999).

Governing and Organizational Structure of Faculty at R1s

The nature and governing structure of colleges and universities are often viewed as organizations, as systems, and as inventions (Birnbaum, 1988). Many scholars (Austin & Jones,

2016; Birnbaum, 1988) analyze governance from a system-level perspective by exploring the relationships between universities and governance. As such, Austin and Jones (2016) posit, “Governance is essential to the functioning of higher education at all levels, from the basic academic unit of the department *microlevel*, to the level of the organization *mesolevel* and at the level of the higher education system *macrolevel*” (p. 2). Within these levels of systems and structures are the distinct elements in which R1s differ in their governance processes and functions when compared to other types of higher learning institutions (Austin & Jones, 2016; Birnbaum, 1988; Kosar & Scott, 2018; Tierney & Minor, 2004; Tierney & Bensimon, 1999).

Research university computation and staffing models are generally structured to be reflective of how research enterprises respond to the competition and brand value that their institutions represent (Birnbaum, 1988; Rouse et al., 2018). These models are also reflective of the university’s constituents in the form of expenditures and their strong financial institutional base. Quality faculty are a key component in ensuring brand value for R1 institutions (Rouse et al., 2018) as is the number of undergraduate and graduate students enrolled (Hirt, 2006; Renn & Patton, 2017). The inputs of total number of colleges, departments, endowments, cost of tuition, percent in promotion and tenure, overhead and discount rates also play a large role in how a research university is staffed and structured (Cohen & Kisker, 2010; Rouse et al., 2018). R1 institutions also account for external funding when considering the type of computation model needed to organizationally structure and staff faculty and faculty research. Faculty contribution in the form of proposals, articles, citations, to name a few, add to the output for R1s in the form of total revenue, total costs, surplus deficit and most importantly, brand value (Rouse et al., 2018). Additionally, the formal structure of shared governance for R1s is generally laid out in the traditional governing framework of the legal authority by trustees, university administration,

and the professional role of faculty (Birnbaum, 2004). However, it is in the *micro* and *meso* levels at R1 institutions that faculty governance is most significant in the day-to-day operations of academia; as oppose to the *macrolevel* where trustees and university administration ensure the institution's commitment in achieving external stakeholder goals and a strong financial institutional base (Austin & Jones, 2016; Rouse et al., 2018).

The Role of Faculty in Shared Governance

Faculty have strong influence and authority in decision-making (Austin & Jones, 2016; Birnbaum, 2004; Tierney & Minor, 2004; Schoorman & Acker-Hocevar, 2010); however, for faculty, the role of shared governance can generally be situated into three categories of authority (Austin & Jones, 2016; Tierney & Minor, 2004): (1) formal authority in which faculty have decisive voting membership in a decision-making body, (2) the ability to make recommendations or provide consultative input that may be accepted or dismissed by administrators or decision-making bodies, and lastly, (3) no authority. See Table 2 below.

Table 2

Types of Faculty Authority in Shared Governance

| Types of Authority | Area of Shared Governance |
|--------------------|---|
| Formal Authority | <ul style="list-style-type: none"> ▪ Undergraduate Curriculum ▪ Tenure and Promotion Standards ▪ Standards for Evaluating Teaching |
| Informal Authority | <ul style="list-style-type: none"> ▪ Selection of The President/Provost and AVP ▪ Setting Strategic Priorities ▪ Setting Budget Priorities |
| No Authority | <ul style="list-style-type: none"> ▪ Evaluation of President/Provost ▪ Evaluation of AVP ▪ Setting Budget Priorities |

Note. Adapted from Tierney, W. G., & Minor, J. T. (2004). A cultural perspective on communication and governance. In W. G. Tierney & V. M. Lechuga (Eds.), *Restructuring shared governance in higher education. New Directions in Higher Education, 127*, 85–94. San Francisco, CA: Jossey-Bass.

Generally, the categories of authority are based on the governing structure of the institution (Tierney & Minor, 2004). However, faculty at institutions of higher learning recognize their role in relation to the core principles of academic freedom, and the governing structure without fear of reprisal, loss of influence, and the right to censure the administration and the governing board on matters of faculty concern (Academic Freedom and Tenure, 1969; AAUP and CAUT censure lists, 2007; Bejou & Bejou, 2016; O’Neil, 2016). Birnbaum (2004) also notes that the governance structure for faculty is found in the two-fold system of authority, “one based on legal authority, and is the basis for the role of trustees and administration; the other system, based on professional authority, justifying the role of the faculty” (p. 5). However, decisions concerning teaching and research are typically made informally outside of formally governing structures and has been “the most accepted, the least contested, and . . . the most

legitimate” (Bowen & Tobin, 2015, p.132) reverting to the original argument for faculty participation in emphasizing their competence to deal with strictly academic matters (Birnbaum, 2004; Birnbaum, 1988; Cox, 2000). Academic freedom ensures the role of faculty among shared governance and is the most widely accepted norm across university campuses but is also the most contentious about what it is and how it applies (Birnbaum, 2004; Finkin & Post, 2009).

The traditional shared governance for faculty in the 21st century is a challenge for R1 institutions as external factors such as alumni, employers, parents, legislators, accrediting bodies, to mention a few, often exclude faculty input and authority (Bejou & Bejou, 2016; Birnbaum, 2004). Scholars (Bejou & Bejou, 2016; Birnbaum, 2004; Finkin & Post, 2009; Schoorman & Acker-Hocevar, 2010) argue that these external factors are also reshaping the mission of higher education institutions and that the relevance of the traditional shared governance model is becoming obsolete and no longer a viable forum by which to make sound decisions in higher education. However, faculty input cannot be overlooked as faculty are at the heart of governance in higher education. Shared governance among faculty is reflective of an institution’s commitment to mutual respect and trust in faculty for the contributions they bring to the higher educational enterprise (Birnbaum, 2004). The success of an institution is highly dependent on faculty collaboration as their role in shared governance provides the equity in decision-making needed for all constituents of the institution but most significantly for undergraduate education (Bejou & Bejou, 2016; Birnbaum, 2004; Kuh et al., 2010; Pascarella & Terenzini, 1991).

Student Demographics at R1 Institutions

Students life differs at R1s for undergraduate students than their counterparts at any other institution type (Hirt, 2006). Undergraduate students at R1s not only have the opportunity of a rich educational setting for student-faculty interaction (Kuh et al., 2010) but also have the

opportunity to observe experts in their field and contribute to research projects. The grandeurs of structuralism and institutionalism are most saliently evidenced at 4-year public research institutions with high undergraduate enrollments and high residential living (Kuh et al., 2010; The Carnegie Classification of Institutions of Higher Education, n.d., Size and Setting Classification Description section, para. 16; Wilson, 2017). In the 21st century, nearly all research public institutions included undergraduate and graduate education in their mission with highly selective admission requirements (Astin, 2016; Kuh et al., 2010; Renn & Patton, 2017). For students at R1s institutions, their campuses are typically large in scale and organizationally complex (Hirt, 2006). On average, the top R1 institutions enroll 3.5 million students, representing 18% of the 20.2 million students enrolled at all levels of public and private, nonprofit 4-year institutions (Rouse et al., 2018). The aggregated number of undergraduate students enrolled at R1s can create physical and psychological challenge for undergraduate students (Hirt, 2006; Kuh et al., 2010; Museus, 2017; Pascarella & Terenzini, 1991) which ultimately can affect a student's overall collegiate experience (Baxter Magolda & Taylor, 2017; Hirt, 2006; King, 2017; Kuh et al., 2010). Inasmuch as R1 institutions can be difficult to access and navigate, undergraduate students are more likely to complete their degrees and matriculate into graduate school (Hirt, 2006; Smart, 1986). Undergraduate students at R1 institutions are at an advantage in access and opportunity in educational achievement, occupational status, earnings, and quality training in array of potential occupations (Astin, 2016; Hirt, 2006; Rouse, et al., 2018). These opportunities give undergraduate students a powerful advantage in the "institutional pecking order" of postsecondary education and are considered the highest-achieving in highly-ranked institutions over their counterparts who attend smaller comprehensive institutions or liberal arts colleges (Astin, 2016; Hirt, 2006).

The Merging of Two Institutional Types

R1 institutions have traditionally existed as a bastion of social mission in serving the public good in response to civic engagement (Kezar et al., 2005; Miles et al., 2018; Saltmarsh & Hartley, 2001; Schuh et al., 2017) and a commitment to public purpose in the form of the tripartite mission of research, teaching, and service (Anderson, 1993; Birnbaum, 2004; Bland et al., 2006; Checkoway, 2001; Hirt, 2006; Kennedy, 1997; Lee, 2017; Schoorman & Acker-Hocevar, 2010). In addition, research institutions have also been used as a method of educating and preserving individual success in the U.S. economic structure (Boyer, 1990; Brown & Mayhem, 1965; Cohen & Kisker, 2010; Pak, 2008; Tierney & Bensimon, 1996). Unlike the R1 institutions whose mission was to advance and educate the public good, HSIs were not established to educate Hispanic students (Castellanos & Jones, 2003; Garcia, 2019; Hirt, 2006; Hurtado, 2012; Mendez et al., 2015; Renn & Patton, 2017). HSIs were developed retroactively in response to the social responsibility of higher education in relation to the Latina/o community. HSIs were also intended to improve post-secondary education for Latina/o populations, as part of the reauthorization of the Higher Education Act, Title III (Garcia; 2019; Hirt; 2006; Ledesma & Burciaga, 2015; Mendez et al., 2015). HSIs were created (1) through legislative effort on behalf of educational leaders who recognized that the growing numbers of Latina/os in higher education needed equitable federal funding considerations, (2) that educational support programs were needed for colleges and universities experiencing significant growth with high Latina/o enrollment, and most significantly (3) that institutional cultures be intentionally organized to serve Latina/o students (Benitez, James, Joshua, Perfetti, & Vick, 2017; Contreras & Contreras, 2015; Davila, & Garcia, 2012; Ledesma & Burciaga, 2015; Mendez et al., 2015; Santiago & Andrade, 2010; Valdez, 2015).

The challenge however, for merging both an R1 institution that has traditionally centered on organizational identity (Birnbaum, 1988; Scott, 1995; Stensaker, 2015; Tierney, 1988) and an HSI whose designation and identity is centered around organizational culture (Hurtado, 2012; Kuh & Whitt, 1988; Tierney, 1998), is coalescing the outcomes for undergraduate student success. Both entities ascribe to an espoused social mission in advancing scholarship, research and public service (Hirt, 2006); nonetheless, operationalizing a merge combined of both organizational identity and organizational culture (Birnbaum, 1988; Garcia, 2019; Kuh & Whitt, 1988; Kuh et al., 2010; Schuh et al., 2017; Stensaker, 2015; Tierney, 1988) can only be accomplished by the equitable outcomes that students experience by the dual designation.

Demographic Shifts of Latina/os in Higher Education

With the proliferated number of enrollment of Latina/os representing 3 million in higher education (Fry, 2002; Garcia, 2016; Garcia, 2019; Mendez et al., 2015; McFarland et al., 2017), it is imperative that R1 institutions are transparent in the shift and decision-making in seeking the HSI status. Research posits (Contreras & Contreras, 2015; Garcia, 2016; Renn & Patton, 2017) that institutions have not historically been transparent about the decision-making in obtaining the HSI designation. This is often the case as institutions are not distinguishable between institutions who seek to serve Latino/a populations or institutions who receive designation based on demographic growth (Contreras & Contreras, 2015; Garcia, 2019; Mendez et al., 2015). Research also suggests (Contreras & Contreras, 2015; Greene & Oesterreich, 2012; Renn & Patton, 2017) that the HSI designation is often exploited due to the increased number of Latina/os represented in the state or regional demographic, and not to improve equitable educational outcomes specific to Latina/o cultures.

According to Greene and Oesterreich (2012), “HSI is simply a moniker based on Latina/o student body count used for public relations and privileged access to funding rather than practices connected with mission and purpose” (p. 169). As a result, institutions have operationalized the HSI designation due to funding potential as opposed to a more central mission reflective of serving Latina/o populations (Contreras, Malcom, & Bensimon, 2008; Greene & Oesterreich, 2012). Garcia (2019) notes that there are two perspectives which exists within higher learning institutions when operationalizing an HSI designation: (1) institutional theorists define a collective meaningful structure at the field level and as a result, produce institutional success in relation to enrolling Latina/o students, (2) organizational theorists believe that the emphasis should be on culture and making meaning among individuals, as well as enact a culture that is reflective and enhances the racial/ethnic experiences of Latina/os.

Guided by these perspectives, Garcia (2019) also proposes a typology, *The Typology of HSI Organizational Identities* capturing how organizational members “constructed an *ideal* HSI identity drawing on both institutional ways of knowing and aspects of their unique culture” (p. 31). See Table 3 below.

Table 3

Typology of Hispanic-Serving Institutions Organizational Identities

| Typology of Hispanic-Serving Organizational Identities | | | |
|--|------|--------------------|---|
| Organizational Outcomes for Latina/os | High | Latina/o-Producing | Latina/o-Serving |
| | Low | Latina/o-Enrolling | Latina/o-Enhancing |
| | | Low | High |
| | | | Organizational Culture Reflects Latina/os |

Note. Adapted from Garcia, G. A. (2019). *Becoming Hispanic-Serving institutions: Opportunities for colleges and universities*. Baltimore, MD: Johns Hopkins University Press.

Based on Garcia’s (2019) typology illustrating the quadrants of *Latina/o-Producing*, *Latina/o-Serving*, *Latina/o Enrolling* and *Latina/o-Enhancing*, institutions could invariably operationalize the HSI designation to align with an R1’s institutional purpose and mission. A *Latina/o Enrolling* institution would imply meeting the federal HSI designation of enrolling 25% of the FTE undergraduate students who identify as Hispanic or Latina/o, but not necessarily produce equitable outcomes for Latina/os; as the institution would not organizationally be structured (Tierney, 1988) to emphasize a Latina/o cultural or intentional in developing Latina/o students. The *Latina/o Producing* institution would also imply meeting the federal HSI designation in enrolling 25% of the FTE undergraduate students who identify as Hispanic or Latina/o but measure institutional success (Hirschy, 2017) by producing positive outcomes for Latina/os; while remaining deficient in providing a culture that develops or supports Latina/o

students. A *Latina/o-Enhancing* institution would also suggest meeting the federal HSI designation in enrolling 25% of the FTE undergraduate students who identify as Hispanic or Latina/o and culturally support and develop Latina/o students; but does not produce equitable outcomes for Latina/o student success (Hernandez, 2000; Hirschy, 2017; Kuh et al., 2010).

The end goal is for an HSI institution to be considered *Latina/o-Serving*, would be to meet the federal HSI designation in enrolling minimally 25% of the FTE undergraduate students who identify as Hispanic or Latina/o, enhance and enacts cultures reflective of Hispanic and Latina/o populations, while producing equitable outcomes for Latina/os (Contreras et al., 2008; Freeman & Martínez, 2015; Garcia, 2019; Hurtado, 2012; Hurtado & Ruiz, 2012). R1s have the potential to operationalize the HSI designation. However, the challenge for R1s is determining which quadrants (see Table 3 above) an R1 would utilize in operationalizing the HSI designation in relation to the R1's mission and values, governance and organizational structure, and the role of faculty as it relates to student success.

Challenges of Merging of Two Institutional Types

The higher education enterprise and stakeholders adduce student success in a myriad of ways, manifesting a conundrum on what success means for higher learning institutions (Davenport, Martinez-Saenz & Rhine, 2012; Hirschy, 2017). Institutions recognize institutional success by retention and continual enrollment; whereby scholars (Hagedorn, 2005; Hirschy, 2017) argue that persistence regardless of enrollment, defines student success. Despite the different variables for defining student success, higher learning institutions agree that “the shared goal for most students and other educational stakeholders is academic progress” (Hirschy, 2017, p. 254). Scholars also agree (Kuh et al., 2010) that the academic progress of students is more than the academic credit that they earn beyond high school (Carnevale, Rose, & Cheah, 2011)

but by the institutional practices known to lead to high levels of student engagement (Hirschy, 2017; Kuh et al., 2010). Kuh et al. (2010) suggests, “What students *do* during college counts more for what they learn and whether they will persist in college than who they are or even where they go to college” (p.8). As such, R1 institutions who are intentional in operationalizing an HSI designation specific to *Latina/o-Serving* (Garcia, 2019), should consider the institution’s structural elements such as their mission statements, policies and practices, decision-making protocols, and the hiring and tenured decisions of quality faculty (Contreras et al., 2008; Garcia, 2016; Malcom-Piqueux & Bensimon, 2015; Tierney, 1988).

The Organizational Structure of a Dual Designation

Tierney (1991) suggests that an organization’s structure is determined by organizational *culture* and that an organization’s culture can be framed in terms of (1) *environment*, (2) *socialization*, (3) *mission*, (4) *information*, (5) *strategy*, and (6) *leadership*. According to scholars (Bolman & Deal, 2017; Peterson & Spencer, 1990; Tierney, 1990, 1991), organizational *culture* is a social construction and interpretation of ideologies about what an organization values, assumes, and believes about the organization and work. *Environment* refers to the attitude or perception of the organization; *socialization* refers to an organization’s process in socializing its’ members; *mission* is defined by articulation and basis for the organization’s decisions; *information* is detailed by what contextualizes information, who has it, and how its disseminated; *strategy* determines specification to decisions and recourse, as well as, who makes them and; lastly, *leadership* is evidenced by who the informal and formal leaders are and the organization’s expectation of the leader (Tierney, 1991, 1997).

The framing of an organization in terms of a dual designation can be problematic for both R1 and HSIs as the intent for each designation differs in relation to environment, socialization,

mission, information, strategy, and leadership. Scholars argue (Garcia, 2016; Hurtado, 201) that “an institution with a *Latina/o-serving* identity/designation should sustain the culture of Latina/o students while enhancing their educational experiences” (Garcia, 2016, p.118) and that there should be more to a *Latina/o-serving identity* than enrollment and graduation rates. Scholars (Kuh & Whitt, 1988) also contend that for an institution to sustain an organizational culture the context of culture is key. Kuh and Whitt (1988) posit, “Culture is holistic, and context bound; thus, the meaning of events and behavior cannot be fully appreciated apart from the institution in which they occur” (p.8). As much as the designations of an R1 and an HSI are designed to improve an institution’s mission, the complexity lays on the different organizational structures in which the institution implements the tripartite mission of research, teaching and service (Birnbaum, 1988; Hirt, 2006; Eckel & Kezar, 2016). Birnbaum extends, “As colleges and universities become more diverse, fragmented, specialized, and connected with other social systems, the institutional mission does not become clearer; rather it multiplies...” (Birnbaum, 1988, p. 11). As much as the designations of an R1 and an HSI are designed to improve an institution’s mission, the complexity lays on the different organizational structures in which the institution implements the tripartite mission of research, teaching and service (Birnbaum, 1988; Hirt, 2006; Eckel & Kezar, 2016). Birnbaum extends, “As colleges and universities become more diverse, fragmented, specialized, and connected with other social systems, the institutional mission does not become clearer; rather it multiplies...” (Birnbaum, 1988, p. 11). What Birnbaum is contending is that institutions do align with their missions, but that institutions simultaneously embrace an amalgamation of conflicting goals to attain the mission (Birnbaum, 1988). As a result of the amalgamated goals and objectives on the part of R1 institutions to implement the tripartite mission of research, teaching, and service, the HSI designation then

becomes convoluted and fragmented without specification to serve Latina/o populations (Contreras et al., 2008; Garcia, 2019; Hurtado, 2012; Hurtado & Ruiz, 2012; Mendez et al., 2015). This is problematic in that research suggests that Latina/os experience negative outcomes related to high attrition and low completion rates (Fry, 2002; Hurtado & Ruiz, 2012) when institutional environments are not reflective of HSI-specified federal funding focused on Latina/os student success outcomes (Griffin, 2017; Hurtado & Ruiz, 2012; Renn & Patton; 2017; Terenzini et al., 1985).

Complexities of Merging Dual Designations

The complexities of merging two institution types are highly due to the dual policy environments and organizational framework (Tierney, 1988) in which both the R1 and HSI designation operate. The policies surrounding the R1 designation are highly influenced by the Carnegie Classification ranking system which is based on research expenditures, number of research staff, and number of doctorates granted (Boyer, 1990; Kosar & Scott, 2018; Rouse et al., 2018; Tierney, 1999). Additionally, scholars contend (Rouse et al., 2018) that the underlying goal for R1 institutions is to “seek revenue to create a financial base capable of sustaining the substantial unfunded costs of competitive research faculty, staff, and facilities....defining its brand value” (p.2). Scholars (Lee & Rhoads, 2004; Rouse et al., 2018; Tierney, 1988, 1997) also contend that the brand value attracts constituents such as students, faculty, alumni, communities, donors, granting agencies, and foundations; influencing the overall policy and organizational structure of the institution (Tierney, 1988). On the contrary, the policies surrounding the HSI designation have been primarily been influenced by enrollment as oppose to an explicit mission to serve Hispanic student populations (Hurtado, 2003, 2012; Contreras, et al., 2008; Laden, 2004; Santiago, 2006). Research institutions seeking the HSI federal designation have described

the designation in terms of *opportunities* for added funding, universal benefit to the institution, increased enrollment, new opportunities in research, teaching, outreach, and community engagement; without specification to serving Latina/o populations (Contreras et al., 2008; Garcia, 2019; Hurtado, 2012; Hurtado & Ruiz, 2012; Mendez et al., 2015). This is problematic as policies that are effective for the R1 designation may be ineffective for HSIs especially, as it relates to the role of shared governance (Birnbaum, 1988).

Shared Governance and the Role of Faculty Operating a Dual Designation

Research posits that institutional organizations such as universities rely on referent and expert power (Birnbaum, 1988; Kezar, 2017). Historically, the role of shared governance has been complexed in terms of how boards and trustees, university administration and faculty relate to and implement policy (Birnbaum, 1988; 2004; Eckel & Kezar, 2016; Fowler, 2013). Boards have primary jurisdiction in all areas relating to the policies of the institution (Eckel & Kezar, 2016); however, in turn, delegate plenipotentiary of the day-to-day operations over to the President. Additionally, the role of faculty among shared governance is to protect faculty interest and “ensure that institutions maintain fidelity to the academic mission” (Eckel & Kezar, 2016, p.165). If the faculty’s role in shared governance is to maintain the fidelity of academic mission of the institution; what role if any do, they have in the institutional policy-making process of an R1 when granted a federal HSI designation? Schoorman and Acker-Hocevar (2010) contend that faculty struggle for democratic decision-making within autocratic, corporatized organizational cultures and that “commodified orientation to education, undermines the democratic purposes of education” (Schoorman & Acker-Hocevar, 2010, p. 312). Birnbaum (2004) also infers that the role of faculty among shared governance is perceived as unresponsive and inefficient when decisions are not met at the speed of entrepreneurial corporations.

Faculty at R1s are in a juxtaposition to maintain fidelity of the academic mission (Eckel & Kezar, 2016), maintain a normative structure of shared governance (Birnbaum, 1988, 2004) while increasing efforts to generate revenue for themselves and their respective campuses (Lee & Rhoads, 2004). Lee and Rhoads (2004) also contend that generating efforts for increased revenue is highly determined by *faculty entrepreneurship* and the corporatizing of academia in higher education (Schoorman & Acker-Hocevar, 2010). The concept of faculty entrepreneurship has become the primary distinction of research universities (Fairweather, 1988; Lee & Rhoads, 2004), and the ramifications as noted by Schoorman and Acker-Hocevar (2010) have resulted in deleterious policies of teaching and service; negatively, effecting minoritized populations. The role of faculty is further contextualized by the university's commitment and social responsibility to teaching and civic engagement (Dewey, 2016; Bastedo, Altbach, & Gumport, 2016; Cohen & Kisker, 2010; Hirt, 2006; Saltmarsh & Hartley, 2001). An R1s commitment to maintain academic fidelity by operationalizing as an academic corporation creates an impasse between the tripartite mission of research, scholarship and service and the HSI designation; gravely affecting the levels of student-faculty engagement that Latina/o students need to experience success (Hirschy, 2017; Kuh et al., 2010; Rendón, 1994; Rendón & Kanagala, 2014; Tinto, 1993).

The institutional practices of student-faculty contact, cooperation among students, active-learning, prompt feedback, time on task, high expectations and a respect for diverse ways of learning all contribute to academic progress (Hirschy, 2017; Kuh et al., 2010). Faculty play a dynamic role in the maximization of Latina/o student learning efforts and educational outcomes (Anya & Cole, 2003; Kuh et al., 2010; Rendón, 1994; Rendón & Kanagala, 2014; Tinto, 1993); more specifically, faculty play a particular role at HSIs in student persistence as “Latina/o

students who experience a high degree of faculty interaction take a more active role in their education than other students” (Castellanos & Jones, 2003, p. 8; Tinto 1993).

Policies, Procedures, and Practices

Policies, procedures, and practices, differ for both the R1 institution whose organization is rooted in identity (Boyer, 1990; Brown & Mayhem, 1965; Carnegie Foundation, 2001; Cohen & Kisker, 2010; Pak, 2008; Tierney, 1988, 2008; Tierney & Bensimon, 1996) and the HSI whose federal designation was a result of (1) the demographic growth of Hispanics, (2) high shifts in Latina/o migration patterns and, (3) the racializing of Hispanics in higher education (Carr & Kutty, 2008; Contreras & Contreras, 2015; Cobas et al., 2009; Garcia, 2019; Greene & Oesterreich, 2012). As such, the dual policy environments (Birnbaum, 1988; 2004; Eckel & Kezar, 2016; Fowler, 2013) for both the R1 and HSI are dependent on the organizational culture and socially constructed environments of these institutions (Castellanos & Jones, 2003; Garcia, 2019; Hirt, 2006; Hurtado, 2012; Mendez et al., 2015; Renn & Patton, 2017).

Institutional Policies

The formal structure of shared governance for R1s is generally laid out in the traditional governing framework of the legal authority by trustees, university administration, and the professional role of faculty (Birnbaum, 2004). However, it is in the micro and meso levels of R1 institutions that faculty governance is most significant in the day-to-day operations of academia; as oppose to the macrolevel where trustees and university administration ensure the institution’s commitment in achieving external stakeholder goals and a strong financial institutional base (Austin & Jones, 2016; Rouse et al., 2018). For instance, faculty shared in the formalized structures of institutional policies and shared governance in voting and decision-making of the selection of a President/Provost and AVP, setting strategic priorities, and setting budget priorities

(Tierney & Minor, 2004). Additionally, it is within the macrolevel that the policy environment and underpinnings of the organization are evident within the micro and meso level of R1 institutions (Austin & Jones, 2016; Tierney, 1988, 2008; Tierney & Bensimon, 1996).

Departmental Procedures

The organizational culture of R1s can be identifiable in having very high research activity, individualized faculty research, specialization in the generation of new knowledge, and a corporate structure (Birnbaum, 1988; Carnegie Foundation, 2001; Hirt, 2006; Kerr, 1963; Kezar & Eckel, 2004; Kosar & Scott, 2018; Tierney, 2008; Tierney & Bensimon, 1996). However, within these institution research (Austin & Jones, 2016) posits, that “Governance is essential to the functioning of higher education at all levels, from the basic academic unit of the department microlevel, to the level of the organization mesolevel and at the level of the higher education system macrolevel” (p. 2). As an example, faculty provide the legitimacy of shared governance in matters pertaining to undergraduate curriculum, tenure and promotion standards, and standards for evaluating teaching, often through a consensus of voting or policy proposing (Tierney & Minor, 2004). As such, these levels of systems and structures are distinct elements in which R1s differ in their governance processes and functions when compared to other types of higher learning institutions (Austin & Jones, 2016; Birnbaum, 1988; Kosar & Scott, 2018; Tierney & Minor, 2004; Tierney & Bensimon, 1999).

Faculty Practices

The tripartite mission of research, teaching, and service within research institutions have traditionally defined the scope of faculty work for research institutions (Birnbaum, 2004; Hirt, 2006; Tierney, 1999). Faculty practices at R1s contribute to the output of the university in the form of policy proposals, articles, citations, total revenue, surplus deficit, brand value, to name a

few (Rouse et al., 2018). However, the institutional policies at R1 institutions have evolved in centering on the economic and political landscape of the U.S. and as a result, has shaped the underlying policy frameworks for productivity and faculty rewards (Fairweather, 1999; Layzell, 1999; Lee & Rhoads, 2004). As such, faculty input cannot be overlooked as faculty are at the core of governance in higher education. Shared governance among faculty is reflective of an institution's commitment, mutual respect, and trust in faculty for their contributions in the higher educational enterprise (Birnbaum, 2004). The success of an institution is highly dependent on faculty collaboration as their role in shared governance provides the equity in decision-making needed for all constituents of the institution but most significantly for undergraduate education (Bejou & Bejou, 2016; Birnbaum, 2004; Kuh et al., 2010; Pascarella & Terenzini, 1991).

Dual Policy Environments

The complexities of merging two institution types can be attributed to the policy environments and organizational frameworks (Garcia, 2019; Tierney, 1988, 2008) in which both the R1 and HSI designation operate. R1s are challenged with the dual frameworks of both the Carnegie Classification and HSI designation which is often determined by the policy environment of the R1 institution (See Figure 4 below).

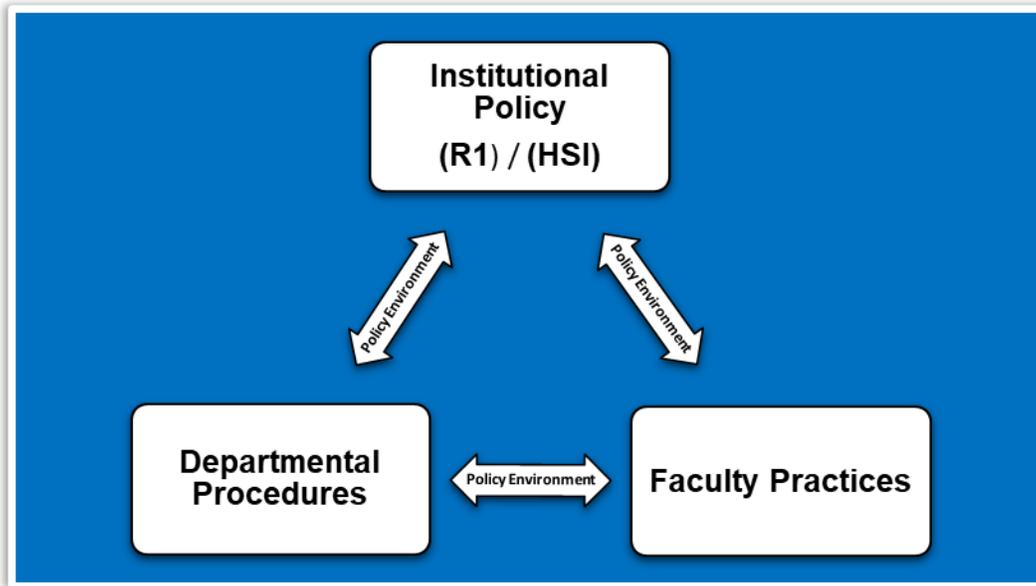


Figure 4. The Multidirectional Process of Institutional Policy for R1s' Operationalizing an HSI.

The policy environment for both the R1 and HSI is multidirectional in nature as institutions of higher learning must account for the formalized structures of shared governance (Birnbaum, 1988; 2004; Eckel & Kezar, 2016). However, as an example R1s could inevitably propose standards of best practices though institutional policies relating to matters of academia (Tierney & Minor, 2004). This would allow institutions to maintain the core principles of academic freedom and the formalized structures of governance in which faculty have a decisive vote (Academic Freedom and Tenure, 1969; AAUP and CAUT censure lists, 2007; Birnbaum, 1988, 2004; Bejou & Bejou, 2016; Finkin & Post, 2009; O'Neil, 2016). Such examples could include institutionalizing the onboarding of faculty to specifically address their roles as it pertains to the HSI designation entails (e.g., asset-based lens to frame student population, best teaching practices that can aid in Latina/o student success).

Although R1 institutions rely on referent and expert power (Birnbaum, 1988; Kezar, 2017), these institutions are still held accountable to the core principles of academic freedom

(Academic Freedom and Tenure, 1969; AAUP and CAUT censure lists, 2007; Birnbaum, 1988, 2004; Bejou & Bejou, 2016; Finkin & Post, 2009; O’Neil, 2016). In addition, HSIs were developed retroactively in response to the social responsibility of higher education (Garcia; 2019; Hirt; 2006; Ledesma & Burciaga, 2015; Mendez et al., 2015). As a result, the HSI federal designation does not correlate to a particular institutional structure (Garcia, 2019; Hirt, 2006) but rather is identifiable by the students they serve (Hirt, 2006); and therefore, HSIs enact policies, procedures, and practices, within the policy environments of the institutional host. As such, as this literature review section has indicated, there remains a gap in evidence of how the HSI designation operates at an R1 institution.

CHAPTER III: METHODOLOGY

Qualitative research methods studies deal with multiple realities (Lincoln & Guba, 1985) and can inform professional practice or evidence-informed decision-making in both clinical and policy realms (Baxter & Jack, 2008). As such, this research utilized a case study method of inquiry (Creswell & Creswell, 2018; Erlandson, Harris, Skipper, & Allen, 1993; Glesne, 2016; Yin, 2009) to critically examine the roles of faculty among shared governance when a Research University (R1) as classified by the Carnegie Classification System (Boyer, 1999; Carnegie Foundation, 2001; Kosar & Scott, 2018) operationalizes an Hispanic-Serving Institution (HSI) federal designation. Additionally, this case study also examined how R1 institutions enact the HSI designation in relation to Latina/o student success as relates to faculty roles and responsibilities.

Research Design

A research design is a logical sequence that connects data to a study's initial research question and conclusion (Yin, 2009). For this naturalistic design, a case study was used to allow for logical dependence of a study, undergirded by a naturalistic paradigm (Lincoln & Guba, 1985) and interdependence as inquiry outcomes depend on the quality of interaction between the researcher and respondents. The case study design was used for this study as it is the best method to allow for adaptability of researcher and interaction with the site and participants, and it provided a basis for a natural emergence of data, and transferability of findings supported by a thick description in which it was situated (Banda, 2017; Creswell & Creswell, 2018; Erlandson et al., 1993; Glesne, 2016; Lincoln & Guba, 1985; Prior, 2003; Yin, 2009). Through a method of naturalistic and critical inquiry, this case study inquired about the roles of faculty among shared governance when an R1 is granted HSI status and the institutional policymaking process the R1

undergoes in aligning institutional mission with faculty roles and responsibility once receiving the HSI designation. This case study also examined how R1 institutions operationalize an HSI federal designation in relation to Latina/o student success, relating to faculty roles and responsibilities. The study design will further be detailed in the subsequent sections: *Naturalistic Inquiry, Research Questions, Case Study, IRB Approval, Data Collection, Data Analysis, and Trustworthiness.*

Naturalistic Inquiry

In behavioral research, naturalistic inquiry is the function of how a naturalistic investigator functions (Lincoln & Guba, 1985). Naturalistic inquiry operates within two principles of investigation first, no manipulation on the part of the inquirer, and secondly, the inquirer poses no a priori in relation to the study or between the inquirer and respondents (Lincoln & Guba, 1985). As such, a constructivists paradigm framed this case study (Guba, 2013). Constructivism considers multiple perspectives and aligns with naturalistic research on several fronts. Constructivism can also be assumed objective (Erlandson et al., 1993) as all paradigmatic lenses are considered relevant (Kuhn, 1993) and secondly, constructivism operates as a testament of expression in understanding directionality of context in relation to qualitative research (Erlandson et al., 1993). As such, the goal of the case study was to rely as extensively (Creswell & Creswell, 2018) as possible on the participants' view of the experience or situation in the form of inquiry and documented analysis (Erlandson et al., 1993; Glesne, 2016; Lincoln & Guba, 1985; Prior, 2003).

Research Questions

Given the governance structures of higher learning institutions, the case study critically examined the role of faculty among shared governance when an R1 is granted HSI status and the institutional policymaking process the R1 undergoes in aligning institutional mission with

faculty roles and responsibility once receiving the HSI designation. Additionally, this case study also examined how R1 institutions operationalize the HSI designation in relation to Latina/o student success. The overarching research question and ancillary research questions were as follows:

PRQ: What role, if any, do faculty have in the institutional policy-making process of an R1 when granted a federal HSI designation?

RQ1: In what ways, if any, does an HSI designation prompt faculty at a R1 university to re-examine departmental policies to ensure equity for their respective students as it pertains to degree completion?

RQ2: In what ways, if any, does an HSI designation prompt faculty at R1 institutions to redefine their teaching pedagogy to meet the learning needs of their respective students?

Case Study

The qualitative case study approach has been postulated as the choice avenue for relating and reporting results for findings of a naturalistic study (Erlandson et al., 1993; Lincoln & Guba, 1985). Case studies are a design of inquiry, highly involving evaluation in which a researcher can develop an in-depth analysis of a case (Creswell & Creswell, 2018) as well as become epistemologically in harmony with the participants' paradigm (Erlandson et al., 1993; Lincoln & Guba, 1985). Additionally, case studies are “built on data derived from the key human sources in various social settings and enriched with data from documents and records” (Erlandson et al., 1993, p. 17). Case studies also allow for researcher reflexivity and the richness of real-life context that is essential in triangulating multiple sources of evidence over a sustained period of time (Creswell & Creswell, 2018; Yin, 2009). More specifically, a single-case study as posited by Yin (2009) “can be used to determine whether a theory’s prepositions are correct or whether

some alternative explanations might be more relevant” (p. 47). As such, this case study employed a single case study approach, whereby the participants are context bound to the study and the researcher collects detail information of participants using a variety of data sources (Creswell & Creswell, 2018; Yin, 2009). In addition, this single-case approach relied on multiple sources of evidence such as semi-structured interviews, demographic sheets, and CVs to serve as data convergence in constructing triangulation (Glesne, 2016; Lincoln & Guba, 1985; Yin, 2009).

Description of Participants and Site Selection

The focus of inquiry is what describes “thick description” and should be concluded at the genesis of a study in order to focus on the most salient features of the study (Lincoln & Guba, 1985). Glesne (2016) also posits that the end goal of thick descriptions for participants is observation of the research setting, and along with the observation of participants within their setting and their behavior (Glesne, 2016). It is through the process of thick description where the validity of the naturalistic study can allow a more active role for the reader (Erlandson et al., 1993). Within the context of this study, one way in which thick description was achieved, is that participants were selected through a process referred to as *purposive sampling* (Erlandson et al., 1993). This process identified potential participants gathered by a selection criterion (Glesne, 2016) based on the RQ examining assistant professor faculty roles and responsibilities at R1 institutions who have a federal HSI designation. A strategy for this type of qualitative methodology was developed as well as a rationale for the site selection; offering a *thick description* (see also *Transferability*) in which participants would be situated (Erlandson et al., 1993; Glesne, 2016; Lincoln & Guba, 1985). Participants were selected using *purposive sampling*, which is a naturalistic practice “to maximize the range of specific information that can

be obtained from and about that context” (Erlandson et al., 1993, p. 33). Purposive sampling is also utilized (Erlandson et al., 1993) for the determination of participant demographic, reflections, and clarity in which the study was situated and resulted in thematic categories. There was a total of 10 participants selected; 5 were selected from each of the site selections. Additionally, purposive sampling of participants was based on faculty rank; specifically, tenure-track assistant professors as minimal empirical data exists about their roles and responsibilities at R1 institutions when granted an HSI federal designation. Within the context of this study, purposive sampling was reflected in the criteria for participants: assistant professors who work at institutions with dual designations of both the R1 and HSI. Additionally, participants ranged in variety of academic disciplines, years of service, and work percentages. (See Table 4 below.)

Table 4.

***Participants' Name, Institution Description, Academic Discipline, Faculty Rank, Years of Service and Work Percentages*

| Participant Name/ Pseudonym | Faculty Rank | R1 w/ HSI Designation | Academic Discipline | Years of Service | Workload Percentages (R)esearch_% (T)eaching_% (S)ervice_% |
|--------------------------------|---------------------|-----------------------|---------------------|------------------|---|
| Andrea | Assistant Professor | R1-1 | Natural Sciences | 3-6yr. | (R) 60% (T) 25% (S)15% |
| David | Assistant Professor | R1-1 | Human Medicine | 0-3yr. | (R) 50% (T) 40% (S) 10% |
| Jane | Assistant Professor | R1-1 | Social Sciences | 0-3yr. | (R) 60% (T) 30% (S) 10% |
| John | Assistant Professor | R1-1 | Applied Sciences | 0-3yr. | Unknown |
| Tabitha | Assistant Professor | R1-1 | Social Sciences | 3-6yr. | (R) 50% (T) 30% (S) 20% |
| Allison | Assistant Professor | R1-2 | Natural Sciences | 0-3yr. | (R) 70% (T) 25% (S) 5% |
| Christine | Assistant Professor | R1-2 | Social Sciences | 3-6yr. | (R) 60% (T) 30% (S) 10% |
| Ida | Assistant Professor | R1-2 | Social Sciences | 0-3yr. | (R) 70% (T) 20% (S) 10% |
| Jack | Assistant Professor | R1-2 | Applied Sciences | 0-3yr. | (R) 40% (T) 40% (S) 20% |
| Jord | Assistant Professor | R1-2 | Applied Sciences | 0-3yr. | (R) 40% (T) 40% (S) 20% |

*Self-selected pseudonyms

Assistant Professors. The rank of tenure-track assistant professors was intentional for the participant selection criteria due to their faculty roles and responsibilities at R1s. Research and scholarship have historically been the driving force for faculty at research institutions (Brown & Mayhem, 1965; Hirt, 2006; Rouse et al., 2018; Tierney & Bensimon, 1996) which has resulted in research university faculty members teaching fewer students and fewer courses than those at any other types of institution (Cotton & Price, 2006; Hirt, 2006; Hollman, Bice, Ball, Bickford, Shafer, & Bickford, 2018). For research institutions, contingent faculty represent 85% of the

faculty demographics, generally being tenure-track assistant professors (Hirt, 2006; Holland et al., 2018; Jones, Hutchens, Hulbert, Lewis, & Brown, 2017; NCES, 2015). For faculty at HSIs, they play a particular important element in student persistence as “students who experience a high degree of faculty interaction take a more active role in their education than other students” (Castellanos & Jones, 2003, p. 8; Tinto 1993). As such, the academic environment remains challenging for Latina/o students in higher education as the paucity of research is limited on the demographics of faculty representation at HSIs, including that of the roles and responsibilities of assistant professors (Banda et al., 2017; Hirt, 2006; Santiago & Taylor, 2017).

Site selections. The study was conducted at two separate universities, in two different states. Both institutions are Research Universities (R1) as classified by the Carnegie Classification System (Boyer, 1999; Carnegie Foundation, 2001; Kosar & Scott, 2018) having received a Hispanic-Serving Institution (HSI) federal designation. The HSI designation as defined by Section 316, Title III, Part A of the HEA of 1992 (Congress of the United States, 1991), includes any institution of higher education (IHE) with a full-time undergraduate enrollment (FTE) composed of 25% identifying as Hispanic, as well as 50% of those being first-generation and low-income. Both institutions also have a high undergraduate enrollment and are primarily located residentially in states with high Hispanic populations. Additionally, the Strategic Plans for both site selections were examined to identify if key initiatives existed at the R1 institutions in relation to operationalizing the HSI designation. The Strategic Plans were similar in that they included concepts of globalized research, data driven research, health, and community sustainability initiatives, to name a few. However, neither site selection included key initiatives in their Strategic Plans as it related to the HSI designation.

IRB Approval

Before data collection occurs, an ethics committee known as the Institutional Review Board (IRB) granted approval for this research study. IRBs exist on institutions of higher learning as a federal regulation in providing protection against human rights violations (Creswell & Creswell, 2018). Researchers directly interact with human subjects through contact such as with interviews and the potential use of participants records (Yin, 2009). As such, the IRB allows for the researcher to assess the potential risks for participants as all participants had to consent to participate before data collection could begin. Participants were required to electronically acknowledge consent agreeing (Creswell & Creswell, 2018) to the terms and provision of this case study before data collection could commence. Additionally, IRB was granted and approved by both site selections as both institutions differ from the home institution.

Gatekeepers. In addition to the IRB, it was essential to gain access to research or archival data by obtaining approval from *gatekeepers*. Gatekeepers are individuals who have the authority to provide access to the site and allow or permit the research to be done (Creswell & Creswell, 2018; Glesne, 2016). A brief proposal and local IRB approval was submitted for review to the gatekeepers and included “why the site was chosen, what activities will occur at the site during the research study, will the study be disruptive, how will the results be reported, what will the gatekeepers gain from the study” (Creswell & Creswell, 2018, p. 185). See the *Data Collection* section for further details pertaining to gatekeepers.

Data Collection

Qualitative research methods employ data collection (interchangeably with data production) assumes prevailing naturalistic paradigms (Erlandson et al., 1993; Glesne, 2016; Lincoln & Guba, 2013). It is through this process whereby the researcher employs methods or techniques to create axiology (Lincoln & Guba, 2013) in order to obtain triangulation

(interchangeably with crystallization) of data sources (Glesne, 2016; Lincoln & Guba, 1985). Triangulation of data are essential for naturalistic studies (Erlandson et al., 1993; Lincoln & Guba, 2013). Erlandson et al. (1993) posits “by this method the researcher seeks out several different types of sources that can provide insights about the same events or relationships” (p.113). As such, steps were taken by the researcher to validate findings with additional sources (Lincoln & Guba, 1985) such as demographic profiles and additional documentation in the form of CVs. Techniques used in the data collection process for this study consisted of document analysis (Prior, 2003) and transcribed digitally recorded interviews utilizing a semi-structure interview protocol.

Interviews. A semi-structured interview protocol was used for this case study. Semi-structured interviews are: (1) designed questions that fit the research topic, (2) used to learn what cannot be seen, (3) identifies things the researcher wants to understand, (4) generates data to understand the topic being researched, and (5) is contextual and specific to the research agenda (Banda, 2017). The interview protocol was effectively framed in asking reflexive questions (Glesne, 2016; Lincoln & Guba,1985) such as, experience or behavior questions, opinions or values questions, feelings questions, knowledge questions, sensory questions, background or demographic questions (Banda, 2107). Additionally, the interview protocol avoided “yes” or “no” questions, leading questions, multiple choice questions, factual questions, uncomfortable questions, and why questions (Banda, 2017); to ensure trustworthiness and co-constructed knowledge of researcher/participant.

Additionally, constructing the interview protocol accordingly undergirded the researcher’s ability to put into a larger context the interpersonal, social, and cultural aspect of the environment (Erlandson et al., 1993; Glesne, 2017; Lincoln & Guba,1985). A commonly used

interview is known as a semi-structured (Banda, 2017; Erlandson et al., 1993) which is exploratory in nature and leaves room for deviation based on participant responses. As part of the interview protocol, the last question in the interview allowed for participants to address additional experiences in relation to the case study being investigated (Banda, 2017) as a way of allowing voice or experiences to be understood. All interviews for this study were conducted on an electronic platform.

Digitally recorded interviews. The data produced from the digitally recorded interviews used a semi-structured interview protocol (Erlandson et al., 1993; Glesne, 2016; Lincoln & Guba, 1985) as the primary method of procuring data. As with qualitative studies, a strategy for employing data collection is necessary in designating where the inquiry will take place as well as selection of participants (Glesne, 2016). The inquiries were constructed using a cellphone application-recording device known as Voice Memo and a digital recording device. The application for the phone is standard software provided with all Apple generation phones since the genesis of Apple iPhone 4S. Once the inquiries were completed, the interviews were transcribed verbatim and detailed using a digital translation device known as Sonix.

Observations. As an attempt to achieve a thick description for this case study the systematic process of triangulation was employed in which researchers examine fieldwork notes from observations, interviews, and documents pertaining to case the study. Observations allow for the researcher to construct meaning of participants and their experiences. The process of qualitative inquiry is largely inductive, and as such the researcher generates meaning from the data collected (Creswell & Creswell, 1985). Observations such as interviews “are likely to take different forms at different stages of the interview” (Lincoln & Guba, 1985, p. 275). The observations eventually become more focused as to permit the researcher to expand on the tacit

knowledge (Lincoln & Guba, 1985) and to determine what is most salient and relevant to the case study.

Demographic sheet. Demographic sheets allowed for the researcher to reflect on the different values systems participants embraced (Creswell & Creswell, 2018). The observation and collection of the demographic sheet also allowed the researcher to validate the respondents claims and provided the triangulation (Glesne, 2016; Lincoln & Guba, 1985) needed for allowing multiple perspectives to exist. Additional documentation such as the demographic sheet illuminated limitations and inconsistencies of any existing complex situations (Glesne, 2016). Within the context of this study, participants were asked to complete a demographic sheet noting information regarding nationality, gender, faculty rank/title, high school attended, research interest, to name only a few.

CVs. A Curriculum Vitae also known as a CV, provides additional thick description and validity of participants (Erlandson et al., 1993). Much like the demographic sheets, the CVs allowed for the researcher to reflect on the different values systems participants embraced (Creswell & Creswell, 2018). The collection of the CVs is open access public documentation that allowed for the researcher to validate the respondents claims and provided the triangulation (Glesne, 2016; Lincoln & Guba, 1985). Within the context of this study, participants were asked to email the researcher an updated copy of their CV to further build the thick description of participants' profile. CVs indicated participants' experiences with undergraduate teaching, extensive amounts of external grant funding, and degree completion from major research institutions. The CVs also detailed the interdisciplinary nature of publications in top tier journals as it relates to specializations of human medicine, science, social sciences, humanities, and globalization.

Confidentiality. Confidentiality within a naturalistic study is achieved by protecting the privacy and confidentiality of participants (Yin, 2009). As a result of participating in the study participants should not be unwittingly placed in any undesirable position (Yin, 2009) and should be informed about the process qualitative researchers employ to maintain confidentiality (Creswell & Creswell, 2018). Participants were coded upon completion of the semi-structured interviews using self-selected pseudonyms as to not have any identifiers associated with participants. Additionally, the site selections were also assigned pseudonyms to protect the identities of the participants (Creswell & Creswell, 2018). For this specific study, participants were given a copy of the consent form prior to agreeing to participate. Potential participants were given an informed consent form that disclosed how information would be shared and remain confidential (also see *Codification* and *Trustworthiness* for further details pertaining to *Confidentiality*).

Data Analysis

Data analysis is the systematic process by which researchers bring order, structure and meaning to the overall data collection (Banda, 2017; Erlandson et al., 1993). Upon the construction of data analysis, it is important to note that data collection is central to the participants as human instruments and therefore, the data is immediately unknown (Erlandson et al., 1993). The aforementioned notation is characteristic of a qualitative study and does not assume an a priori (Lincoln & Guba, 1985). The triangulation of the data (Glesne, 2016) is examined in intricate detail as data cognates are significant to the entirety of case study being examined (Lincoln & Guba, 1985). Within the process of crystallization (Glesne, 2016), *themes* emerged through *categories* of data collected from the *unitization of the data* in the form of *digitally recorded interviews, document analysis* and the process of *codification*.

Data units. For this particular study, the data was analyzed and unitized congruently with that of the digitally recorded interviews and data analysis via the observations, demographic sheets, and CVs as well as the utilization of field notes/log. The field notes or field logs can be viewed as the primary recording tool for the qualitative researcher (Glesne, 2016). The units of data or the unitization of data is the process whereby information from the data collection served as the basis for defining categories (Lincoln & Guba, 1985). The unitization process was completed once the data reduction could no longer be parsed into the smallest unit as possible (Banda, 2017). The interviews were transcribed verbatim and then transposed into units. The unitization of data is the process whereby the data is unitized, categories emerge, and themes are designated (Erlandson et al., 1993; Glesne, 2016; Lincoln & Guba; 1985). It is through this process of unitization of data where the extraction of content analysis began (Lincoln, & Guba, 1985). As such for this specific study, the document analysis was explored in tandem with the digitally recorded interviews.

Unitizing of Data. In the process of transcribing the digitally recorded interviews for participants, both the transcribed interviews and document analysis were transferred on to a Microsoft Word, and then onto an Excel document as part of the audit trail and documentation merge for unitizing and coding data. This data collection process evolved into what is known as the researcher's data display (Glesne, 2016) and later provided the data needed for data analysis.

Codification. Upon completing the unitization of data, the process of coding was initiated. The process of coding can be referred to as the focus or sifting through captured and synthesized data (Charmiz, Thornburg, & Keane, 2018). The data can also be construed as segments of data which in turn can account for categories. For this specific study, the preceding description of coding was employed followed by the corollary emergent of categorical

conceptualized themes. Additionally, the Excel document served to facilitate the coding and analysis of the qualitative data and the integration of demographic data for this case study. The coding designation was also constructed specifically to either a source, participant, site selection and/or a compilation of all three designations (Lincoln, & Guba, 1985).

Categories and Patterns Discovered. Erlandson et al. (1993) posit emergent category designation entails sorting units of data and assigning the units a category. As a result, characteristics of thoughts, settings, coupled with researcher theoretical background allowed for emergence of thematic categories. As with this study, the position of Erlandson et al. (1993) notion can be true in sorting categories with a critical theory perspective in mind. The data content was then transferred categories, into subcategories and finally themes and subthemes (Charmiz, et al, 2018). The process was repeated continually, until the completion of the study (Erlandson et al., 1993).

Themes Identification. The process of data analysis is essentially a synthesizing process, which results in constructed emergence of categories and themes (Lincoln & Guba, 1985). Once the process of collapsing categories into themes is completed then the emergence of findings began, as findings are a direct result of emergences. As with this study, the both Microsoft Word and Excel were used in sorting based on documentation of participants' narration of phrasings, setting, reflection, experiences, and perception. Once this process was completed the digitally recorded interviews transcriptions and document analysis were revisited and color-coded by patterns and categories.

Assuring Trustworthiness

Trustworthiness is a term coined by Lincoln and Guba (1985) as part of their seminal work and contribution to qualitative research, which without, qualitative studies may be

subjected to scrutiny as a way of delegitimizing the research. In addition, trustworthiness is an attempt to display an isomorphic relationship between what is known and what is unknown as a form of credibility (Erlandson et al., 1993) as a single reality is subjective. Without trustworthiness, the truth-values of *credibility*, *transferability*, *dependability* and *confirmability* could not exist (Banda, 2017). The following section will describe the truth-values for which trustworthiness will be exhibited throughout this study.

Credibility. A characteristic of *Credibility* or triangulation (Lincoln & Guba, 1985) or crystallization (Glesne, 2016) is essential to a naturalistic study. This term denotes the use of multiple data sources, multiple data-collection, multiple investigators, and multiple theoretical frameworks (Glesne, 2016) to validate data and data content. Data sources should not be taken into consideration unless it can be validated across multiple sources (Lincoln & Guba, 1985). As such, this study used a semi-structured interview protocol as a primary method of data collection along with ancillary documentation such as document analysis, CVs, and participation observation, to explore understanding about this case study. Within *Credibility* denotes *Prolonged Engagement*, *Persistent Observation*, *Member-Checking*, *Audit Trail/ Referential Adequacy Materials*, *Peer Debriefing*, and *Triangulation/Crystallization*, each are detailed in the subsequent section.

Prolonged engagement. Prolonged engagement notes the time in which a researcher spends in the context being studied (Banda, 2017; Erlandson et al., 1993). As multiple realities exist between participants and investigator, it is imperative that *member-checking* was utilized in experiencing the same paradigmatic lens (also see *Confirmability*).

Member checking. This process of restating information to participants for clarity and accountability is a form of trustworthiness and contextualize the trustworthiness criteria in

relation to the study (Banda, 2017; Lincoln & Guba, 1985). Data could not be verified unless member checking was employed to verify that both data and interpretation of the data had been recorded according to participants observations/perspectives (Erlandson et al., 1993).

Audit Trail/Referential Adequacy Materials. The *Audit Trail/Referential Adequacy Materials* refers to the extent for which the researcher is transparent throughout the study by way of referential adequacy materials, reflexive journals, field notes, and audio transcriptions for the purposes of trustworthiness and transferability. Additionally, all referential adequacy materials were utilized throughout the study to establish confirmability (Erlandson et al., 1993).

Peer debriefing. Peer debriefing denotes the process for whereby the researcher removes themselves from the context being studied and analyzes the data with a professional familiar with the content (Erlandson et al., 1993). For this study, *Peer Debriefing* was exercised with faculty, colleagues, and community members familiar with content to provide feedback and to refine and redirect the inquiry process as needed (Erlandson et al., 1993).

Transferability. *Transferability* is a characteristic of trustworthiness, as a part of credibility in constructing a thick description to which findings can be transferred or applied to other contexts (Banda, 2017; Erlandson et al., 1993; Lincoln & Guba, 1985). Transferable findings, as posited by Glesne (2016), details that a separation must be made between theoretical interpretations and participants' narratives. Future researchers who wish to use transferable findings particularly specific to this case study will be responsible for determining its transferability. This concept is a skill set which requires independent judgment as with qualitative studies for the researcher to make the implicit explicit for reader comprehension (Erlandson et al., 1993). Within the context of this study, demographic sheets and CV's were collected in order to provide a thick description of participants (see also *Transferability*) and site selection in which participants were situated

(Erlandson et al., 1993; Glesne, 2016; Lincoln & Guba, 1985). The goal of thick description for participants observed in the research setting allowed for the description of participants within the setting as well as their behavior (Glesne, 2016). It is through the process of thick description where the validity of the naturalistic study allowed a more active role for the reader (Erlandson et al., 1993).

Dependability. The main characteristic of *dependability* is the authenticity to which the methods within the study could be transferable. It is the criterion of consistency, which the audit trail is essential in evidencing *dependability* (Banda, 2017). The researcher must assess appropriateness (Erlandson et al., 1993) of inquiry as in the case of reflexive journals noting methodical shifts and juxtaposed researcher bias. This study employed both a reflexive and methodological journal to ensure dependability of this particular study. As an acknowledgment to the researcher as the human instrument (Lincoln & Guba, 1985), a reflexive journal was used to ruminate daily in recording a variation of methods and reflexive information of self. Within the context of this study, the researcher maintained a reflexive journal with daily entries detailing positionality and biases related to participant data. By utilizing reflective journals, the researcher established trustworthiness in avoiding biases of values and interest influenced by outcomes (Lincoln & Guba, 1985).

Confirmability. Confirmability is viewed in terms to the degree in which findings are the focus of inquiry not researcher bias (Erlandson et al., 1993; Lincoln & Guba, 1985).

Confirmability related to the audit trail (Banda, 2017) as a way of establishing objectivity through methodology, replicable methods, and researcher positionality. The audit trail was essential for ensuring *dependability* needed for *transferability*; without it, *confirmability* was not

possible (Banda, 2017; Erlandson et al., 1993) and most significantly, trustworthiness could not have been established.

Limitations and Delimitations

In establishing trustworthiness of data, it is essential that the researcher realize both the limitations and delimitations of the study (Glesne, 2016). Limitations denotes why the researcher has set boundaries or has dismissed the possible use of certain groups not included in the research. For this particular case study, only the role of tenure-track assistant professors was examined as oppose to all other faculty ranks as empirical research is limited to their roles and responsibilities at R1 institutions when granted an HSI federal designation. Delimitations in a naturalistic study, such as the case study are usually determined concerning aspects that are beyond the control of the researcher or encounters of obstacles not previously known (Glesne, 2016). For this particular case study, a possible delimitation would be acquiring the number of participants needed for the study due to constraints of participants' availability. Another delimitation is the current national crisis of COVID-19 that required all interviews to be conducted via an electronic platform. Additionally, the aforementioned circumstances did not allow the researcher to visit the respective site selections.

Researcher Positionality

Positionality is vital in understanding the researcher's subjectivity to the study (Glesne, 2016). Naturalistic paradigms affirm the symbiotic influence in which researcher and participants have with one another (Erlandson et al., 1993). As such, it is imperative as the research instrument that I acknowledge my positionality to this study (Erlandson et al., 1993; Guba, 1981) in establishing trustworthiness. As a Latina, first-generation college student, and currently a doctoral student, I have experience in working in higher education at a 4-year private institution

but also at a 4-year HSI. As a former resource manager and developer for a Title V Developing Hispanic Serving Institution (DHSI) grant, I understand first-hand how cultures found within universities can affect the processes of creating and institutionalizing programming for supporting Latina/os and how Title V grants can be mismanaged when there is lack of experience and support for understanding Latina/os populations. I want to be transparent in relaying as the researcher that I too have had a role in replicating the cycle of ignorance in supporting Latina/os because I lacked the tools needed in asking critical questions on how we can better support Latino/as in higher education. There are distinctions in governance among faculty roles for both research institutions and HSIs to which I gained understanding throughout this study. I do not yet possess a terminal degree, nor do I fully understand the demands of productivity for faculty at research institutions. However, as a researcher, and future faculty member, it is imperative that I contribute and bring awareness to the praxis of equity in education that contribute to Latina/o academic student success outcomes. As we continue to experience the tectonic demographic shift of Latina/os in the U.S., policies and practices must be implemented in order to undergird and support the success of this growing demographic. The academic and economic successes of the Latina/o populations is the academic and economic success of all Americans.

CHAPTER IV: FINDINGS

Assistant tenure-track professors at Hispanic-Serving Institutions play a particular important element in student persistence, as “students who experience a high degree of faculty interaction take a more active role in their education than other students” (Castellanos & Jones, 2003, p. 8; Tinto 1993). As such, the academic environment remains challenging for Latina/o students at R1 institutions when granted an HSI designation as the paucity of research is limited on the demographics of faculty representation at HSIs, including that of the roles and responsibilities of tenure-track assistant professors (Cotton, 2006; Banda et al., 2017; Hirt, 2006; Santiago & Taylor, 2017).

Given the governance structures of higher learning institutions, this case study critically examined the role of assistant tenure-track professor in view of shared governance when an R1 is granted HSI status, and the institutional policymaking process the R1 undergoes in aligning institutional mission with faculty roles and responsibility once receiving the HSI designation. The overarching research question and ancillary research questions were as follows:

PRQ: What role, if any, do faculty have in the institutional policy-making process of an R1 when granted a federal HSI designation?

RQ1: In what ways, if any, does an HSI designation prompt faculty at a R1 university to re-examine departmental policies to ensure equity for their respective students as it pertains to degree completion?

RQ2: In what ways, if any, does an HSI designation prompt faculty at R1 institutions to redefine their teaching pedagogy to meet the learning needs of their respective students?

For this case study, only the role of tenure-track assistant professors was examined as oppose to all other faculty ranks as empirical research is limited to their roles and responsibilities

at R1 institutions when granted an HSI federal designation. As such, this qualitative study employed a case study method of inquiry whereby, 10 assistant tenured-track professors, five from R1-1 and five from R1-2, were interviewed via a one-hour phone interview. Participants also completed a demographic sheet and 9 out of 10 submitted a current CV for data analysis.

The themes and sub-themes that emerged from data analysis were briefly outlined in chapter 3, the rest of this chapter details the experiences of assistant tenured-track professors at R1 institutions when granted an HSI designation. Additionally, the themes and sub-themes that emerged provided insight to the roles and responsibilities of assistant tenured-track professors at R1s with HSI designations. The first theme, *Experiences and Perceptions of Shared Governance* addresses participants perceived roles in the governing structure of their respective institution. The first sub-theme, *Governance by Vote*, addresses participant's experiences in the policymaking of their department and overall institution in relaying their experiences in the shared governance process of their institution. The second sub-theme, *Governance by Committee*, narrates participants' self-identified areas of additional shared governance opportunities by committee, through their department or institutions. The third sub-theme, *Governance in the Absence of Power*, illustrates the negative experiences in shared governance that participants have encountered in their departments and overall institution.

The second theme, *The Conventional Roles and Responsibilities of Assistant Professors at R1s*, exhibits participant's understanding of their faculty roles and responsibilities in relation to the tenure and promotion standards for tenure-track assistant professors at R1s with HSI designations. As such, participants describe their experiences in the first sub-theme *Faculty Entrepreneurship as the Profession*. Participants described both merit and tenure and promotion to be synonymous with research revenue, funding potential and publications, with little regard

for teaching and scarce regard for service. The second sub-theme *Teaching and Service as a Means to an End* describes participants' experiences with the de-emphasis of faculty teaching and service at RIs largely due to the promotion and tenure process or reward structures placed within research institutions. The last subtheme, *Voluntary or Involuntary Tokenization as a Responsibility*, highlights the responsibility that participants described as nominal responsibilities tied to either their ethnicity or faculty rank. Additionally, this section also details how assistant tenure-track faculty members have self-tokenized their own faculty platforms to further the success of students in relation to ethnicity and socio-economic status.

The third theme, *Cultivating Equity for Student Success*, highlights the significant role that participants play in the student success and persistence of Latina/o undergraduate student/s. This section further demonstrates that faculty roles are essential at HSIs, given that the quality of interaction between student and faculty is key to academic success. The first sub-theme, *Equity in Pedagogy*, exhibits how participants are in a juxtaposition between their faculty entrepreneurship responsibilities and their teaching and service roles; however, continue to foster equity through their pedagogy. The second subtheme *Equity in Service*, details for participants their need to cultivate Latina/os student success in their self-selection of serving on additional committees related to their discipline and key faculty events. The third sub-theme, *Mentorship as a form of Equity* denotes how participants responded to working at an HSI and additionally, how the HSI would provide participants opportunities to support student success through mentorship.

The last theme *Myths and Perceptions of the HSI Designation*, highlights the myths and perceptions that participants expressed in relation to the HSI designation. Additionally, this section contained four subthemes. The first subtheme *First-Generation Students Mirror the Experiences of Latina/o Students*, this section illustrates how participants view student

populations enrolled at HSIs to be assumed as either first-generation or immigrant college students. The second subtheme, *Consciously or Subconsciously Deficit Framing of Latina/os*, denotes how participants have viewed Latina/os as “dysfunctional” or “different” due to their perceived cultural nuances. The third subtheme, *HSIs Synonymous with Deferred Action for Childhood Arrivals (DACA) and Immigrant Students*, highlights the disconnect that participants exhibited in understanding what it means for both the institution to operationalize as an HSI designation and how the HSI designation related to their student populations. The fourth and last subtheme, *The HSI Designation as a Moniker*, describes participants’ encounter with the HSI federal designation and often used simply as a moniker rather than an enacted mission with a sense of purpose for serving Latina/o students. (See Table 5 below.)

Table 5.

Themes and Sub-themes that Emerged from Data Analysis

| Themes | Sub-theme #1 | Sub-theme #2 | Sub-theme #3 | Sub-theme #4 |
|---|---|---|--|----------------------------------|
| Experiences and Perceptions of Shared Governance | Governance by Vote and Policy Proposal | Governance by Committee | Governance in the Absence of Power | |
| The Conventional Roles and Responsibilities of Assistant Professors at R1s | Faculty Entrepreneurship as the Profession | Teaching and Service as a Means to an End | Voluntary or Involuntary: Tokenization as a Responsibility | |
| Cultivating Equity for Student Success | Equity in Pedagogy | Equity by Service | Mentorship as a form of Equity | |
| Myths and Perceptions of the HSI Designation | First-Generation Students Mirror the Experiences of Latina/o Students | Consciously or Subconsciously: Deficit Framing of Latina/o Students | HSIs as a Safe Haven for DACA Students | The HSI Designation as a Moniker |

The themes and sub-themes that emerged provide insight into the experiences and perceptions of shared governance for assistant tenure-track professors as well as their roles and responsibility as dictated by their faculty rank. In addition, the themes and subthemes also provided insight into how assistant tenure-track professors operationalize the HSI designation at their R1 institutions. What follows is a thorough discussion of the themes and sub-themes that emerged from the data analysis. This chapter concludes with an overview of the findings.

Experiences and Perceptions of Shared Governance

Governance by Vote and Policy-Proposal. This case study sought to critically understand how policies of an R1 are reflected and adapted at the macro-level of institutional governance. As such, the majority of the participants expressed their experiences with the shared governance process through the mechanisms of voting or policy-proposing at the department level. More specifically, participants shared their experiences with policymaking through shared governance as it related to their departments as described by Andrea:

I mean our voices are heard but again that's shared governance. When there is any policy to be changed or put in place we have to vote and everyone does, it has to pass in some cases unanimously or at least the majority. So, we are part of that and for faculty usually all the policies that go in place are led by faculty members, so I think we play a central role of those. (Andrea_R1-1, p.11)

What Andrea described reinforces the idea that assistant tenure-track faculty do have a voice in the policymaking at the micro-level of the institution (e.g., department) and as posited, have a central role in shared governance. Additionally, another participant Jane, described her responsibility with shared governance as familiar to an almost identifiable routinely extent:

We usually have a batched of these decisions that are taken in the fall with respect to tenure and promotion and then obviously in January, February, March, but we are quite active with recruitment and the kind of series of voting decisions and broader departmental discussions that take place or things at that time. (Jane R1-1, p.1)

Jane's description emphasizes the importance of her voting as a reflection of shared governance culture exhibited at the department level. Ida also narrates that shared governance seemed characteristic of the privileges assistant tenure-track professors have in the governing structures of their department and institution:

I have the privilege of being able to vote on things within my department's institution that other clinical faculty or adjunct faculty don't have. So, in that regard, I feel like at this time in my career, that's my one kind of like measurable way of contributing to actual structural changes in the vote that I have as a tenure-track faculty member. (Ida_R1-2, p.3)

Ida's description signals that she understands her positionality as a tenure-track member in her department and as such, measures her contribution as effective in the structural changes of her department. Christine's response was similar, as it was specific in her understanding of the policymaking of her department, which clearly demonstrated the opportunities that assistant tenured-track faculty have at the micro-level of shared governance:

I think that all faculty have all, I should say all tenure-track faculty have almost an equal role in policymaking so whenever we have any sort of policy change or shift or proposal depending on what it is. Sometimes, it will get introduced at the

faculty meeting and then we need a certain amount of proportion of votes to implement it or sometimes it will be taken to one of these committees first if it's something to do with a class or one of our programs with like with the undergraduate programs. (Christine_R1-2, p.16)

Christine's perspective and experience exemplifies her comfort level in suggesting that shared governance is inherent for all tenure-track faculty members in having an "equal" role in the policymaking of their department.

Governance by Committee. The following section illustrates how participants further leverage shared governance by serving on committees to create the conditions that allow for policymaking or structural changes:

So, I'm on a few committees, so we're involved with mostly reviewing proposals for policies, and I'm also involved in the special education program. And so, with that program I can [you know] propose policies for our program level and then those can be [you know] discussed. And so, that's you know, really discussions at meetings, discussions informally, and then voting are my you know, my major most significant contributions to the policies at the department level. (Jack_R1-2, p. 15)

Ida was also a participant who sought to create structural change within her department by serving on a committee that would evaluate the Dean's performance directly related to the governing structure of her department. However, Ida was unsuccessful in procuring the votes needed to be the tenure-track representative to serve on the committee:

Yeah, my Dean is dangerous, [and it would have been to,] it would have been to really provide a critical perspective of what we're missing in terms of leadership

and how it's been instrumental and influential in a negative way on the experiences of tenure-track faculty members. So yeah, it would have been just to sort of provide a critical perspective, which I'm not sure will be represented necessarily. (Ida_R1-2, p.8-9)

Both Jack and Ida recognize that their role in shared governance goes beyond the systematic process of voting but in fact, can contribute effectively in the shared governance process by serving on additional committees. Jack's committee position in reviewing policies and creating course programming allows him to have a voice both formally and informally at the department level even as an assistant tenure-track professor. Ida narrated that she would like to use her faculty rank to formally and structurally provide a critical perspective for the leadership in her department. This suggests that Ida values leadership for tenure-track faculty members by positioning herself and utilizing the democratic process of shared governance in relation to serving on additional committees.

Governance in the Absence of Power. This section highlights the negative experiences of participants' John, Allison, and Andrea, as they exercised their role in the shared governance process through voting and service within their department; however, the premise of "voting" and committee work undermined their true function of shared governance:

Yeah, like I mentioned only department level committees and even those committees I would put them inside air quotes because we are, I mean like the junior faculty and department are asked to kind of serve on nominal committees, but actually our input is not expected for it. (John_R1-1, p.8)

This experience suggests that John's service and contribution in shared governance is not recognized as he is asked to serve on nominal committees without any authentic contribution. John would go on continue to posit the inconsistencies and undermining of his contribution in shared governance:

We are basically there just to like to catch typos or to help in some general things. But you know, we are not really there to set the decision. So, for example, we have a conference being organizing or you know, even when we are doing the evaluation of our colleagues for tenure and promotion, we're basically told how to vote. We have you know, what I what I call enforced consensus. (John_R1-1, p.8)

For John, his testimony describes a "taxation without representation" in that he is required to serve on nominal committees as part of his service and role in shared governance but lacks the power to utilize his voice, vote, or even consciousness of thought; as he is the bi-product of enforced consensus. As such, John's experience counters the very nature of autonomy in shared governance and undermines his service on committees and his vote of colleagues on tenure and promotion.

As for Allison, her passion in creating inclusive and consumable curriculum for her students led her to serve on a committee as part of shared governance relating to curriculum:

No, they don't care what I care about. No, I mean like I think I am more probably more interested in teaching and you know, trying to sort of build more inclusive curriculum and these kind of things, than many other faculty. And no, that is not encouraged like they don't want me to spend my time doing that. They want me to spend my time writing papers and getting grants. (Allison_R-2, p.3)

Allison's efforts in seeking out additional opportunities to serve as a part of shared governance, bespeaks to her inability to be able to contribute to the curriculum changes needed at the department level but more so to the priorities of the department in relation to research and grant funded projects. At the macro-level, Allison recognizes the need to create inclusive curriculum for student success; however, she is also encouraged to focus her time on the entrepreneurial aspects of her work as oppose to creating curriculum that would account for multiple aspects of student perception and diverse ways of learning.

Andrea another participant, also posits that her role in shared government is limited by the nuances tied to resources:

Okay, so we have a voice and we have a vote. What would one assumed to be at all levels, but realistically I think that we are in a world where money talks and we don't really have a lot of saying when it comes to where the money is spent. We have a say, yes, to when whom to hire which students to bring in. When it comes to where we allocate the resources, that's where I don't see a lot of power and I don't see not just because I'm an assistant professor, but I don't see that kind of power in the numbers of any of my peer faculty members, so in terms of perceived into like what's the specific deal. Yeah, we all have an equal voice and opinion, the realistic side of things is that maybe not so much. (Andrea_R1-1, p.3-4)

Although Andrea agrees that she does have a significant governance role in the hiring of colleagues and student admission; she also notes that the resources in providing the structure for those choices limit the power of the voice and vote that the faculty

provide. Andrea's experience also suggests much like John, her participation is an espoused semblance of shared governance without any real power in the enacted structure of shared governance and implementation of allocated resources for her department.

Andrea, Allison, and John's responses also illuminate the inconsistencies of autonomy in which assistant tenure-track professors operate in their role of shared governance and convolutes the intended process in which shared governance is intended.

The Conventional Roles and Responsibilities of Assistant Professors at R1s

Despite the growing number of HSIs, there is little understanding about faculty roles and responsibilities in relation to the tenure and promotion standards for tenure-track assistant professors at R1s with HSI designations. Furthermore, scholars (Banks, 2012; Hurtado & Sharkness, 2008; Rice, 1996) suggest that tenure and promotion committees have traditionally evaluated candidates based on their contributions to research, teaching, and service; however, for the faculty at R1 institutions, the funding potential and funding records—a form of scholarship—are essential to the tenure and promotion process with some regard to teaching and scarce regard for service. Additionally, for faculty at R1s the concept of faculty entrepreneurship has become the primary distinction of research universities, as such the ramifications have resulted in deleterious policies of teaching and service as described by the participants in the sections, *Faculty Entrepreneurship as the Profession*, *Teaching and Service as a Means to an End*, and *Voluntary or Involuntary Tokenization as a Responsibility*.

Faculty Entrepreneurship as the Profession. Participants described both merit and tenure and promotion to be synonymous with research revenue, funding potential and publications, with little regard for teaching and scarce regard for service:

So, the majority of our compensation is driven by research productivity and research productivity measured in not only the caliber of the outlet but also its impact as reflective in citations. You know, it's a very entrepreneurial field.

There's a huge push for that kind of research productivity and space for research productivity. (Tabitha_R1-1, pp.4-5)

Tabitha was clear to highlight that the promotion standards for compensation are driven by research productivity much like a business, an “entrepreneurial” profession. Tabitha, would continue to further describe the research productivity demands of her institutions:

Like you don't get to stay if you're not doing research, but if research is too hard to do because you know, if you hate it, you wouldn't do it, you know?

(Tabitha_R1-1, p.6)

Additionally, Tabitha's reference also suggests that faculty at R1 make cognitive decisions to *stay* or *continue* the tenure-track process regardless of the expectations for promotional standards and research productivity.

Another participant Jack, also describes his juxtaposition between the professoriate and faculty entrepreneurship as the profession:

What they've said is that you know, no one that are at my university is going to get tenure based on teaching reviews or based on service you get tenure based on your research. And so, you know when I think about, do I feel confident in getting tenure or not? Am I on track? What I'm thinking of almost exclusively is my research. How many publications do I have? How many grants have I applied for? How many grants have I received? You know are those grants internal/external?

What's the size of the grants? You know, are they small grants are they large grants? That sort of thing and so, I would say that research is a very significant factor in the tenure and promotion review process. (Jack_R1-2, p.6)

For Jack, his explicit narration of responsibility for faculty at R1 suggests that research and research productivity are the metrics needed for success as a tenure-track faculty member. In addition, his description also exhibits that faculty at R1 are to be primarily concerned with research as the demand for tenure and promotion is the dominating factor as a faculty member at an R1.

Ida, a participant, also detailed about her experiences and overall understanding of merit increases and the tenure and promotion as it related to teaching and research:

The merit increases from what I understand are based on research productivity of in terms of publication and obtaining grants. There's none as far as I know, there's no merit increase eligibility for if you're an outstanding teacher. [So, you could get and of course we know there's all kind of flaws with student evaluations as a measure of success.] But for example, you could have like perfect scores on student evaluations across an academic year and that would not reflect in an increase in pay. Whereas, from what I understand you could obtain like a big grant and have several publications in a high-quality outlet and that might actually translate to a higher pay. (Ida, R1-2, pp.5-6)

Ida's account of how her institution operationalizes the tenure and promotion process are descriptive of the deleterious policies of teaching and service that are often jeopardized at R1s by the standards laid out by promotion. This is problematic for R1s

with HSI designations as Latina/o student success depends on the quality of interaction between faculty and students.

Teaching and Service as a Means to an End. An R1s commitment to maintain academic fidelity by operationalizing as an academic corporation creates an impasse between the tripartite mission of research, teaching and service and the HSI designation. A significant factor for the de-emphasis of faculty teaching and service at R1s is largely due to the promotion and tenure process or reward structures placed within research institutions as described by participants Allison and John:

Like I said, it's part of your tenure and promotion packet, right? But like you have to show that you've done some service. So, you like list all the things you've done but like when I talk to my chair, he doesn't say, 'I like how you've done this year.' What he says is, 'You need to get more grants and write more papers.' He doesn't say you need to be on more committees. You know what I mean?... You have to tick the box and prove that you've done some service that you're not a dick and you're not shirking your responsibilities, but there's no, like nobody really values it as far as I can tell. In terms of tenure and promotion nobody values it enough, you know making extraordinary efforts to like make things better in structural ways, you know? (Allison_R1-2, p. 5)

Allison's description illustrates an example of the guided expectations that faculty at R1 experience in relation to research. For Allison, her chair explicitly communicated that research be the main focal point in the promotion and tenure process as he emphasized that it was preferable for Alisson to "garner more grants and write papers" as oppose to referencing the need to improve on either teaching or service.

John was also a participant who communicated the de-emphasis and disassociated expectation between students and faculty responsibilities at his R1 institutions, as it related to teaching:

For example, the faculty really do take this distinction seriously and will actively tell the students like don't bother me teaching is not my priority here. And the students get kind of shocked like what do you mean teaching is not your priority? I thought that you are a professor, isn't that what the university is for? And you know, that's not what a lot of faculty you know a lot of faculty interpret.

(John_R1-1, p. 17)

Allison and John's description signals the disconnect between the faculty demands of research productivity and the espoused tripartite missions of R1 universities to provide a public good of research, teaching and service. Additionally, Allison and John's accounts also highlights the explicit communication of expectations and priorities that assistant tenure-track professors receive at their institutions. The priorities for the teaching and service policies are not as stringent when relating to the tenure and promotion process and that service and teaching are in fact a means to an end.

David, a participant, also noted the inconsistencies of teaching as a priority for his institution:

I am much more a fan of the framing of justice, I guess rather than equity, but I also don't know exactly how to make that happen certainly in the classroom where teaching is not a priority for tenure-track faculty at this university. (David_R1-1, p.4)

David's articulation communicated the further juxtaposition of ethics tied to what assistant tenure-track faculty face in terms of their promotion and the professoriate. Much like Allison and John, David is clear about the perception of the university's value on teaching. As such, David further suggests that teaching is tied to equity but also, that social justice is jeopardized when teaching is not a priority in the classroom at his institution.

Voluntary or Involuntary Tokenization as a Responsibility. This section denotes what participants described as nominal responsibilities tied to either their ethnicity or faculty rank. Additionally, this section also details how participants have self-tokenized their faculty platforms to further the success of students tied the social demographics of ethnicity and social economic status. Andrea, a participant, expressed an example of the imposed responsibility of tokenization she experiences due to her discipline, ethnicity, and gender:

So, I have served on a search committee for new faculty and search committees for leadership positions for staff on every level. I will tend to think that I serve on more committees than normal because I'm a female and minority, so I'm able to fill in the diversity; two diverse checkpoints at once. (Andrea_R1-1, p.6)

Additionally, Andrea narrated her encounters with tokenization as it related to her ethnicity as a Hispanic faculty member within her department and at her institution:

[P]eople when they do find out, they tend to come to me and try to you know, regardless of what department they are or what lab, they come with their struggles and how do they find support. And I don't necessarily know that...I will assume that it should be counted as service and I guess it's just being a decent human

being but there's no designation as to the burden that it is to be the only minority in the whole college. (Andrea_R1-1, p.16)

Andrea's narration, "there's no designation as to the burden that it is to be the only minority in the whole college" also suggests that her tokenization is both isolating and burdensome. In addition, Andrea conveyed that the imposed tokenization due to her ethnicity, gender, and rank, also translated into shouldering the needs of Hispanic students within her discipline. She also described this "taxation" as isolating and contributed to her "burden" to "being the only minority in the whole college".

Another participant John, also posited a similar experience of ethnic identification and tokenization as it related to his department:

So, then there's this expectation not necessarily that all Latin students would come to me to be their advisor, but that if there's a Latin student who feels the need for some kind of connection, that would be, that would drive or that one would roll better with sharing some kind of cultural or other identity, you know related issues of familiarity. I think that's been kind of the implicit assumption and expectation. (John_R1-2, pp. 21-22)

Much like Andrea, John's implicit assumption evidences the expectations that both the search committee and department have for him. John's narration of his experience with tokenization illustrates how his university utilizes structural diversity as a counter to creating permanent conditions for diversity at their colleges or overall university. The next two participants Ida and Christine, describe their diversity-related service to be intentional as it related to the HSI designation and for them, the meaning it creates for the advancement and success of their students:

So, I was very intentional about wanting to be at R1 that had Black and Brown students... and the courses that I would be teaching in my department would be full of students of color and that for me, was a really important factor in terms of being able to mentor students of color into considering careers in research.

(Ida_R1-2, p.4)

Christine had a similar approach in accepting a tenure-track position at her current institution with the specification that the institution would be at an R1 with an HSI designation to work with Latinos families:

Before I really started sending out applications, I had kind of researched different institutions that I might be interested in and I knew again that I wanted a research-intensive university, a lot of my work in the PHD because my practice experiences were in Latin America, and everything before the PHD was in Latin America including research. Here in the U.S., I've transition back to working with the Latino families. And so, I was really interested in Hispanic-Serving Institutions specifically, because I felt like that would be a good connection.

(Christine_R1-2, p.2)

Both Ida and Christine describe their choice at working at an HSI to be related to the racial designation of the HSI and as such, expect to work with students of color primarily Latina/o students. Additionally, Ida and Christine understand the value in making connections with students of color as it relates to student success; as they both described that the opportunities in working and mentoring with a diverse student demographic influenced their decision in accepting their tenure-track positions at their respective institutions.

Cultivating Equity for Student Success

The role of faculty at HSIs is significant as their pedagogies are often tied to principles of equity and social justice. Furthermore, faculty roles at HSIs are essential, given that the quality of interaction between student and faculty is also key to their academic success. The following sections: *Equity in Pedagogy*, *Equity in Service*, and *Mentorship as a form of Equity* gives insight to how participants at R1-1 and R1-2 with HSI designations, have attempted to cultivate student success by providing equity through their pedagogy, service, and mentorship opportunities.

Equity in Pedagogy. As posited in the section, *Roles and Responsibilities of Assistant Professors at R1s*, faculty are in a juxtaposition between their faculty entrepreneurship responsibilities and their teaching and service roles. However, participants have attempted to cultivate equitable opportunities for student success. As such, Allison strives to foster equity through her platform as a STEM faculty member, by redesigning her courses that allow for active learning and critical thinking skills:

It's like for me like what I care about like making our curriculum in the department [sort of like] better at teaching analytical skills and [sort of] making it more inclusive and molding our curriculum more toward [like] making sure that everyone can succeed. So, the class that I taught, it was it was called ... and I took it over and I completely change the curriculum. So basically, I got rid of all the lecturers and I made it all through, based on group activities and critical thinking skills. [And I'm and I do feel like you know, yeah,] it's hard to know exactly like because I actually spent a lot of time and a lot of effort rebuilding this class to make it all like active learning and critical thinking. (Allison_R1-2, pp.6-7)

Allison's efforts are notable, as she would later divulge in the interview that her expected percentage and responsibility for research was 75% and yet, Allison chooses to model inclusivity and student success for her discipline by making additional efforts in the curriculum and her course redesign. As such, Allison's example suggests that she too understands the value that students make in connection to the curriculum and the benefits that students gain by accounting for diverse ways of learning.

Another example in which participants have tried to cultivate equity in their pedagogy by promoting inclusivity was Jane:

...[A]s somebody who grew up with two parents who both had degrees, you know, I went to a well-resourced high school, you know. I came equipped with some of these soft skills, and how to approach academic life. I don't think that every student necessarily had that and so I rather spend a little time bringing the focus and students up to speed and connecting them with this information in an explicit and welcoming way and help explain the content for the undergraduate class. (Jane_R1-1, p.2)

Jane demonstrates that she understands that as a former privileged high schooler and undergraduate, she was able to gain access to resources such as the skills needed to be proficient in academia. As such, Jane chooses to examine her privilege and extend her cultural capital by connecting students with the information needed to be successful in research in an intentional, thoughtful way.

As a hard sciences faculty member, Andrea also relayed her understanding about the critical aspects and obstacles facing Latina/os undergraduate students:

The students don't come to our institution in equal conditions of both preparation and knowledge and that we are being conscientious of those differences in the way that we deliver our material to ensure that hopefully by the time at which they graduate, by now we have leveled out and that then you know that they are graduating. Hopefully, at the same rate as everyone else. (Andrea_R1-1, p.7)

Andrea's experience suggests that she understands the need of critical consciousness pertinent to Latina/os undergraduate students' outcomes. Her awareness of the lack of equity in the preparation of students prompts her to deliver course material in a manner that works to foster student success. Her emphasis on the "delivery" of course material is evidence that she equates pedagogy with Latina/o student success and completion rates; an aspect that reflects her autonomy as an assistant professor.

Equity by Service. For participants Ida, John and Jord, they described their need to cultivate Latina/os student success by self-selecting opportunities or serving on additional committees related to their discipline and key faculty events. Ida, for instance, clearly took her service role to be instrumental in providing opportunities for future social workers:

So, I self-selected to be a part of the health committee. The health committee is focused on making sure the experiences, the educational experience of students in my department whose concentration is on health, is the best that it can be and providing learning opportunities and professional development opportunities for students to consider careers and with health specialization within social work. So, we make curriculum decisions, but we also do a lot of programming opportunities... (Ida_R1-2, pp. 6-7)

Ida's self-selection exemplifies the additional responsibilities that she is willing to incur to serve on the health committee to provide the best experiences and learning opportunities for students. Despite Ida's rigorous demands of scholarship in relation to tenure and promotion, she seeks strategic opportunities to cultivate equity in her department through service.

Another example of a participant serving on key faculty events to improve diversity and inclusivity for students was John:

I think that the Dean in my school, the chair of my department, and [some of us in] a lot of the faculty in the school of social sciences really values service in general. Especially, service that contributes to the improvements of the university as a whole, or overall school [of] social sciences and again interpreting diversity [and] inclusivity for our students and also of our faculty.... (John_R1-1, p.10)

John's example provides insight into his service role as an assistant tenure-track professor and his contribution to student success by cultivating equity, as it relates to his department and the overall university. Additionally, his service also indicates that John goes beyond the function of service and is intentional about cultivating equity by fostering diversity and inclusivity for students and faculty.

Jord was another participant who recounted her service work, which she narrated, contributed to her knowledge of student's experiences with academic dishonesty:

I thought that the Honor Council was a wonderful experience. You get to see so many different intricacies and motivations from students as far as academic dishonesty. And then also how you could also see some time during which there wasn't any academic dishonesty being, like occurring but other people perceived

it a specific way because of whatever the circumstances were. So, I think that gave me a lot of insight to how you can frame things as an instructor to discourage academic dishonesty, but then also from the student aspect like where they're actually coming from and the reasons why some people choose to engage in that whether it's the desperation or whatever helps. (Jord_R1-2, pp. 3-4)

Jord's experience with the Honor Council allowed her to gain perspective into what might motivate students to be academically dishonest. Her service also provided a way to frame and discourage dishonesty in her classroom by taking into account students' circumstances as well as positioning her students for academic success. This suggests that she chose to reflect on the student narratives from her service on the Honor Council to inform the manner in which she framed dishonesty in her classroom.

Mentorship as a Form of Equity. The following section illustrates participants' experiences in cultivating mentorship as a form of equity while working at an HSI. The mentoring opportunities that participants have cultivated allowed for an additional layer of support for student success as it related to their academic discipline and research.

Christine was a participant that narrated by serving at an HSI, it has provided a platform for her to holistically care for students through mentorship and by accounting for their social and emotional well-being:

As for me the Hispanic-Serving Institution, specifically, I was really interested in because of the opportunity to work with students who often times are pursuing, the first ones in their families, their immediate families to pursue higher education. And, I also think it's gives a lot of opportunity in terms of mentorship and opportunities to present things like research and what research looks like and

other ways to get involved and give back to communities. But, students are living in and I mean I think with social work, especially when we are sending we're basically preparing students to go be practitioners, whether it be at the macro-level advocating to change inequalities in our policies or whether it be a clinician and actually providing direct care of these students. I think that it's you know, it's an opportunity to prepare a lot of students to go back and give to communities where there aren't a lot the graduation rates or number of people going and getting college degrees. (Christine_R1-2, pp. 12-13)

Christine's approach to her students illuminates the opportunities that her discipline has allowed for the direct ethic of care that she provides for her students but also highlights her understanding about the social injustices that minoritized populations experience in relation to access and post-secondary education opportunities. Christine's interpretation of her student's needs indicates that her belief in serving her students holistically is directly tied to their completion outcomes. She also views the mentorship opportunity to mean "to prepare a lot of students to go back and give" as a way of advocating for change in inequalities as it related to her discipline. Allison was also a participant who was cognizant about the scarcity of the graduation rates for the students at HSIs:

But I guess like me you know, me as an assistant professor my role is very small right now, right? But I feel like for me the nice thing about working at an institution with a diverse student body, which I guess is relevant to the HSI thing and being in a research institution is that you know, I get to recruit students from all different backgrounds into my lab. We are, we have the potential to help get students trained, get them into grad school and like, you know sort of like start

packing the pipeline full of different kinds of people which hopefully will make academia better in the long the long run. (Allison_R1-2, pp.10-11)

As a hard sciences faculty member, Allison's perception is significant as she recognizes that her role is vital in diversifying the discipline by accounting for the student population relating to the HSI designation. Additionally, Allison also suggests that by recruiting diverse student populations into labs and training them for graduate school will also allow for a diverse pipeline in improving academia. Allison also recognizes that inequities exist from the onset and as such, utilizes her role as a mentor, recruiter, and trainer, to foster student success in the STEM fields. It is also evident that she is critically aware of the HSI designation and the completion rates associated with the student population in which the HSI designation is intended to support.

John was also a participant who emphasized the importance of mentorship as a separate component of tenure and promotion:

[We] are talking about like research and teaching and service, but mentorship is something else like it in a way it gets rolled into teaching but it's not about the classroom, right? It's about personal connections with students and guiding students like that.

(John_R1-1, p.20)

John's recognize that his role as an assistant tenure-track professor and possible mentor, transcends workload designations he notes how mentorship serves as a form of connection to students. The latter not being included in promotion and tenure but remains at the forefront of how he seeks to achieve equity for his students.

Myths and Perceptions of the HSI Designation

This section *Myths and Perceptions of the HSI Designation* highlights the myths and perceptions that participants expressed in relation to the Hispanic-Serving Institution designation. As such, the participants shared their interpretation of the meaning of the designation itself, what measures should be taken with the students, and their overall practices in relation to the federal designation.

First-Generation Students Mirror the Experiences of Latina/o Students. This section notes the inconsistencies that participants describe in relation to how the HSI designation is operationalized at their respective institutions and of their perception of the HSI designation as it relates to the Latina/o student population.

Jane was a participant that described her interpretation of the HSI designation to suggest that first-generation student experiences and Hispanics are viewed the same and are accounted as such:

I think that sometimes, I don't want to make this mistake really but I think that like in practice with students obviously, it doesn't necessarily mean that students are you know lower income or have like needs that might be dramatically different from other students, but I think these practices in this region it is often the case that you know, many of our students are you know both (Hispanic) or first-generation students and are juggling their academic responsibilities with jobs. And so, I think in that respect, I kind of roll many of those concerns into one. (Jane_R1-1, p.3)

So, [it means] a few different things. So, one is focusing on students who have been historically marginalize[d]. So, I'm very glad to be at a place one that prizes

diversity but then also really, I feel [seeks to include they also] really prioritize first-gen students and I've noticed correlations between first-gen and then Hispanic students as well. So, I think the institution actually does a really good job [in reference to recognizing additional student support] but in particular in my department does a really good job. (Jord_R1-2, p.6)

Tabitha was also a participant who described her institution to be attentive to the needs of Hispanic students; however, she too posited that first-generation student experiences were the same as those of Hispanic students:

Well, so if you're saying that you are a Hispanic-Serving Institution, that means that you're going to ensure that those students have whatever resources that they need to be successful. So, for example at our school because of a lot of our Hispanic students [in this state] are first-gen to go to college. So, we have a tremendous support for first-generation students. It's just not for Hispanic students it's for all students, but it's recognizing that those students tend to be first-generation. So, there's a lot of support for first-gen students. (Tabitha_R1-1, pp. 14-15)

Participants' narration in suggesting that by accounting for the needs of first-generation college students, their respective institutions would also be accounting for the needs of Latina/o students. However, specifically targeting one minoritized category as a "catch all" would dispossess from the intentionality of the student population that the HSI designation is intended to serve, as well as fail to see the nuances in the student population. As Jane described she tends to "roll many of those concerns into one" and therefore, excludes the practices of serving the racial and ethnic needs Latina/o students.

For Jord, she “noticed correlations between first-gen and then Hispanic students” which could imply efficiency but also convenience in not intentionally serving Latina/o students. Tabitha’s description implicated that she connected the designation to resources leading to student success. In other words, participants noted correlations or interchangeable aspects that prompted them to view students at HSIs as an aggregate of both Hispanic and first-generation status rather than a disaggregate of the two minoritized categorizations. Even more so, one participant emphasized resource allocation to all first-generation students; however, as noted, resources related to the HSI designation are to be specific in improving educational opportunities at postsecondary institutions for Latino/a student populations as defined by the federal designation.

John was another participant who also narrated a similar conclusion about how his institution emphasizes the need to be attentive and supportive of the needs of first-generation college students:

[B]ecause we have first-gen students, you know because I have so many first-gen is because we have to be attentive to and supportive of the first- gen students, you know, we have to you know be able to provide mentorship in such a way. But then again, the category of first gen, you know is kind of a di-racialized category into which there's a disproportionate number of students of color. (John_R1-1, p.22)

The disproportion number of students of color that John is referring to infers a similar concept that a “catch all” designation is indeed a deracializing category and therefore, extracts from the intentionality of mentorship fort Latina/o students and other academic resources tied to the HSI designation.

Consciously or Subconsciously, Deficit Framing of Latina/os. This subtheme exhibits how participants' implicit bias about Hispanic students has shaped their perception since working at their HSI. Additionally, this section also illustrates how faculty frame working with students as "objects" or "things" as oppose to the humanization of being students:

So, I've gotten involved at this university's undergraduate research program that really focuses on getting students involved in research early. And so, I have actually identified a Hispanic woman who's working with me. She's first-gen and she's you know, she's a junior so she was later than I wanted, but I have one so I'm working with her but I realized is that she just doesn't have a lot of the skill sets to do research and she's a junior and so, you know, we've been working together two quarters. I'll get to work with her all this year. I got her some funding for her research. (Tabitha_R1-1, p.16)

During the interview, Tabitha seemed authentically excited about the possibility of mentorship and the idea of being altruistic, however, her description in suggesting she does "have one" to work with implied objectivity as opposes to the subjectivity in working with the Hispanic female student. Tabitha's sentiment also reflects a deficit view that unless Latina/os are exposed to research early on in their student careers, they lack the skills needed to be successful for research programs.

Jack's description also reflected how he views Hispanics enrolled at his institution to be deficit, because they are first-generation college students and therefore, are perceived as "dysfunctional":

...I've been at several institutions as a student and a graduate student before this and I've never been at a Hispanic-Serving Institution. I have been at institutions

that were, you know, very significantly majority white institutions and so moving to a Hispanic-Serving Institution has provided a lot of a lot of unique challenges. Yeah, so having a Hispanic-Serving Institution has provided a lot of challenges for my students. Sometimes they, I think it shows most for me in their writing when they are writing emails or when they are submitting papers and that sort of thing just their writing is just it's very different. It's very, it has a lot of grammatical errors a lot of sort of illogical connections in it or something like that. (Jack_R1-2, p.12)

Jack's description implies the deficit framing of students at HSI as he prefaced his experiences to several white institutions therefore, directly relating it to ethnicity but also the consist use of "they are" as oppose to "some" or "a few"; suggesting all Latina/o students he encounters are deficient in their writing skills. Additionally, Jack failed to communicate and emphasize the humanization of Latina/o students as he differentiates students in terms of ethnicity and objectivity.

Jord was another participant whose perceptions of Hispanic communication was "different" and therefore, for her the HSI designation could improve the types of communication that Hispanics experience:

I think it has a pretty big impact on the discipline and how communication focuses on privacy and family communication. And, family communications in Hispanic family is very different than it is in like Caucasian. So at least in the research literature that I use so, I think it has a big impact. (Jord_R1-2, p.7)

Jord's deficit framing of research assumes that Hispanic family communication is inferior to white students. This deficit framing can be detrimental as it neglects to value

the cultural wealth paradigm of family values and Latina/o ancestry which includes how Latina/o families interact.

HSIs Synonymous with Deferred Action for Childhood Arrivals (DACA) and Immigrant Students. This section highlights the disconnect that faculty exhibited in understanding what it means for their respective institution to operationalize an HSI designation but also how the HSI designation related to their student populations. Participants' expressed the designation to mean that DACA students and immigrants would be expected to be enrolled at HSIs and as such, HSIs should provide a safe haven for DACA students. As suggested by Ida:

So, it means that I have a diverse [a more diverse] set of perspectives represented in the students that I'm engaging with and it also means that for me [it means that] I expect that the institution is sensitive to the need particularly students who might be undocumented or have challenges in terms of their status in the US. So for me ...to be at a HSI means that I expect the institution to have safety measures in place for at least, [I can't remember what it's called] like a basically, they serve as a safe haven for students who have unique circumstances related to immigration status. And that that I think is something that I wouldn't necessarily expect at a traditional PWI. (Ida_R1-2, pp.11-12)

Ida continued to posit that although it may be a challenge for an R1 to have an HSI designation, institutions should maintain a level responsibility towards DACA students:

[B]ut it's like a really concrete thing to me. [But] if they have the HSI designation that they have a responsibility to be a safe haven for DACA students and I don't think I think that that might be a challenge in terms of what particularly public

HSIs might be comfortable saying or doing. But regardless of public or private that is, I think that's something [that is] that would be like a baseline requirement for any HSI. (Ida_R1-2, p.15)

For Ida, her connection of immigrants and DACA students suggests that immigration is a direct reflection of the cultures tied to Latina/os students. Tabitha was also another participant whose experiences with Latina/o students suggested connections tied to immigration:

And so, I think it will be very helpful as I talk to people to have had that experience with her going through from being undocumented to working through to getting a green card. I think it would be a little bit easier for me to understand the plight of students that are not African Americans but that are Latinx but having had that experience that to have some credibility with them when I speak to what some of their challenges might be. (Tabitha_R1-1, p.11)

Unlike Ida who made a general connection of immigration and DACA to her students, Tabitha shares a personal experience with a student with an undocumented status. Such an experience has shaped the Tabitha frames who the student population is at HSIs.

Additional participants, Christine and Jack also associated the designation to mean that HSIs would automatically correlate to having immigrants at the institution:

...[O]ne reason that I was really interested in my institution was that it is Hispanic-Serving and students, the student body is very diverse. So racially, ethnically in terms of first-generation students in terms of immigrants...and then just non-traditional students. (Christine_R1-2, p.12)

Jack was also a participant who noted that his university had an influx of immigrant students

And so being at an HSI, you know really here my students do look like a lot of the students that they are going out to teach....a lot of them are Hispanic, a lot of them are immigrants. I have a lot of immigrant students. I have a lot of second-third generation students who...are Hispanic and so I think that has really been interesting but also encouraging. It sort of inspire[s] me to be at a university where we're actually addressing this need that we see across the country, this need of diversifying the workforce...in my discipline; I really like it. (Jack_R1-2, p. 14)

Jack recognizes that this student population does play a vital role in the education of immigrants and in diversifying the workforce; however, his description also signals the disconnect between the HSI and its' student population. Both Jack and Christine view the immigration status to be synonymous with the HSI federal designation, they would be remiss in perceiving that the financial resources tied to the designation are intended for immigrant students. As the majority of federal funding tied to Title V does not support international or undocumented students.

The HSI Designation as a Moniker. This section illustrates participants' experiences in relation to how their respective universities view the HSI federal designation as a moniker rather than an enacted mission and sense of purpose for serving Latina/o students. The examples exhibit how their institutions have used the designation for public relations and privileged access to funding. As such, the following examples as accounted by Jack reflects how his institution has operationalized the HSI for research funding:

Yeah, so I'm not personally aware of any challenges that come with an HSI designation. I think that it's mostly a benefit to an R1 University because there's a lot of funding opportunities for research or not even for research just for [just] general funding that [are you know] are open only to HSI universities or being an HSI. [B]eing an HSI sort of gives you a bonus point or improved standing in the review process for the grant funding. (Jack_R1-2, p. 22)

What Jack is expressing about his institution is problematic, as the university is capitalizing on the HSI designation and federal funding associated with the designation as oppose to being an institution that is centralized in utilizing the HSI designation (and federal funding) to serve the Latin/o student population.

David and Allison were also participants who described their understanding of the designation to be disconnected in terms of what the HSI designation would mean for their institutions:

I don't know how to answer that question. I know I am aware that we are one. I am aware that the student body is a sizable fraction Hispanic. I myself, my mother's family is Puerto Rican when I grew up, you know, that is family that I spent most of my time with but I don't know that I necessarily [like] identify this place as being overtly Hispanic in any recognizable way and so I don't know what that means. But I don't know what would be different about teaching here, I mean teaching at an HSI rather than elsewhere. (David_R1-1, p. 5-7)

David's chronicle concerning the HSI suggests that he is familiar with Latina/o cultures tied to the designation but has not seen the evidence of formalized structures within his institution. Additionally, a second participant Allison, also narrated a similar

experience in the lack of understanding of what the HSI designation should mean for her institution:

So, I'm pretty sure we've been an HSI the whole time that I've been here. To be honest, like I have no idea what the HSI designation means except that we have a bunch of Latinx students. I don't know. I've never heard anyone talk about like structures in place or anything that... I don't really know what it means and I'm not sure that I don't know what it changes in our institution at all. (Allison_R1-2, p.p.10-11)

Allison's and David's responses indicate a disconnection between the HSI designation and the university's practices related to the HSI designation. This also suggests, for these participants, that they are left to themselves to interpret what measures should be taken with students and the overall institution in aligning with the federal designation.

John was also a participant that expressed his understanding about the differentiation in terms of the HSI designation and what it infers for faculty at his institution:

Well, I think that the challenge is that supposedly an HSI designation is geared toward the university as a teaching institution. And, the R1 designation is geared at the university as a research institution...I think all R1s have this tension already. So, the expectations that an HSI would translate into better teaching for Hispanic students means that that tension is exacerbated which can be a good thing if that action then forces the universities to be more accountable which would prove its pedagogy for undeserved students. (John_R1-1, pp. 23-24)

What John expresses, speaks to the inherent dissonance as it relates to the missions of HSIs and R1s without a dual designation. This disconnect suggests that modifications at institutions with dual designations are only to be made in terms of teaching as oppose to an overarching climate of the institutions seeking to serve Latina/o populations.

Overview of the Findings

The findings ultimately concluded that the assistant tenure-track professors of this study have a role in the governing structures of their institutions. While participants noted their experiences and perceptions with the shared governance processes of their institutions, they also deemed their roles to mean governance by vote at the departmental level, governance by committee at the institutional level, as well as, the negative experiences related to governance in the absence of their power. More specifically, participants narrated their experiences with policymaking and policy proposal as part of the shared governance process at the department level, and structural changes at the institutional level. Additionally, participants divulged about their experiences relating to enforced consensus as part of the shared governance process of their departments in that their voice and vote were irrelevant as the priorities of their department dictated. The negative experiences suggest that shared governance is undermined regarding the autonomy as relevant to the professoriate.

Participants also exhibited their understanding of the faculty roles and responsibilities of assistant tenure-track professors in relation to the tenure and promotion standards for R1s with HSI designations; however, they often found themselves in a juxtaposition between serving students or adhering to the scholarly demands of the tenure

and promotion standards of their institutions; the latter being at the forefront of how they understood promotion. Participant's described their experiences with tenure and promotion to mean that they themselves would have to foster faculty entrepreneurship identities in order to be successful. As such, participants were encouraged to adjudge teaching and service in relation to promotion and tenure as a means to an end. Additionally, participants also viewed their faculty roles as tokenizing whether voluntary or involuntary as a method for structural diversity within their colleges and universities. This also suggests that the representation of faculty diversity is limited at the participant's institution and as such adds a cultural tax and additional responsibility for which their ethnic identification represents.

Although participants chronicled their experiences with the tenure and promotion process to be arduous, they also narrated their experiences to be positive related to opportunities to further serve students by reexamining their pedagogy, serving on additional committees, and cultivating equity through mentorship. As such, participants exhibited measures of critical consciousness in cultivating equity for student success in ensuring that their pedagogy was inclusive and equitable accounting for multiple modalities of learning that reflected critical thinking. In addition, some participants attempted to serve on additional committees outside of the scope of their tenure and promotion faculty responsibilities to ensure equitable learning and academic opportunities for students. Participants also expressed how mentorship at HSIs could be utilized to promote training in research that could potentially lead to high levels of completion rates for students and ultimately enrollment in graduate programs. Participants also posited that their self-selection in accepting their tenure-track positions

was intentional in prioritizing mentorship and providing additional academic support for student populations related to the HSI designation.

This study also concludes that although participants are employed at HSIs, they note their lack of knowledge related to the mission and intent of the federal designation and the disconnect in how the designation should be operationalized in their classrooms, departments, and overall institutions. Participants also described their perception of the HSI to be both mythical and convoluted when describing the student population in which the designation is intended to serve. Participants hypothesized that the HSI designation would mean that by serving first-generation college students they would be fulfilling the intent of the HSI designation in also meeting the needs of Latina/os. Participants surmised that both first-generation and Latina/o college students had mirroring academic needs and therefore, either the participants or their institutions were successful in contributing to the academic success of Latina/o students.

As a caveat in garnering ways to serve students, participants whether consciously or subconsciously, participants also described Latina/o students in deficient frames. Participants narrated that their experiences with students had been less than academically astute, in terms of objectivity as well as comparatively to students at other institutional types. The participants' deficit framing of students evidenced that faculty view Latina/os as dysfunctional and problematic in adding to their responsibilities as faculty in the classroom. Additionally, participants posited that the HSI designation should mean that students could expect safety and support for DACA students, as well as the designation to mean a beacon university for immigrant students. Furthermore, some participants' perception suggesting that institutions utilize federal funds to advance immigrants and

DACA students speaks to the limited understanding of the student populations the designation is intended to serve.

Lastly, participants evidenced how their department and institutions have operationalized the HSI federal designation simply as a moniker rather than an enacted mission and sense of purpose for serving Latina/o students. Participants illustrated examples of how their universities view the HSI federal designation as a moniker rather than an enacted mission and sense of purpose for serving Latina/o students. The examples provided by the participants exhibit how their institutions have used the designation for public relations and privileged access to funding as oppose to reflecting a more centralized way of operationalizing the HSI designation to improve academic offerings, program quality, and provide equitable educational outcomes specific to Latina/o cultures.

As such, the findings of this study provided insight into the shared governance roles of 10 assistant tenure-track professors at their R1 institutions when granted an HSI designation. The themes and sub-themes that emerged from data analysis as previously identified in Table 5. While this chapter revealed the experiences of the participants, the following chapter analyzes the data using the frameworks outlined in Chapter 2. In addition to the data analysis, the next chapter details the implications of the findings as well as provides recommendations for practice.

CHAPTER V: DISCUSSION AND CONCLUSION

The purpose of this case study was to examine the roles of shared governance as it related to the institutional policymaking of faculty at R1 institutions when granted HSI status. The previous chapters canvassed the design of the study, the theoretical framework and the corresponding literature related to the issues presented in the case study, the methodological design, and the findings of the study. This chapter chronicles the conclusions drawn from the findings in relation to the research questions and theoretical framework, implications of the findings, and offers recommendations for future research. What follows is a brief overview of the study.

Brief Overview of Study

Shifts to an HSI designation can be contentious when R1 institutions are not transparent about their decision-making in seeking the HSI status. The characteristics of decision-making in obtaining the designation is indistinguishable between institutions who seek to serve Latino/a populations or institutions who received designation based on demographic growth. As a result, Latina/os experience negative outcomes related to high attrition and low completion rates when institutional environments are not reflective of HSI-specified federal funding focused on Latina/os student success outcomes. As such, given the governance structures of higher learning institutions, this case study critically examined the role of assistant professors among shared governance when an R1 is granted HSI status and the institutional policymaking process the R1 undergoes in aligning institutional mission with faculty roles and responsibility once receiving the HSI designation. Additionally, this case study also examined how R1 institutions operationalize the HSI designation in relation to Latina/o student success. The overarching research question and ancillary research questions for this study were as follows:

PRQ: What role, if any, do faculty have in the institutional policy-making process of an R1 when granted a federal HSI designation?

RQ1: In what ways, if any, does an HSI designation prompt faculty at a R1 university to re-examine departmental policies to ensure equity for their respective students as it pertains to degree completion?

RQ2: In what ways, if any, does an HSI designation prompt faculty at R1 institutions to redefine their teaching pedagogy to meet the learning needs of their respective students?

The theoretical framework utilized in this case study was organizational theory (Tierney, 1988) undergirded by a critical methodology (Wellmer, 2014), known as critical consciousness (Freire, 2009). The critical methodology was instrumental in accounting for institutional practices at R1s with an HSI designation as it related to faculty shared governance and Latina/o student success. The theoretical applications for this case study also critically examined the institutional policymaking process the R1 undergoes in aligning institutional mission with the federal HSI designation, as well as the faculty roles and responsibilities as it related to student success for Latina/os.

The literature review associated with study included *Latina/os in Higher Education* which discussed the demographic growth and completion rates of Latina/os in higher education, *The History of HSI Legislation and Policy Formation* which chronicled the historical account of scholarly vanguards in introducing HSIs into legislation and onto the landscape of higher education, *HSIs' Policies and Demographics* which highlighted the policies and demographics at HSIs and the pivotal role these institutions have in postsecondary education and the larger society, *Research Institutions (RI)* which narrated the characteristics of R1s and their distinct tripartite mission of research, teaching, and public service, and finally, *The Merging of Two*

Institutional Types which discussed the implications for institutions when operationalizing the dual designation of both the Carnegie Classification of an R1 and the federal designation of an HSI.

A naturalistic paradigm (Erlandson et al., 1993; Lincoln & Guba, 1985) framed this study. The participants had to self-identify as assistant tenure-track faculty members employed at an R1 institution with an HSI designation. A total of 10 individuals participated in this study: five from R1-1 and five from R1-2. The study was conducted at two separate universities, in two different states with two R1 institutions which were comparable in FTE undergraduates as well as state population demographics. Additionally, both sites were also comparable in the number of years in which they had received the HSI designation.

Table 6

**Participants' Name, Institution Description, Academic Discipline, Faculty Rank, Years of Service and Work Percentages*

| Participant Name/ Pseudonym | Faculty Rank | R1 w/ HSI Designation | Academic Discipline | Years of Service | Workload Percentages (R)esearch_% (T)eaching_% (S)ervice_% |
|--------------------------------|---------------------|--------------------------|------------------------|---------------------|---|
| Andrea | Assistant Professor | R1-1 | Natural Sciences | 3-6yr. | (R) 60% (T) 25% (S)15% |
| David | Assistant Professor | R1-1 | Human Medicine | 0-3yr. | (R) 50% (T) 40% (S) 10% |
| Jane | Assistant Professor | R1-1 | Social Sciences | 0-3yr. | (R) 60% (T) 30% (S) 10% |
| John | Assistant Professor | R1-1 | Applied Sciences | 0-3yr. | Unknown |
| Tabitha | Assistant Professor | R1-1 | Social Sciences | 3-6yr. | (R) 50% (T) 30% (S) 20% |
| Allison | Assistant Professor | R1-2 | Natural Sciences | 0-3yr. | (R) 70% (T) 25% (S) 5% |
| Christine | Assistant Professor | R1-2 | Social Sciences | 3-6yr. | (R) 60% (T) 30% (S) 10% |
| Ida | Assistant Professor | R1-2 | Social Sciences | 0-3yr. | (R) 70% (T) 20% (S) 10% |
| Jack | Assistant Professor | R1-2 | Applied Sciences | 0-3yr. | (R) 40% (T) 40% (S) 20% |
| Jord | Assistant Professor | R1-2 | Applied Sciences | 0-3yr. | (R) 40% (T) 40% (S) 20% |

*Self-selected pseudonyms

Data was collected via recorded phone interview, which ranged from 25-70 minutes. Additional data sources such as demographic profile sheets and CVs were also solicited from participants to further a thick description of each participant, as triangulation of data is essential for naturalistic studies in providing insights to relationships and validation of findings (Erlandson et al., 1993; Lincoln & Guba, 2013). Phone interviews were transcribed using a digitized software known as *Sonix*. Upon transcription data was parsed into units of analysis (Erlandson et al., 1993) to determine content analysis (Lincoln & Guba, 1985) using both a *Microsoft Excel* and a qualitative software known as *Dedoose*. Data was then coded and categorized into themes

and subthemes. To ensure *trustworthiness* of the study, member-checking and peer debriefing was utilized during the interviews as well as and follow-up emails to clarify participants' statements and researcher interpretations. A reflexive journal was also used to chronicle the methodology associated with this qualitative case study as to ensure *transferability* and *confirmability*.

What follows is a discussion of the findings associated with the themes and subthemes which emerged from the data analysis and theoretical framework used to frame this study. The themes that emerged from this case study were as follows: *Experiences and Perceptions of Shared Governance, The Conventional Roles and Responsibilities of Assistant Professors at RIs, Cultivating Equity for Student Success in Unfavorable Multiple Climates* and *Myths and Perceptions of the HSI Designation*.

Discussion of Findings

Primary research question. *What role, if any, do faculty have in the institutional policy-making process of an RI when granted a federal HSI designation? What role, if any, do faculty have in the institutional policy-making process of an RI when granted a federal HSI designation?* A vital theme that emerged from this study was the *Experiences and Perceptions of Shared Governance* that participants narrated about their roles and responsibilities or the “formal authority” assistant tenure-track faculty members have as it related to shared governance. Faculty have strong influence and authority in decision-making (Austin & Jones, 2016; Birnbaum, 2004; Tierney & Minor, 2004; Schoorman & Acker-Hocevar, 2010). As such, for faculty, the role of shared governance is generally situated into three categories of authority (Austin & Jones, 2016; Tierney & Minor, 2004): (1) formal authority in which faculty have decisive voting membership in a decision-making body, (2) the ability to make recommendations or provide consultative

input that may be accepted or dismissed by administrators or decision-making bodies, and lastly, (3) no authority. As such, the findings for the primary research question related to these three categories of authority in shared governance.

For participants in this study, they described their faculty roles and responsibilities at their R1 institution, having an HSI designation, in shared governance to include experiences with “voting” as addressed in the *Governance By Vote* subtheme, as it related to the policymaking and policy proposals of their respective departments. Additionally, this theme gave insight into faculty roles and responsibility as research (Mendez et al., 2015) suggests that despite the growing number of HSIs, research is scarce in understanding faculty roles and responsibilities in relation to research, teaching and service at these respective institutions. R1 institutions also have limited research in understanding faculty roles and responsibilities of assistant tenure track faculty members as these institutions continue to ascribe to their traditional organizational identity centered on the tripartite mission of research, teaching, and service (Birnbaum, 2004; Bland et al., 2006; Hirt, 2006; Lee, 2017; Miles, et al., 2018; Schoorman & Acker-Hocevar, 2010).

For participants like Christine, she posited that her perspective and experiences evidenced her comfort level in suggesting that shared governance is “inherent” for all tenure-track faculty members in having an “equal” role in the policymaking of their department. Another participant Andrea, narrated, “I mean our voices are heard but again that’s shared governance. When there is any policy to be changed or put in place we have to vote and everyone does, it has to pass in some cases unanimously or at least the majority. So, we are part of that and for faculty usually all the policies that go in place are led by faculty members, so I think we play a central role of those” (Andrea_R1-1, p.11). What Andrea posits, signals that assistant tenure-track faculty do

“have a voice in the policymaking” at the micro-level of the institution (e.g., department) and as such, have a central role in shared governance. This is significant, as research (Austin & Jones, 2016; Tierney & Minor, 2004) suggests that faculty should have decisive voting membership in a decision-making body. This finding was also consistent with what research (Birnbaum, 2004; Kezar & Eckel, 2004) posits in that the process of decision-making is a shared responsibility, and it creates the normative institutional process of efficiency, trust, and reliability essential to institutional purpose of shared governance. Birnbaum (2004) further suggests, that the reciprocity of this formalized structure creates the social capital institutions depend on for faculty to endorse formal and informal institutional goals and objectives. As such, participants also sought other avenues to leverage shared governance through committees, to create the conditions needed for policymaking and structural changes.

Jack, another participant, shared his experience with serving on additional committees as he recognized that his role in shared governance goes beyond the systematic process of voting but in fact, can contribute effectively in the shared governance process by serving on additional committees related to, “[R]eviewing policies and creating course programming” (Jack_R1-2, p. 15). This also aligns in what research (Austin & Jones, 2016; Tierney & Minor, 2004) concludes, that faculty authority should allow for recommendations or provide consultative input that may be accepted or dismissed by administrators or decision-making bodies.

Ida was also a participant who sought to create structural change within her department by serving on a committee that would evaluate or offer “recommendations” of the Dean’s performance directly related to the governing structure of her department, “Yeah, my Dean is dangerous, [and it would have been to,] it would have been to really provide a critical perspective of what we’re missing in terms of leadership and how it's been instrumental and

influential in a negative way on the experiences of tenure-track faculty members. So yeah, it would have been just to sort of provide a critical perspective, which I'm not sure will be represented necessarily” (Ida_R1-2, pp.8-9). Although, Ida was unsuccessful in procuring the votes needed to be the tenure-track representative to serve on the committee, this finding suggests that participants like Ida value the democratic process of shared governance by utilizing avenues such as serving on additional committees; and as research (Birnbaum, 2004; McKeown-Moak & Mullin, 2014) indicates, that the role of faculty among shared governance is most evident at R1 institutions when the capacity of decision-making is a shared responsibility as it pertains to research, teaching, *public service of educational policy*, institutional goals, institutional objectives, planning, budgeting, and *administration selection*.

Regretfully, not all experiences of participants related to shared governance were relayed as positive. For participants like John and Allison, they conveyed their negative experiences with shared governance by highlighting that even though they exercised their role in the shared governance process through “voting” and “service” within their department, the premise of “voting” and “committee work” were undermined in the power and true function of shared governance. As John narrated, “We are basically there just to like to catch typos or to help in some general things. But you know, we are not really there to set the decision. [E]ven when we are doing the evaluation of our colleagues for tenure and promotion, we're basically told how to vote. We have you know, what I [what I] call enforced consensus” (John_R1-1, p.8). This finding suggests that the governing structures of higher learning institutions have enacted environments composed of existing elements but are rarely deviated from, creating unlikely conditions for changes in organizational structures (Tierney, 2008). For Allison, her efforts in seeking additional opportunities to serve as a part of shared governance, bespoke to her inability

to be able to contribute to the curriculum changes needed at the department level but more so to the priorities of the department in relation to research and grant funded projects, “No, they don't care what I care about... [T]hey want me to spend my time writing papers and getting grants” (Allison_R-2, p.3). John and Allison's experiences suggests that the process of shared governance has been undermined. This can be problematic as Birnbaum (1988) argues that higher learning institutions differ from organizations in structure and processes but most saliently through shared governance; as it is the primary authority established at college and universities that formally articulates and legitimatizing the faculty role and decision-making in academic shared governance (Birnbaum, 2004).

In summary, assistant tenure-track professors at R1s with HSI designations do have a role in shared governance, as participants relayed their experiences in exercising votes, policy proposals, recommendations, and additional service work. Although, the process of shared governance for several participants undermined the core principles of academic freedom (Academic Freedom and Tenure, 1969; AAUP and CAUT censure lists, 2007; Bejou & Bejou, 2016; O'Neil, 2016), participants recognize the significance of their role in the governing structure of their institution, “I feel like at this time in my career, that's my one kind of like measurable way of contributing to actual structural changes in the vote that I have as a tenure-track faculty member ” (Ida_R1-2, p.3). This is paramount as research (Renn & Patton, 2017; Tierney,1998; Tierney, 1999) suggests, interdisciplinary citizenry of faculty shared governance is essential in shaping organizational culture, as campus cultures are powerful forces that shape and are shaped by postsecondary constituents.

Ancillary research question #1. *In what ways, if any, does an HSI designation prompt faculty at a R1 university to re-examine departmental policies to ensure equity for their respective students as it pertains to degree completion?*

While participants perceived their roles to have significance in the formal structures of shared governance, they also narrated, as indicated in the theme *Myths and Perceptions of the HSI*, the disconnect that their respective universities have in relation to departmental policies, in view of the HSI federal designation. The participants' experiences suggested that their institutions utilized the HSI designation as a moniker rather than an enacted mission and sense of purpose for serving Latina/o students. Additionally, the examples that participants provided exhibited how their institutions have used the designation for public relations and privileged access to funding associated with the HSI designation and in terms of procurement of additional grants.

Jack was a participant that reflected how his institution operationalized the HSI for research funding, "Yeah, so I'm not personally aware of any challenges that come with an HSI designation. I think that it's mostly a benefit to an R1 University because there's a lot of funding opportunities for research or not even for research just for [just] general funding that [are you know] are open only to HSI universities or being an HSI. [B]eing an HSI sort of gives you a bonus point or improved standing in the review process for the grant funding" (Jack_R1-2, p. 22). This finding is consistent in what Tierney (1988) postulates that for organizational theory, institutions of higher learning or institution types, can determine the culture on organizational policy and decision-making. In other words, participants narrated that the R1's institutional culture of research and research entrepreneurship has been a catalyst in procuring the HSI designation. This finding can also be problematic, as the university is capitalizing on the HSI designation and federal funding associated with the designation as opposed to being an institution

that is centralized in utilizing the HSI designation (and federal funding) to serve the Latin/o student population (Contreras & Contreras, 2015; Hurtado, 2012; Kuh & Whitt, 1988; Tierney, 1998).

David and Allison were also participants who described their understanding of the designation to be disconnected in terms of what the HSI designation would mean for their institutions, “[I] know I am aware that we are one. I am aware that the student body is a sizable fraction Hispanic...I don't know that I necessarily [like] identify this place as being overtly Hispanic in any recognizable way and so I don't know what that means. But I don't know what would be different about teaching here, I mean teaching at an HSI rather than elsewhere” (David_R1-1, p. 5-7). David account supports research that argues that there are several significant factors that contribute to the increased development of HSIs: (1) which can be attributed to the demographic growth of Hispanics, (2) high shifts in Latina/o migration patterns and, (3) the racializing of Hispanics in higher education (Carr & Kutty, 2008; Contreras & Contreras, 2015; Cobas et al., 2009; Garcia, 2019; Greene & Oesterreich, 2012); but most significantly, these factors have resulted in a smorgasbord of institutional types and identities for HSIs (Hirt, 2006; Renn & Patton, 2017). As such, this creates uncertainty for faculty in identifying between institutions who seek to serve Latina/o populations or institutions who receive the designation based on demographic growth or increased opportunities for federal funding (Contreras & Contreras, 2015; Garcia, 2019; Greene & Oesterreich, 2012).

Additionally, a second participant Allison, also narrated a similar experience in the lack of understanding of what the HSI designation should mean for her institution, “[T]o be honest, like I have no idea what the HSI designation means except that we have a bunch of Latinx students. I don't know. I've never heard anyone talk about like

structures in place or anything that... I don't really know what it means and I'm not sure that I don't know what it changes in our institution at all” (Allison_R1-2, p.p.10-11).

Allison and David’s responses indicate a disconnect between the HSI designation and the university’s practices related to the HSI designation. Garcia (2019) notes, that the complexity of both the socially constructed federal designations of *Hispanic* and *Hispanic-Serving Institutions*, ultimately has had its consequences, contributing to the arbitrary and uncertainty of operationalizing the HSI designation across multiple institutional types (Hirt, 2006). This also suggests, for these participants, that they are left to themselves to navigate what departmental policies or measures should be taken in support of the academic student success for Latina/os as intended by HSI designation.

John was also a participant that narrated the arbitrary and uncertainty of operationalizing the HSI designation at his respective institution, “[I] think that the challenge is that supposedly an HSI designation is geared toward the university as a teaching institution. And, the R1 designation is geared at the university as a research institution...I think all R1s have this tension already. So, the expectations that an HSI would translate into better teaching for Hispanic students means that that tension is exacerbated which can be a good thing if that action then forces the universities to be more accountable which would prove its pedagogy for undeserved students” (John_R1-1, pp. 23-24).

This finding indicates that faculty experience tensions between two institutional types with competing missions for the students that they serve, as oppose to an overarching climate of the institutions seeking to serve Latina/o populations. Garcia (2019) proposes, that the end goal is for an HSI institution to be considered “Latina/o-

Serving”, would be to meet the federal HSI designation in enrolling minimally 25% of the FTE undergraduate students who identify as Hispanic or Latina/o, enhance and enact cultures reflective of Hispanic and Latina/o populations, while producing equitable outcomes for Latina/os (Contreras et al., 2008; Freeman & Martínez, 2015; Garcia, 2019; Hurtado, 2012; Hurtado & Ruiz, 2012). However, the challenge for participants like David, Allison, and John, at their respective R1s is determining which quadrant based on the, *The Typology of HSI Organizational Identities* (Garcia, 2019), is their R1 is currently operationalizing the HSI designation as it relates to departmental policies and student success. As R1s ascribed more to an organizational *identity* tied to the tripartite mission of research, teaching and service, and organizational *culture* tied to the mission of HSIs’ (Garcia, 2019).

A secondary finding of the ancillary research question as indicated in the *Faculty Entrepreneurship as the Profession* section, was the participant’s narratives pertaining to tenure and promotion. Participants described both merit and tenure and promotion to be synonymous with research revenue, funding potential and publications, with little regard for teaching and scarce regard for service. This aligns with what research (Eckel & Kezar, 2016) posits, in that faculty at R1s are in a juxtaposition to maintain fidelity of the academic mission, maintain a normative structure of shared governance while increasing efforts to generate revenue for themselves and their respective campuses (Birnbaum, 1988, 2004; Lee & Rhoads, 2004).

Tabitha noted, that the promotion standards for compensation are driven by research productivity much like a business, an “entrepreneurial” profession, “So, the majority of our compensation is driven by research productivity and research productivity

measured in not only the caliber of the outlet but also its impact as reflective in citations. You know, it's a very entrepreneurial field" (Tabitha_R1-1, pp.4-5). This supports Lee and Rhoads (2004) work that contends in that the generating efforts for increased revenue for institutions is highly determined by faculty entrepreneurship and the corporatizing of academia in higher education (Schoorman & Acker-Hocevar, 2010).

Another participant Jack, also describes his juxtaposition between the professoriate and faculty entrepreneurship as the profession, "What they've said is that you know, no one at my university is going to get tenure based on teaching reviews or based on service, you get tenure based on your research" and as Jack would later posit, "I would say that research is a very significant factor in the tenure and promotion review process" (Jack_R1-2, p.6). For Jack, his explicit narration of responsibility for faculty at R1 suggests that research and research productivity are the metrics needed for success as a tenure-track faculty member. Much like research (Banks, 2012; Hurtado & Sharkness, 2008; Rice, 1996); indicates that tenure and promotion committees have traditionally evaluated candidates based on their contributions to teaching, scholarship, and service however, for the faculty at research institutions, funding potential and funding records are essential to the PTP process (Kosar & Scott, 2018; Price & Cotton, 2006; Tierney & Bensimon, 1996). This suggests that despite the HSI designation, the metrics for tenure track faculty T&P at R1 institutions continue to rely heavily on scholarship and procurement of grants.

Additional participants like David, also articulated inconsistencies relating to teaching as a priority for his R1 institution, "I am much more a fan of the framing of justice, I guess rather than equity, but I also don't know exactly how to make that happen

certainly in the classroom where teaching is not a priority for tenure-track faculty at this university” (David_R1-1, p.4). David’s notes the juxtaposition of ethics tied to what research suggests that assistant tenure-track faculty face in terms of their promotion and tenure at R1s (Fairweather,1988; Lee & Rhoads, 2004). David’s narration also indicates that he is cognizant for the need of justice as it relates to equity in the classroom; however, as he describes, the organizational culture of his institution as it relates to faculty rewards is not structured to support faculty in creating conditions for student success as it relates to teaching.

John was also a participant who communicated the de-emphasis and disassociated expectation between students and faculty responsibilities at his R1 institutions, as it related to teaching, “For example, the faculty really do take this distinction seriously and will actively tell the students like don't bother me teaching is not my priority here. And the students get kind of shocked like what do you mean teaching is not your priority? (John_R1-1, p. 17). John’s description continues to solidify the disconnect between the faculty demands of research productivity and the tripartite missions of R1 universities in providing a collaborative public good of research, teaching and service (Dewey, 2016; Bastedo, Altbach, & Gumport, 2016; Cohen & Kisker, 2010; Hirt, 2006; Saltmarsh & Hartley, 2001). As such, the concept of faculty entrepreneurship has become the primary distinction of research, and the ramifications have resulted in deleterious policies of teaching and service; negatively, effecting minoritized populations (Schoorman & Acker-Hocevar, 2010). The aforementioned premise continues even with an HSI designation.

In summation, for these participants, their narratives revealed that the HSI designation has not prompted faculty at R1s to re-examine departmental policies to

ensure equity for their respective students as it pertains to degree completion. This is unfortunate as research posits (Blanchard & Baez, 2016) that the organizational structure of shared governance within a public or private institution of higher learning is directly tied to the academic outcomes of its constituents. Latina/o students who enroll at HSIs are dependent on the organizational structure to be reflective of the HSI designation in support of graduation outcomes (Anaya & Cole, 2003; Hurtado & Kamimura, 2003; Ledesma & Burciaga, 2015; Padilla, 2003). Consequently, institutions that compromise academic fidelity by operationalizing as an academic corporation creates an impasse between the tripartite mission of RIs and the HSI designation; gravely affecting the levels of equity and student-faculty engagement that Latina/o students need to experience success (Hirschy, 2017; Kuh et al., 2010; Rendón, 1994; Rendón & Kanagala, 2014; Tinto, 1993).

Ancillary research question #2. *In what ways, if any, does an HSI designation prompt faculty at RI institutions to redefine their teaching pedagogy to meet the learning needs of their respective students?* A finding that generated from the theme *Cultivating Equity for Student Success in Unfavorable Multiple Climates* explicated the narratives that participants revealed in attempt to cultivate student success by providing equity through their pedagogy and mentorship opportunities. Andrea, a hard sciences faculty member, was a participant that relayed her understanding about the critical aspects and obstacles facing Latina/os undergraduate students. Andrea indicated that she understands that students do not arrive on campus with the same preparation and knowledge and that it is incumbent upon the faculty to be “[C]onscientious of those differences in the way that we deliver our material to ensure that hopefully by the time at which they graduate,

by now we have leveled out and that then you know that they are graduating. Hopefully, at the same rate as everyone else” (Andrea_R1-1, p.7). This finding was pivotal as research suggest that the role of faculty at HSIs is significant as their pedagogies are often tied to principles of equity and social justice which research suggests leads to higher levels of student engagement needed for Latina/o students to persist (Benitez et al, 2017; Freeman & Martinez, 2015; Hurtado, 2012; Rendón, & Kanagala, 2014; Umbach & Wawrzynski, 2005; Yosso, 2005). Another participant, Allison strived to foster equity through her platform as a STEM faculty member, by redesigning her courses that allowed for active learning and critical thinking skills. Allison suggested that she redefined her teaching pedagogy to allow for student success, “[A]nd ... making it more inclusive and molding our curriculum more toward [like] making sure that everyone can succeed” (Allison_R1-2, pp.6-7).

This was a significant finding as faculty play a dynamic role in the maximization of Latina/os student learning efforts and educational outcomes (Anya & Cole, 2003). As such, it is essential to recognize that Latina/o student-faculty interactions on HSI campuses are occurring on socially constructed environments incorporating race, not as a categorical factor, but as an aspect of persistence as posited by Allison, “making sure that everyone can succeed”, in contributing to Latina/o undergraduate degree completion (Anya & Cole, 2003; Castellanos & Jones, 2003; Garcia, 2019). This also aligned with what research (Castellanos & Jones, 2003, p. 8; Tinto 1993) posits in that faculty contribute to student persistence at HSIs when students experience a high degree of faculty interaction, “Latina/o students” will take a more active role in their education than other students and as a result contribute to undergraduate degree completion (Anya & Cole, 2003; Castellanos & Jones, 2003; Garcia, 2019).

In summary, while some participants acknowledged the need for critical consciousness pertinent to student success, not all participants insights were deemed actionable as little insight was given in how to enact teaching pedagogy. Yet, some participants did note that they redefined their teaching pedagogy to meet the learning needs of their respective students. Participants' awareness of the lack of equity in the preparation of students prompted them to deliver course material in a manner that worked to foster student success. The emphasis on the "delivery" of course material was evidence that they equate teaching pedagogy with Latina/o student success and completion rates; an aspect that reflected their autonomy as assistant professors. This was significant as research (Hirt, 2006; NCES, 2003) suggests that 66% of faculty at R1 institutions teach all undergraduate classes. Additionally, as a result of the participants' awareness, research (Anya & Cole, 2003; Castellanos & Jones, 2003; Garcia, 2019; Ponjuan, 2013; Rendón, 2014) posits, that this creates a combination of ethnic consciousness, a cultural wealth paradigm, and academic support from faculty at HSIs (Rendón & Kanagala, 2014; Freire, 2009; Yosso, 2005) that is essential for Latina/os in persistence towards degree completion.

Overview of Findings

The access codes and opportunities for higher education differ for underrepresented populations, as such is the case for Latina/os (interchangeable with Hispanic) populations, who also identify with cultures tied to Cuba, Mexico, Puerto Rico, Spanish cultures and South or Central America (Corral et al., 2015; Kamimura-Jimenez & Gonzalez, 2018; Perna, Li, Walsh, & Raible, 2010; Terenzini et al., 1985). Research ascertains (Pajak & Green, 2010) that "misrecognition" defined as the dominant element of society in education, perpetuates the disbelief in the legitimacy of institutions to facilitate upward mobility for marginalized populations. This "misrecognition" is often the driving force in which institutional cultures

(Tierney, 1991) perpetuate pedagogical and campus climate negligence against diverse student bodies. As such, this study employed a critical paradigm in utilizing organizational theory (Tierney, 1988) to expand literature in contextualizing the dual functions of faculty roles among shared governance at R1 institutions when granted HSI status; and as a result, furthered the understanding the role faculty contributed toward Latina/o academic student success (Nuñez et al., 2013; Santiago, 2011).

Implications for Practice

The findings of this study suggest that assistant tenure-track professors do have a role in the formalized structure of shared governance at R1s operationalizing an HSI designation; and that the HSI designation prompt *some* faculty at R1 institutions to redefine their teaching pedagogy to meet the learning needs of their respective students. However, the findings also evidence a disconnect between assistant tenure-track professors and their universities in relation to departmental policies in ensuring equity for Latina/o students as it pertained to degree completion. Based on the findings of this study, the following recommendations are offered:

1. Institutionalize onboarding of faculty to specifically address their role to address what the HSI designation entails and what role faculty can play in facilitating the success of Latina/o students. As this study's findings depict, assistant tenure-track faculty have a large portion of the responsibility in educating undergraduate students. It would behoove R1 universities that have traditionally centered on organizational identity to educate faculty about the HSI designation, that is centered around Latina/os (interchangeable with Hispanic) populations, who also identify with cultures tied to Cuba, Mexico, Puerto Rico, Spanish, and South or Central America cultures.

2. In addition to situating the HSI designation, the onboarding process could be developed in conjunction with faculty teaching centers or the office of diversity and inclusion to

workshop best practices at it relates to Latina/o academic student success. As research (Contreras & Contreras, 2015; Garcia, 2016; Renn & Patton, 2017) posits, institutions have not historically been transparent about the decision-making in obtaining the HSI designation. This was evident in the findings whereby participants viewed the HSI designation operationalized simply as a moniker (Greene & Oesterreich, 2012) rather than initiatives that sought equitable educational outcomes for Latina/o students.

3. Research 1 Universities operationalizing a Hispanic-Serving Institution designation should consider a collective think tank in dialoging about the tenure and promotion standards as it relates to the HSI designation and Latina/o academic student success. The findings of this study highlighted inconsistencies between the institution, departments, and faculty, in relation to the departmental policies of promotion and tenure in ensuring equity for their respective students. Participants' narrated that their productivity was the promotional metric needed for success as a tenure-track faculty member. Much like research (Banks, 2012; Hurtado & Sharkness, 2008; Rice, 1996) indicates tenure and promotion committees at R1s have traditionally evaluated faculty on funding potential and funding records (Kosar & Scott, 2018; Price & Cotton, 2006; Tierney & Bensimon, 1996) as oppose to their contributions in teaching and service. Changes to the tenure and promotion policies that align with the vision and mission of the institution could allow candidates to be evaluated based on their contributions of research, but also to include teaching and service as it relates to the HSI designation and Latina/o student success.

4. Institutions re-evaluate Strategic Plans key initiatives that will allow for institutional polices to capture the institution's ideal HSI identity. As illustrated in the

findings of this study, institutions are not distinguishable between those who seek to serve Latino/a populations, those who receive the designation based on demographic growth (Contreras & Contreras, 2015; Garcia, 2019; Mendez et al., 2015) or those who seek to exploit the designation for funding purposes. Key *and explicit* initiatives related to the institutions Strategic Planning and the HSI designation could create the conditions institution need to “constructed an ideal HSI identity” (Garcia, 2019). Research (Garcia, 2019) posits that a proposed typology is needed for institutions to “capture” an HSI organizational identity. Participants’ eluded that they were uncertain about what the HSI designation would mean for their R1 institution. Research (Contreras et al., 2008; Freeman & Martínez, 2015; Garcia, 2019; Hurtado, 2012; Hurtado & Ruiz, 2012) contends that the end goal is for an HSI is to be considered Latina/o-Serving, would need to meet the federal HSI designation in enrolling minimally 25% of the FTE undergraduate students who identify as Hispanic or Latina/o, enhance and enacts cultures reflective of Hispanic and Latina/o populations, while producing equitable outcomes for Latina/os. Key initiatives pertaining to a university’s Strategic Planning would allow for institutions to be intentional in identifying which quadrant of an “organizational HSI identity” their institution would reflect in relation to *Latina/o-Producing, Latina/o-Serving, Latina/o Enrolling, Latina/o-Enhancing, or Latina/o-Serving* (Garcia, 2019) in aligning with an R1’s institutional purpose and mission.

Future Research

The findings suggested that assistant tenure-track professors do have a role in shared governance at R1 institutions when operationalizing an HSI. Yet, scholarship on how HSI designations operate at an R1 remains warranted as the organizational culture of R1s are central

to research and research funding initiatives. Additionally, little is known about faculty demographics at HSIs, or the typology of institutions in how they construct an ideal HSI identity. As such, future research recommendations follow:

1. Utilize multiple methods of inquiry to disaggregate data in relation to federal funding and Latina/o student' completion rates across various institutional types, when operationalizing an HSI designation. University leaders could ideally hold departments and units within their institutions accountable in how federal monies from HSI designations are spent. More specifically, university leaders could disaggregate data to further understand how monies are translated into serving Latina/o academic student success. As research suggests that Latina/os experience negative outcomes related to high attrition and low completion rates (Fry, 2002; Hurtado & Ruiz, 2012) when institutional environments are not reflective of HSI-specified federal funding focused on Latina/os student success outcomes (Griffin, 2017; Hurtado & Ruiz, 2012; Renn & Patton; 2017; Terenzini et al., 1985). Further quantitative studies would complement and provide a broader, nuanced understanding of how funding is related to Latina/o student completion rates. Additionally, such studies could serve as an accountability measure of how federal monies are allocated (or not allocated) to serve Latina/o students.

2. Qualitative case studies to understand race and di-racial categories as it relates to HSIs. As noted in the *Findings* section, participants narrated experiences that prompted them to view students at HSIs as an aggregate of both Hispanic and first-generation status rather than a disaggregate of the two minoritized categorizations. Research (Garcia, 2019) also notes this complexity of the socially constructed federal designations of *Hispanic* and *Hispanic-Serving Institutions* have contributed to the arbitrary and uncertainty of operationalizing the HSI designation across multiple institutional types (Hirt, 2006). Through a method of critical inquiry,

researchers must examine how institutions differentiate between race and di-racial categories as it relates to HSIs. As such, further research could inform institutions about the distinction between the academic needs specific to Latina/o populations and academic need of minoritized populations as it relates to students' persistence and academic success.

3. Examine the Disaggregated Faculty Demographics at HSIs to better understand hiring practices of HSIs. Research suggests (Hurtado, 2012) that Latina/o faculty represent 31.1% at HSIs and as such, HSIs must renegotiate their PWI tendencies and operate through espoused-HSI mission and values (Garcia, 2019; Freeman, 1999; Hurtado, 2012; Ledesma & Burciaga, 2015; Valdez, 2015). Additionally, the increase of persistence of Latina/o students can be attributed to the non-cognitive factors faculty contribute, “the sheer presence of Latina/o faculty who have navigated and succeeded within the educational system proves to Latina/o students they can also succeed academically” (Castellanos & Jones, 2003, p. 9). Even so, the academic environment remains challenging for Latina/o students in higher education as the paucity of research is limited on the demographics of faculty representation at HSIs (Banda et al., 2017; Hirt, 2006; Santiago & Taylor, 2017). Furthermore, research concerning Latina/o faculty in general tends to be elusive and does not allow for descriptive characteristics of Latina/o faculty in higher education (Castellanos & Jones, 2003; Hirt, 2006). As such, future studies should examine the hiring practices of faculty at HSIs as means to gain insight into how faculty are selected at HSIs (Anya & Cole, 2003).

4. Research studies should examine the typology of institutions in “constructing an ideal HSI identity”. Based on Garcia's (2019) typology illustrating the quadrants of Latina/o-Producing, Latina/o-Serving, Latina/o Enrolling and Latina/o-Enhancing, institutional policies could invariably operationalize the HSI designation to align with an institution's purpose and

mission. Such an examination could serve as foundational to incorporating the HSI designation into strategic plans.

5. *A conceptual framework to build upon the work of Garcia (2019) in constructing a concrete typology centered on a Latino-Serving Institution (LSI) aligned with the HSI designation.* Institutions could adopt policies and practices relating to a principle identity of what it means to be an LSI. Institutions would evidence the LSI through structural changes, training and support for staff and faculty to better understand the academic needs specific to Latina/o populations, culturally reflect campus programming, improve academic offerings, develop Latina/o students and produce favorable outcomes for Latina/o populations within the institution.

Final Thoughts

As we continue to experience the tectonic demographic shift of Latina/os in the U.S., policies and practices must be implemented to undergird and support the success of this growing demographic. Latina/o populations represent the youngest and fastest growing ethnic minoritized group in the U.S., yet, have the lowest levels of degree completion. Research suggests (Laden, 2001; Ledesma & Burciaga, 2015), that HSIs play an integral role in increasing the degree completion of Latina/o students. As such, undergirded by a critical paradigm, there is a need to distinguish traditional forms of social theory that is conceptualized as part of a struggle for an “association of liberated human beings, in which everybody would have an equal chance of self-development” (Wellmer, 2014, p. 706). R1 institutions that have traditionally centered on organizational identity but choose to operationalize a federal HSI designation, whose identity is centered on organizational culture, must have critical consciousness with respect to the completion outcomes for Latina/o undergraduate students. As R1 institutions seek to apply for the federal HSI designation, it is my hope that by operationalizing a merge combined of both organizational identity and organizational culture, R1 institutions will examine their policies in creating the equitable outcomes that are essential for Latina/o students to succeed in higher education.

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LIST OF APPENDICES

| APPENDIX | PAGE |
|--|------|
| Appendix 1. SEMI-STRUCTURED INTERVIEW PROTOCOL APPENDIX A..... | 173 |
| Appendix 2. DEMOGRAPHIC SHEET APPENDIX B..... | 175 |

SEMI-STRUCTURED INTERVIEW PROTOCOL APPENDIX A

1. What influences, if any, prompted your decision to pursue a faculty career?
2. Share with me what has led you to your current institution.
3. Describe to me what your perceived role is in the governing structure of your institution.
4. Could you describe for me how your institution's faculty reward system is structured?
5. What if any, priorities exist for faculty at your institution?
6. In what ways, do your priorities as faculty at your institution relate to your reward system?
7. As a faculty member what type of committees have you served on?
8. Are there any committees you would like to serve on and why?
9. What value do you feel the university has on service?
10. Share with me what equity in education means to you?
11. What does a typical day of teaching look like for you in your classroom?
12. In what ways, if any, does teaching reflect your reward system?
13. What does teaching at an Hispanic Serving Institution (HSI) mean to you?
14. What does teaching at an R1 institution mean to you?
15. What department policies, if any, exist to support undergraduate students that demographically relate to the university's HSI designation?
16. What does having an HSI designation mean for your discipline?
17. In what ways, if any, has the HSI designation shifted your faculty responsibilities?
18. What role, if any do you have in the policymaking at the department level? If yes, share that experience.

19. What challenges, if any, does an R1 designation encounter when receiving an HSI designation? If not why do you think this is the case?
20. Is there anything you would like to add that I perhaps did not ask or address?

DEMOGRAPHIC SHEET APPENDIX B

Please answer the following questions:

1. Nationality:
2. Gender:
3. Faculty Rank/Title:
4. Were you a first-generational college student (first-generation denotes neither parent has a 4-year bachelor's degree)?
5. What high school did you attend?
6. Primary Research Interests:
7. Based on your answer to question (6) why is this your chosen topic of research?
8. What is your current workload percentages?
Research ____% Teaching _____% Service ____%
9. What type of committees have you served on and of those which one(s) have been the most beneficial?
10. Based on your faculty reward structure do you feel confident in being awarded tenure and promotion?
11. What is your personal definition of an HSI?
12. From your personal perspective, provide a definition for equity in education.
13. What pseudonym would you prefer to be used for you in this study?