A PRACTITIONER'S GUIDE TO CULTURAL HUMILITY: AUTOETHNOGRAPHY OF A
MEXICAN-AMERICAN WOMAN OVERSEEING COMPLIANCE IN HIGHER
EDUCATION

by

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ABSTRACT

This product dissertation provides insight into the lived experiences of a compliance officer through the work of autoethnography and provides a practitioner's guide informed by Tervalon and Murray-Garcia's seminal article *Cultural Humility Versus Cultural Competence: A Critical Distinction in Defining Physician Training Outcomes in Multicultural Education.* The application of cultural humility's tenants, life-long learning and critical self-reflection, recognizing power imbalances, and developing mutually beneficial partnerships with the communities we serve were applied as an instrument for the implementation of student conduct, regulatory compliance, advocacy, and implementation of institutional policy and procedures in higher education.

The development of the Practitioner's Guide to Cultural Humility merged tactics informed by the lived experiences of a Mexican American woman who oversees student conduct and compliance in Predominately White Serving institutions and provides tactics that merges the application of cultural humility tenants to balance between providing due process, adjudication of institutional policy, regulatory oversight, risk assessment, and providing behavioral intervention with advocacy.

KEY WORDS: (Compliance, autoethnography, cultural humility, testimonios, student conduct)

DEDICATION

I dedicate this dissertation to my unconditional loves to whom I owe the completion of

this work, my sense of self, and all that I am- my mom, Memo, Sofia, and Susana.

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Glass, and Dr. Cecilia Suarez for guiding me through professional and academic crossroads with affirmation, faith, and encouragement.

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INTRODUCTION

A quotation can evoke hope, pain, healing, perseverance, and other sentiments that reflect one's life experience in its various facets. The following quote articulated by Frida Kahlo resonated with my life experience:

> I used to think I was the strangest person in the world, but then I thought there are so many people in the world, there must be someone just like me who feels bizarre and flawed in the same ways I do. I would imagine her and imagine that she must be out there thinking of me too. Well, I hope that if you are out there and read this and know that, yes, it's true I'm here, and I'm just as strange as you. (Frida Khalo quotes, n.d. para. 12)

Kahlo's quote illustrates several aspects of the personal, academic, and professional trajectory that inspired this study. Ontology is described by Jayne Pitard as "what we know"; she defines epistemology as "how we know it," and that both are the outcome of our "lifelong learning and not a precursor to them" (Pitard, 2017, p. 1). Additionally, Pitard proposes an approach to use the researcher's positionality in qualitative inquiry as an avenue to build trust between the researcher and the reader by exercising transparency in the arrival to the data presented in the work of autoethnography (Pitard, 2017). It was the quest to research my ontology and better understand how it would contribute to a Mexican American woman's epistemology that informed the starting point for this autoethnography. Reflecting on this principle, I will refer to myself as the researcher when my positionality as both- the subject and the researcher is one and the same. I will use the first person when using the value of my lived experiences to support the research and purpose of the study.

This dissertation will apply what I learned in my journey into the Self and the potential connection of my experiences, including traversing an unknown land and unknown educational and professional systems to develop tools that showed me the "how" to grow and evolve as a scholar, leader, and person in each space. Similar to Khalo, aspects of my life resulted in my feeling of being flawed, bothered, or misunderstood. These experiences intersect with my attempts to build a sense of self and connections with those around me.

Although the search and discovery process was arduous, cathartic, and introspective, the process helped me rediscover how the multiple aspects of my identity as an immigrant, English learner, first-generation college student, first-generation professional, and first-generation scholar influenced my ability to see others with empathy and advocacy.

Epistemology is defined by Trochim et al. (2016) as "the branch of philosophy that holds that ideas evolve through the process of natural selection" (p. 9) and explains that researchers who engage in evolutionary epistemology "influence the degree to which discoveries are taken up as part of evidence base for practice" (p. 10). The epistemology, anthology, and theoretical framework of this dissertation are anchored in the latter assertion: In what ways can the outcome of this study "influence the base of practice" for compliance officers who are Mexican Americans, Black, Native American, Asian Pacific Islander, members of the LGBTQI community, or colleagues who identify as a member of an underrepresented group?

THE ROLE OF COMPLIANCE OFFICER

The definition of the role of a "compliance officer" varies within the literature and within institutions. Hataier's (2018) dissertation, *How Higher Education Compliance Officers Learn to Manage New Requirements in a Dynamic Regulatory Environment* highlights the compliance

aspects of Title IX compliance officers and illustrates the general definition of the compliance role across the field. Hataier (2018) proposes:

> Compliance officers exercised the freedom to portion their time across multiple roles: community education, enforcement, and campus culture shaping…historic higher education roles as stewards of community and spokespeople for the quality of the student experience in higher education. (p. 17)

While the titles aligned with professionals whose role includes student conduct oversight varies by institution and within the literature, terms used interchangeably include student conduct administrator, student compliance manager, Director of Student Conduct, Director of Community Standards, and Dean of Students. The term compliance officer will be used throughout the study as a means to convey the roles aforementioned and as described by Kibler (2020) below:

> Higher education professional whose daily work involves knowledge, expertise, and competence in such areas as free speech and the First Amendment, sexual misconduct/Title IX, behavioral manifestations of mental health, academic dishonesty/integrity, individual and organizational misbehavior, bias-motivated misbehavior, threat assessment and intervention, and many other aspects of this complicated and challenging work (Kibler, 2020, p. x).

Although enforcement is an important aspect of a compliance officer's work, balancing enforcement with supporting students and advocacy are equally important aspects of the daily role and potential impact. This balance of supporting student rights and accountability is not a novice concept, and it is a critical component within the anthology of conduct officers' roles as described by the Association of Student Conduct Administration's publication, *Pearls of Wisdom: 30th Anniversary of the Association of Student Conduct Administration* (2018). From the beginning of higher education in the United States, when the colonies began establishing formal institutions of higher learning, the intent was to educate clergy, and the compliance role was geared toward affluent individuals who were also tasked with leading and upholding the moral fiber of the colonies (Dannells, 1997; Lancaster & Waryold, 2008, pp. 9-10). President

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Thomas Jefferson's letter to Dr. Thomas Cooper Monticello addressing a student incident that transpired on Monticello's campus illustrates the identification of how a student's development of themselves impacts the collegiate environment (Jefferson, 1822):

> The article of discipline is the most difficult in American education. Premature ideas of independence, too little repressed by parents, beget a spirit of insubordination, which is the great obstacle to science with us, and a principal cause of its decay since the revolution (para. 3).

Like the example posed by Jefferson, the collegiate experience encompasses multiple layers of student behavior including asserting their beliefs, challenging the systemic structure, and maturing through stages of intellectual awareness, and all impact the collegiate environment. Thomas Jefferson's experience serves as a reminder that, in spite of his status as a Founding Father, his identity as a white male, and a renowned person in his community, he was not exempt from the challenges of overseeing student compliance.

OVERSEEING MISBEHAVIOR IN COLLEGES: DEAN OF STUDENTS, MEN, AND WOMEN

The range of consequences and oversight of misbehavior also experienced a historical transformation. Dannels (1997) illustrates the early implications of misconduct in colonial times included a wide range, such as expulsion, public embarrassment, physical punishment, fines, and public shame. These implications reflected the system that provided college presidents and faculty with the ultimate authority *in loco parentis* (in place of parents), thereby providing them with limitless authority to govern over the student body (Dannels, 1997, p. 16; Hoekema, 1994). In their historical overview of student conduct, Lancaster and Waryold (2008) remind us that universities were founded in the United States initially modeled after British Law bestowing full authority "in place of parents" to professors and administrators, thereby impacting the ability for students and faculty to forge collegial relationships with students. For that reason, Harvard

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University created the first Dean of Men position in 1870 (Lancaster & Waryold, 2008, pp. 9-10). A parallel role was established when Alica Freeman Palmer became the first Dean of Women at the University of Chicago in 1892 (Lancaster & Waryold, 2008, pp. 9-10).

Munin and White (2019) explore the history and impact of the Dean of Students role in higher education. Their synopsis of the trajectory of the position speaks to how the role of Dean of Women cemented a separate Dean of Students role for men and women as Alicia Freeman and her successor, Marion Talbot, paved the way for many dean of women at various universities to organize, create professional organizations, and complete scholarly work specific to their roles (Munin & White, 2019).

In their overview of student conduct, Waryold, Lancaster, and Kibler (2020) discussed the role of compliance as higher education progressed with minor changes in the early Federalist era through reconstruction's impact of the Morrill Act of 1862. Even though the Morrill Act paved a way for the founding of colleges, it still left the compliance role to the Dean of Men and Dean of Women with the continuation of the authority invested in colleges and universities to supplant the role of parents (Warylod, Lancaster, & Kibler, 2020). A 1937 report by the American Council of Education Studies, *The Student Personnel Point of View*, is credited as being the guiding document for student affairs professionals by the National Association of Student Personnel Administrators (NASPA) as it details foundational subjects intrinsically connected to student success (National Association of Student Personnel Administrators, n.d.). Among the different areas that impact student administrators, it alludes to the need for "an educational office" whose role would include the "intimate responsibility" for which faculty members had been designated (as cited in National Association of Student Personnel Administrators, ACE, 1937). The report's articles 18, 22, and 23 illustrate the role of a

compliance officer in 1937 — elements which remain part of the role in present day (as cited in

National Association of Student Personnel Administrators, ACE, 1937):

> #18. Administering student discipline to the end that the individual will be strengthened, and the welfare of the group preserved.
>
> #22. Keeping the student continuously and adequately informed of the educational opportunities and services available to him.
>
> #23. Carrying on studies designed to evaluate and improve these functions and services (pp. 4-5).

These three articles proposed the importance of an administrator's role in engaging

students' well-being including disciplinary matters. They also speak to parallel experiences, such

as educating about student services and providing information about opportunities to support

students. A testament to the importance of these articles is provided by Waryold et al. (2020) in

their discussion of the impact of the post-World World II era, as students returning from war

transitioned not only to civilian life but enrolled in colleges and universities with the

establishment of the GI Bill. Social changes continued to impact campus life during the Civil

Rights Movement and with the court rulings in 1961 and 1968, driving clarification of the role of

the external criminal justice system and the internal administrative disciplinary processes in

higher education, providing students with the right and opportunity to be heard, replacing "in

loco parentis" with "due process" (Hoekema, 1994 as cited in Waryold et al., 2020, p. 9). This

transition added layers to the application of behavioral expectations while creating the

opportunity to explore avenues to support and educate students on their right to be heard and

participate in the process. Schrage and Giacomini (2009) and Boyd et al. (2020) speak to the

transformation from a potential punitive adjudication of codes of conduct to establishing model

codes of conduct with due process and social justice as the centrical point within the role of

compliance/conduct officers.

While the practice of due process in administrative disciplinary proceedings continues to be the established norm in dealing with violations of standards of conduct; there are regulations that specifically dictate nuances regarding what constitutes providing due process, depending on the type of institution, such as the Educational Amendment of 1972, widely known as Title IX (Waryold et al., 2020, p. 9). In addition to federal regulations, like Title IX, Schrage and Giacomini (2009) illustrate the dichotomy between the due process rights enshrined in the Fourteenth Amendment and its interpretation within institutions of higher learning. For this reason, compliance officers and legal affairs departments must work in tandem as a means to achieve, advocacy, due process, and adjudication with a social lens.

A GROWING PROFESSIONAL IDENTITY FOR COMPLIANCE OFFICERS

Throughout these shifts and historical changes, compliance officers saw the need to form professional organizations as a means to identify best practices and patterns experienced across college campuses. One of these organizations was the Association of Student Judicial Affairs (ASJA), established in 1986 and thereafter recognized as a place for professionals involved in the nuances of student conduct to convene, learn, and serve each other as a resource (Lancaster & Waryold, 2008). The ASJA eventually became what is known today as the Association of Student Conduct Administration (ASCA), and it remains, for many compliance officers, one of the spaces that provides best practices, collegial relationships, and research. In their second edition of *Student Conduct Practice: The Complete Guide for Student Affairs Professionals*, Waryold et al. (2020) provide a historical overview of the profession and an updated synopsis of the various roles and responsibilities administrators/compliance officers oversee currently. In its foreword, William Kibler (2020) summarizes the multi-prong responsibilities of the profession this way:

…our daily work involves knowledge, expertise, and competence in such areas as free speech and the First Amendment, sexual misconduct/Title IX, behavioral manifestations of mental health, academic dishonesty/integrity, individual and organizational misbehavior, bias-motivated misbehavior, threat assessment and intervention, and many other aspects of this complicated and challenging work. (p. x)

Recently, these responsibilities were expanded and magnified by the COVID-19 pandemic, and the need to transform the role and practice in a virtual setting required more humanity, innovation, and empathy. Combining these skills and creating an amalgamation of compliance with care provided an opportunity to tap into tools and approaches proven effective in different settings.

Additional organizations recognized the overarching need to collaborate and stay current with the practice while being proactive and responsive to the changing cultural landscape. Supporting compliance practitioners, in addition to the ASCA, additional professional organizations that speak to, research, and support compliance practices are the American College Personnel Association (ACPA), the National Association of Student Personnel Administrators (NASPA), the National Association of Behavioral Intervention and Threat Assessment (NABITA), the National Center for Higher Education Risk Management (NCHERM), and the Association of Title IX Administrators (ATIXA). Access to extensive resources is linked to institutional responsiveness and financial viability to invest in memberships, continuing education, and conferences led by these institutions.

Professional and institutional support for compliance officers reveals the potential impact access or lack thereof to multi-prong development can have on compliance officers and thereby the students they serve.

SERENDIPITOUS CONNECTION TO CULTURAL HUMILITY

Christine Bruce (1997) defines information literacy as "[t]he ability to access, evaluate, organize and use information in order to learn, problem-solve, make decisions — in formal and informal learning contexts, at work, at home and in educational settings" (p. 4). This definition speaks to providing access, context, discernment, and the ability for students to make informed decisions. During my twenty-one-year tenure as a higher education professional, I have observed the impact of recognizing the importance of information literacy when communicating with students, their parents, and the communities at large about the nuances of attending college and locating important keys to mitigate systemic barriers. The goal to disseminate information about complex processes and policies "with the reader in mind" provided the foundation for this study. My methodology as a compliance officer over the last ten years has revolved around providing agency and educating students on their rights to due process, self-advocacy, and essential support systems.

In 2019, I was introduced to the concept of cultural humility, its development, and its implementation in the medical field where it helped elevate support, advocacy, and compliance for patients as early as 1998. The approach described in the early literature highlighted the difference between "cultural competence" and "cultural humility," while proposing a means for providing advocacy founded on the two principles of self-reflection and life-long learning and keeping an ongoing focus on checking power imbalances (Tervalon & Murray-Garcia, 1998).

Tervalon and Murray-Garcia (1998) introduced the concept of cultural humility in their article "Cultural Humility Versus Cultural Competence: A Critical Distinction in Defining Physician Training Outcomes in Multicultural Education*"* as a response to their witnessing the lack of cultural awareness in a medical setting and seeing its impact on underserved populations.

They cited the example of dismissive behavior toward a Latina patient by an African American nurse who had taken a "cross-cultural medicine" course and asserted she "knew" that Hispanic patients exaggerated pain. The nurse also presumed to know more than the Latino doctor who was providing assessment for the woman's post-surgical care. The "cultural awareness" that the nurse obtained in her cross-cultural course actually created a stereotype that resulted in the nurse assuming the patient was exaggerating her level of pain and foregoing pain treatments, even after the Latino physician attempted to inform her of her misconceptions (Tervalon & Murray-Garcia, 1998).

After witnessing this, and other similar, situations, Tervalon and Murray-Garcia (1998) defined an important distinction between "cultural competence" and "cultural humility," describing its principles as:

> a process that requires humility as individuals continually engage in self-reflection and self-critique as lifelong learners and reflective practitioners. It is a process that requires humility in how physicians bring into check the power imbalances that exist in the dynamics of physician-patient communication by using patient-focused interviewing and care and it is a process that requires humility to develop and maintain mutually respectful and dynamic partnerships with communities on behalf of individual patients and communities in the context of community-based clinical and advocacy training models (p. 118).

Upon reading this article, the researcher immediately recognized her experiences as a student, administrator, and community leader in this example. It is likely recognizable and similar to experiences for most of us.

Cultural humility can, and should, guide the practice of those in roles that support and advocate for others: patients, students, faculty, and staff. While policies may be universal, people have individual experiences and varying levels of understanding of the policies as well as the context in which they encounter them. The in-depth exploration of these principles will serve as

a guide to answer the central goal and question foundational to this study: How can those in service positions — such as compliance officers — lead with empathy and humility?

MOTIVATION FOR THIS STUDY

This study is anchored in the needs and experiences of the broad range of students served by educational institutions and the multiple gaps in their understanding of how to navigate through college successfully. By virtue of their newly acquired role as "college students," these individuals are now governed by a new set of rights, responsibilities, policies, and requirements. Communication of student rights and potential consequences are embedded in educational regulations that must be observed by institutions of higher education such as Title IX, Drug Alcohol and Other Drugs (DAPP), the Jean Clery Act (Clery), and the Family for Educational Rights to Privacy Act (FERPA) to name a few (Hagen, 2017). Although compliance officers are bound to uphold policies and regulatory requirements, their ability to transcend the minimum compliance requirements may be in the delivery, communication, and implementation of the policies. When the requirements are completely new and unknown, for example with first generation students or immigrant populations, the possibility of confusion and complications become highly probable. However, the potential for compliance officers to communicate in a culturally humble manner, in other words, by understanding the modes of communication and resonant cultural values and beliefs students respond to and the potential causes of their lack of compliance, may hold the key for students to be seen, heard, and ultimately, experience "student success."

My arrival from Mexico to the United States as an eleven-year-old girl provided several lenses through which I observe the established systems around me. My fifth-grade introduction to the U.S. as an immigrant afforded me the opportunity to develop adaptive social and academic

skills, as I discovered that learning English as soon as possible would pave my way to assimilation into the "general" student body. I experienced similar cognitive dissonance and discomfort throughout my education from fifth grade through my collegiate years. Specifically, I experienced the continuous dichotomy of wanting to assimilate without losing my Mexican identity. My experiences were similar to the experiences Richard Rodriguez references in his book, *Hunger of Memory: The Education of Richard Rodriguez: An Autobiography* (1983) and Gloria Anzaldua's *Borderlands/La Frontera: The New Mestiza* (1987, 2012). I experienced similar discomfort as I moved from being a novice professional in my first internship position until my first full-time employment offer. I found myself navigating two worlds: The first was the world linked to my Mexican-ness as an immigrant, ESL learner, first-generation college student, first-generation college graduate, and first-generation professional, and the second was the world wherein I was often the only person with all those identities trying to survive in a space and a system completely foreign to me.

My career in higher education began in 2001 after I had been laid off from DaimlerChrysler's management training program as a result of the financial impact the 9-11 terrorist attack had on the automotive industry. I became an entry-level admissions counselor at my alma mater as a result of a serendipitous encounter with my former work-study supervisor. Transitioning from the manufacturing world to higher education and serving as an admissions counselor gave me a view of the challenges and systemic barriers that I had not recognized as a student. I was now viewing the students' experiences through their eyes and not through my own attempts to survive and adapt. Because my position was to advocate, support, and help, I had the opportunity to help these prospective students avoid confusion and misdirection. As I developed and grew in my role, I found that I was adopting principles of servant leadership in my actions

and approaches. These leadership principles reconciled my skills and purpose. I began to recognize that while I was developing strategies to help others, I still faced feelings of being othered, tokenized, and unseen in my own attempts at finding opportunities for advancement and professional growth.

I discovered significant work related to these issues in scholarship related to Borderlands, Chicano Feminism, cultural humility, and *testimonios* while researching and participating in ontology conversations that aligned as part of my education. In one instance of exploration, I studied the void experienced by Mexican Americans in the Borderlands classroom (Flores-Villarreal, 2017). As a graduate student, my conversation with scholar Dr. Cecilia Suarez exposed me to these concepts and ultimately to Borderlands as a conduit for understanding the gaps that I experienced and the void that still exists in higher education for Mexican-American women (C. Suarez, personal communication, December 11, 2020).

The Borderlands philosophy established by Gloria Anzaldua (2012) anchors living in metaphorical and geographical borders experienced by Mexican Americans who grew up in the Rio Grande Valley and migrate out of the area. Borderlands philosophy (Anzaldua, 2012) is described this way:

> Borderlands — that it is possible to both understand and reject, to love and detest, to be loyal and question, and above all to continue to seek enlightenment out of the ambiguity and contradiction of all social existence (p. 5).

The discovery of Borderlands explained the cognitive dissonance I experienced throughout my life from the moment I arrived in the United States. My initial migratory status of "resident alien" coincided with the metaphorical "alien" experience asserted by Anzaldua (2012):

> Alienated from her mother culture, "alien" in the dominant culture, the woman of color does not feel safe within the inner life of herSelf. Petrified, she can't respond, her face

caught between *los intersticios*, the spaces between the different worlds she inhabits (p. 42).

I moved *invisibly* through my education that was shaped by a skewed Texas history and a Eurocentric-dominated higher education system. My experiences resembled Freire's *Pedagogy of the Oppressed* (1996) and created a gap that I sought to answer, a gap informed by my "other/outsider" perspective and in observation of patterns that have shaped my academic and professional trajectory.

Based on these experiences and this growing awareness of the gaps and the disconnects, this study aims to provide an alternative lens for compliance officers and others in advocacy roles that demonstrates and applies the principles of cultural humility. This lens was forged by my personal experiences in a role that requires, on one hand, advocacy, empathy, discernment, and neutrality for all people, while, on the other hand, my individual identity as a Mexican American, first-generation, immigrant.

RATIONALE AND SIGNIFICANCE OF THE RESEARCH APPROACH

Pitard (2017) asserted that positionality in qualitative research provides a vessel to discover data, and the value of autoethnography provides a method to explore this researcher's journey as a Mexican American woman working in compliance. Arthur Bochner (2012) asserts that "autoethnographies are not intended to be received, but rather to be encountered, conversed with, and appreciated" (p. 161), paving the way for examining this practitioner's experiences while identifying potential similarities with the reader. Bochener (2012) further describes autoethnography in practice as:

> The truths of autoethnography exist between storyteller and story listener; they dwell in the listeners' or readers' engagement with the writer's struggle with adversity, the heartbreaking feelings of stigma and marginalization, the resistance to the authority of canonical discourses, the therapeutic desire to face up to the challenges of life and to

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emerge with greater self-knowledge, the opposition to the repression of the body, the difficulty of finding the words to make bodily dysfunction meaningful, the desire for self-expression, and the urge to speak to and assist a community of fellow sufferers (Bochner, 2012, p. 161).

Thus, this study attempts to position the changing role of compliance officers — from acting *in loco parentis* to enforcing rules and advocating for students — within the researcher's own search for means to practice compliance work as a culturally humble practitioner. As reflected in the Association of Conduct Administration's diversity, equity, and inclusion statement, the "intentional strategic goals" of the organization and its members are to:

> Increase the membership and participation of and leadership opportunities for underrepresented populations within the Association, promote an appreciation of diversity in all aspects of the Association's policies, practices, programs, and services. Including but are not limited to race, ethnicity, gender, sexual orientation, religion, creed, age, abilities, and citizenship (Association of Student Conduct Administration, n.d.a).

The goal of the study, then, is to provide a lens and a model for applying the tenets of cultural humility to allow compliance officers in higher education to enhance diversity; practice inclusive, culturally aware policies and procedures, and expand institutional support for underserved and underrepresented colleagues, students, and communities.

RESEARCH QUESTIONS

The following research questions guided the development of this guide for higher education compliance officers.

- How does the lens of a compliance officer's lived experience shape their effectiveness as they do their work?

- Lived experiences / autoethnography: How can autoethnography be used as a tool for compliance officers exploring the praxis of their role and their lived experiences?

- Cultural humility: How can the principles of cultural humility help a compliance officer better serve the needs of their communities?

According to Tom Fryer's (2020), *A Short Guide to Ontology and Epistemology (Why Everyone Should be a Critical Realist)*, ontology is "the study of being," and epistemology is "study of knowledge" (p. 6). Carolyn Ellis also asserted that vulnerability is intrinsically connected to autoethnography (ICQM, 2014), which includes the ability to remain authentic while sharing the compilation of personal experiences. Leaning into the self-reflective principles of autoethnography with the employment of the cultural humility principles while overseeing compliance was foundational to the work presented in this study and was the impetus for creating *A Practitioner's Guide to Cultural Humility in Compliance* proposed in Chapter Four. The researcher's experiences and growth while working in the compliance field have been foundational to her awareness of the issues, the need for change, and the appropriateness of adapting the model of cultural humility to compliance work.

As noted earlier, since Tervalon and Murray-Garcia's (1998) recognition of the issues surrounding cultural competence, healthcare professionals have embraced this model. In fact, since 1998, scholars and organizations within the health professions have recognized the impact of shifting approaches away from cultural competence and "knowing about" to cultural humility and "being open to others' cultures" when training medical students (Foronda et al., 1996; Chang et al., 2012; Hook & Edward, 2015; Lee & Hasking, 2022). The emergence of the practice of cultural humility and its main pillars are explained through scholarly articles, PowerPoint presentations, and YouTube videos in an effort to encourage understanding and practice, and to bolster inclusivity and empathy when serving underrepresented populations in healthcare (Tervalon & Murray-Garcia, 1998; Chavez, n.d.; Chavez, 2005; Chavez, 2015; Chavez, 2020).

The following operational definitions will be used throughout this research study.

Autoethnography: "An approach to research and writing that seeks to describe and systematically analyze personal experience in order to understand cultural experience…thus, as a method, autoethnography is both process and product" (Ellis, et al., 2011, p.1).

Compliance Officer: While the titles aligned with professionals whose role includes student conduct oversight varies by institution and within the literature, terms used interchangeably include student conduct administrator, student compliance manager, Director of Student Conduct, Director of Community Standards, and Dean of Students. The term compliance officer will be used throughout the study as a means to convey the roles aforementioned and as described by Kibler (2020) below:

Higher education professionals whose daily work involves knowledge, expertise, and competence in such areas as free speech and the First Amendment, sexual misconduct/Title IX, behavioral manifestations of mental health, academic dishonesty/integrity, individual and organizational misbehavior, bias-motivated misbehavior, threat assessment, and intervention, and many other aspects of this complicated and challenging work (Kibler, 2020, p. x.).

Cultural Humility: Tervalon and Murray-Garcia define the concept of cultural humility as "a life-long commitment to self-evaluation and critique, to redressing the power imbalances in the physician-patient dynamic, and to developing mutually beneficial and non-paternalistic partnerships with communities on behalf of individuals and defined populations" (Tervalon & Murray-Garcia, 1998, p. 123).

Testimonios- The use of *testimonios* (testimonials) was explored by Reyes and Curry Rodriguez (2012) in their quest to study the origins, use, and resources that are often used by the Latinx/Chicana Feminist epistemologies to provide a first-person account of consciousness, oppressive systems, and lived experience as a woman of color. Reyes and Curry Rodriguez assert that *testimonio* is both "intentional and political" (Reyes & Curry Rodríguez, 2012, p. 1).

Mexican American, Latinx, Chicana: The researcher will use the terms Mexican American, Chicana, and Latinx interchangeably during this study. Contextual uses and differences will be addressed within the study.

CHAPTER CONCLUSION

The fundamental aspect of a compliance officer's role is to enforce student-centered policies, provide advocacy, and support for the campus community. Consequences of policy

violations impact students and damage relationships that are fundamental for students' success. The seminal development of cultural humility by Tervalon and Murray-Garcia (1998) began in training physicians and medical professionals and serves as a guide for health professions, social agencies, and as part of diversity, equity, and inclusion initiatives.

Following this opening chapter, the subsequent chapters build on Chapter Two's review of the literature for the history of compliance in higher education, the inception and application of cultural humility, and the role of self-reflection and autoethnography as a means to identify potential gaps in the literature and practice. Chapter Three introduces the use of autoethnography as a qualitative methodology and discusses how it connects inquiry, assumptions, and limitations to inform the process behind the development of the new compliance model. Chapter Four applies the components of cultural humility to the compliance officer's tasks, using lived experiences and knowledge of communities with identities and backgrounds different than theirs to increase sensitivity, openness, and communication. Finally, Chapter 5 summarizes the implications of this model, suggests other areas that can adopt the model, and recommends areas for future study and development.

CHAPTER TWO: LITERATURE REVIEW

INTRODUCTION

The literature relative to the role of compliance officers provides insight into how, in the dynamic evolution of higher education, the need to balance student support, accountability measures, and current regulatory changes, are all combined as part of the professional and legal expectations when to successfully execute the role. An apocryphal way of delivering unintended or impactful outcomes by compliance officers when enforcing complex regulatory requirements is that regulation does not see personal circumstances/feelings when relaying outcomes impacting students

While in most cases, enforcement of policy is prescriptive, compliance officers may develop approaches that focus on the student experience prior, during, and after the situation at hand is addressed. For example, frameworks informing compliance officers on methods for balancing advocacy and compliance are critical. An example is the development, use, and adaptation of the Cultural Humility framework (Chávez, 2005; Chávez et al., 2006; Cornell University Center for Cultural Humility, n.d.). The literature review of Cultural Humility illustrates its conception in the healthcare field and its later adaptation in other fields.

An exploration and review of the literature focused on autoethnographic work (*testimonios*) provides insight into the importance of this researcher's life experiences and her relationship to the field of study and the practice of compliance work. As such, this dissertation illustrates the intersection of the role of a compliance officer from the lens of a Mexican American woman in higher education. Understanding the complexity of compliance work

provides insight into why seeing the compliance officer as a person and recognizing how lived experiences shape the tools and methods are used to fulfill the compliance officer role with advocacy is at the forefront.

THE ROLE OF THE COMPLIANCE OFFICER

Scholars and practitioners, including the American College Personnel Association (1937), Hoekema (1994), Rudolph (1962), Lancaster and Waryold (2008, 2020), have written extensively about behavioral oversight in higher education from the first system initiated at Harvard in 1636 of *in loco parentis* or "in place of parents" throughout most of the ninth century. The transition from *in loco parentis* to the current system centered around providing students due process and was studied by Hoekema's (1994) work synthesizing the impact of *Dixon v. Alabama State Board of Education* in 1961.

Like research and guidance from practitioners, the Code of Federal Regulations (1968 as cited in Lancaster & Waryold, 2020) and other court rulings and regulations continue shaping student oversight. For example, the Code of Federal Regulations in 1968 cemented the differences between disciplinary and judicial processes. Lancaster and Waryold (2008, 2020), Komovies and Woodward (2003) and the Association of Student Conduct Administration (n.d.) postulate on the transition from a rigid and at-times punitive system to a student-centered system, thus facilitating student participation and ultimately learning and growth from the situation. Since their foundational stage, institutions of higher education have been subject to state and federal policymakers shifting guidance and requirements specific to student behavior dependent on the cultural and political climate. Various academic and regulatory works speak to regulatory requirements such as Sandler (2007), the U.S. Department of Education, Office of Civil Rights (2015), Hagen (2017), and Melnick (2018). Additionally, Sandler (2007), the U.S. Department of

Education, Office of Civil Rights, (2013, 2015), Hagen (2017), and Melnick (2018) provide examples of such regulatory changes as Title IX Regulations since its establishment in 1972. In the report, *Not Alone: The First Report of the White House Task Force to Protect Students from Sexual Assault* (2014), the Obama administration provided guidance and requirements relative to Title IX prevention and adjudication. Swinton and Van Brunt (2015), Hagen (2017), Wilson (2018), and Carter (2021) also provided examples of the multiple modifications in regulatory requirements. Title IX Coordinators, akin to compliance officers, are tasked with balancing knowing about the latest adjudication requirements, supporting students through the process, training the campus community, educating students on the various layers Title IX encompasses, and navigating an ever-changing political climate on and outside of their campus. The works of Watt (2007), Walters (2010), DeMatthews et al., (2015), Fallin-Bennett et al., (2017), and Frost (2018) all speak to the societal nuances that transcend campus grounds and have an impact on the campus — thereby potentially impacting the work of Title IX coordinators. Compliance officers are tasked with sensing the pulse of cultural shifts and their impact when they move into college campuses, such as the Civil Rights movement; changes in legislature relative to the Deferred Action for Childhood Arrivals (DACA); shifts in interpretations of freedom of speech; social movements, such as the Black Lives Matter movement; COVID-19 vaccine mandates on some college campuses; and the impacts of the overturn and/or reinstatement of Roe v. Wade.

CHANGES IN COMPLIANCE PRACTICES: A MOVE TO COMPLIANCE WITH CARE AND ADVOCACY

Lancaster and Waryold (2008, 2013) and Stoner (2009) postulated that the role of a compliance officer has been linked to oversight of student behavior, which is intrinsically linked to holding students accountable for behavioral transgressions. Sebok (2006), the Association of Student Conduct Administration (2018), Munin and White (2019), and Schrage and Giacomini

(2020) document how practitioners in roles akin to the compliance officer role led and created the evolution from *in loco parentis* in the early sixteenth century through the establishment of due process in the 1960s, to model codes of conduct and restorative justice practices in the early 2000s, to present-day practices that center on balancing accountability in a holistic manner.

The literature recounting the change in how compliance officers adjudicate and impose disciplinary actions includes practitioners, scholars, and professional organizations such as the Association of Student Conduct Administration (ASCA), National Association of Student Personnel Administrators (NASPA), and the *Journal of Student Affairs Research and Practice* to name a few. Publications, such as *The Chronicle of Higher Education*'s three-part article series, cast a light on the transition from rigid oversight to restorative approaches to student discipline and compliance (Lipka, 2009a; Lipka, 2009b; Lipka, 2009c). Lipka's series captures a turning point in the way compliance officers lead the change from punitive and procedural discipline to student-focused, holistic approaches, such as restorative justice circles to resolve code of conduct infractions (Lipka, 2009a; Lipka, 2009b; Lipka, 2009c; Stoner, 2009).

The works of Stoner (2009) and Boyd, Moody-Shepherd, McFadden, and McNair (2020) speak to the application of restorative justice conferencing as a mechanism to provide all students agency, proving to be a holistic and effective approach used in spaces such as university housing, offices of conflict resolution, and for some institutions embedded as part of the students' due process. This application shifted the focus of compliance and addressed the impact on the community. David R. Karp (2015) illustrated the benefits and process of restorative justice conferencing to address behavior and repair the harm to the community as a holistic and effective way to address student misconduct in his guide to restorative justice circle conferencing. Practitioners including Lancaster (2006), Sebok (2006), Pavela (2006), Karp and

Sacks (2014), and Karp (2015) compared the parallel aspects of holding a student accountable through the traditional model of student Codes of Conduct (which weigh risk to self and campus) and the restorative justice conferences (which dive deeper into addressing behavior and repairing the harm caused to all people involved).

The common thread within literature by Schrage and Giacomini (2009), Karp and Sacks (2014), and Schrage and Giacomini (2020) speaks to the recent focus on preventing, addressing, and engaging with students so that students are aware of their student rights and responsibilities while allowing conduct administrators to discern holistic approaches to resolving conflict and upholding policies and regulations. Researchers and practitioners continue exploring the benefits of restorative justice conferencing, ways of providing agency and engagement, and strategies and tactics that provide compliance through an equitable lens.

Practitioners rely on seminal publications by the Association of Student Administration, the National Association of Student Personnel Administrators, and the *Journal of Diversity in Higher Education*, to name a few, that set the tone for ethical and professional standards for compliance officers and other regulatory roles including Title IX Coordinators and various positions that require policy and regulatory enforcement. Innovation and adaptation of principles such as restorative justice paved the way for student-centered outcomes.

As the profession shifts from a prescriptive, procedural, and punitive approach, there continues to be reflection on identifying systemic barriers to equitable processes in adjudication and resolving student conduct violations. As an example, Title IX regulations prescribed by the U.S. Department of Education, Title IX and Sex Discrimination (2021) requires a level of preventive and responsive work in the form of support services for people impacted by any of the situations covered under the Title IX realm. The connection between these system changes was

documented in President Obama's "Not alone: The first report of the White House task force to protect students from sexual assault" (2014), Hagen (2017), and the U.S. Department of Education, Title IX and Sex Discrimination (2021) regulatory requirements, mandating that institutions evaluate prevention and outreach mechanisms and prescribe timelines and support systems that are trauma-informed in nature while exercising due process for all parties. Various works such as Hagen (2017), U.S. Department of Education, Title IX and Sex Discrimination (2021), and Sokolow (n.d.) document how — even though regulatory obligations changed aspects of the adjudication process during the Trump administration — outreach and prevention remained a critical part of Title IX regulations.

Although regulatory obligations relative to outreach and prevention are linked to the Drug, Alcohol, and Other Drugs regulation; Title IX regulation; and Clery regulation, there has been a crossover from scholars focusing on how to deliver preventive work, training, and response within through a social justice lens, anti-racist policies, and pragmatic training. Examples of such an approach are Brené Brown's (Brown, 2006, 2013, 2015) work on shame, and vulnerability, and explaining the differences between sympathy and empathy which are essential skills when supporting students and communities experiencing unforeseen circumstances. Another area of further development and application in compliance is the works of Ibram X. Kendi's (2019) "How to be an Antiracist," which creates awareness of the meaning of anti-racist practices and systemic barriers from a historical standpoint. Kendi's extensive research on systemic barriers provides insight on why it is important for any person in an authority role to understand and learn the lived experiences of oppressed communities (Kendi, 2019).

Brown's and Kendi's work provides tactics that are transferable in a manner that yields holistic ways of addressing prevention and sanctioning. Systemic gaps are addressed by Kendi's bird's-eye view of policies that impact communities of color, such as the effect of disciplinary outcomes on black and brown men in educational systems while providing reflection and tactics to approach such inequities (Kendi, 2019). Brown's longitudinal research (2013, 2016) on trauma and educating in layman's terms reinforces the difference between empathy and sympathy is transformative for anyone who is responsible for addressing violations of policy and procedure. The humanizing concepts behind Kendi's and Brown's work, as well as May Leung's earlier work (1999) on reporting harm as the central point of restorative justice, paved the way for exploration and integration of a social justice framework to provide compliance practitioners with an increasingly holistic approach.

RESEARCH ABOUT AUTOETHNOGRAPHY AND TESTIMONIOS

Central to this study is the juxtaposition of the researcher's search for a personal and professional identity and her work in advocacy-based compliance. Connecting these two goals are the processes reflected in *testimonios* and autoethnography. Influential works such as Paulo Freire's first publication of *Pedagogy of the Oppressed* in 1968, and Gloria Anzaldua's 1986 seminal work "Borderlands/La Frontera: The new mestiza" (2012) inform and highlight the importance of creating awareness for researchers and readers about the lived experiences of oppressed groups. Anzaldua's (2012) work and the Borderlands experience is foundational to the autoethnographic work, having created the mestiza consciousness framework used by Mexican-American women, the LGBTQ+ community, Black and Brown studies, and Women Studies.

Scholars such as Delagado Bernal (1998), Delgado Bernal et al. (2012) highlight the epistemology through the lens of the Chicana feminist in academia. Along with the extensive

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works of Latinas and Chicanas in higher education, including work by Gonzales (2001, 2009, 2015), Reyes and Curry Rodríguez (2012), Cardoza (2017), Flores-Villarreal (2017), Anaya (2019), Arreola-Sandoval (2021), and Ramirez (2019) speak to the experience of Latinas in administrative roles as they leaned into their mestiza consciousness to forge epistemology and anthology for brown women in academia.

Arthur Bochner (2014) asserts the "importance of the positionality of the researcher" as a potent factor in autoethnography itself. Similarly, the seminal work of *testimonios* (testimonials) by brown women in academia illustrates the praxis between positionality and recognizing the researcher's background as an influencing factor in influencing equity and visibility of oppressed groups.

Minerva S. Chávez (2012) speaks to the positionality and use of autoethnography as a resort for Chicana scholars to highlight their work while bringing attention to the oppressive systems that create inequity creating the dissonance between her humble background and her position in the academe. Akin to Chavez, the intersection between a compliance officer's positionality and their life experiences affords the opportunity to "see" beyond violations and "hear" past the traditional normative approach to compliance when enforcing policy and seeking resolutions despite the obstacles brought forth by systemic challenges.

INCEPTION OF CULTURAL HUMILITY

Another foundational concept to this dissertation's goal in offering a new approach to and a new toolkit for compliance work is the work surrounding Cultural Humility. An important evolutionary shift and distinction were provided by Tervalon and Murray-Garcia (1998) when the authors distinguished and further defined cultural humility and cultural competence. The article was inspired by Tervalon and Murray-Garcia's observations on how the approach to the

multicultural preparation of medical and nursing students impacted patient care in the wake of the Los Angeles riots precipitated by the Rodney King beating in 1992 (Tervalon & Murray-Garcia, 1998). They specifically addressed how a medical practitioner's lack of understanding and knowledge about the nuanced differences between each patient's cultural and socioeconomic background, language, and customs could lead to a perpetuation of racism, classism, homophobia, sexism, and other "isms" that impacted the quality of medical care provided, thus perpetuating existing trauma (Tervalon & Murray-Garcia, 1998).

Twenty-four years have passed since the practice of cultural humility was established, and various adaptations, analyses, and applications of cultural humility have been presented. Vivian Chávez (2005, 2006, 2010, 2012, 2018, 2020), Chávez et al. (2006), and the Cornell University Center for Cultural Humility (n.d.) have all applied these principles.

A study by the Pew Health Professions Commission and the Institute of Medicine asserted the importance for each healthcare student to have an awareness and understanding of the culture and belief systems held by the communities they serve (Tervalon & Murray-Garcia, 1998). Academic healthcare programs have since focused on creating competency-based training to teach multicultural norms and beliefs. Tervalon and Murray-Garcia rejected this approach in their descriptions, stating that it encourages a one-dimensional level of learning and provides the erroneous impression that a person can gain finite knowledge and mastery of a culture different than their own (1998). This assessment precipitated the development of "cultural humility" rather than "cultural competence." Tervalon and Murray-Garcia specifically described "cultural humility" as a process that requires a student/practitioner to (1) engage in self-reflection and self-critique, (2) commit to being a lifelong learner and reflective practitioner, (3) check and address power imbalances, and (4) maintain mutually respectful relationships with the

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communities/individuals served (Tervalon & Murray-Garcia, 1998, p. 118). In 2012, Vivian

Chavez's interviewed Tervalon and Murray-Garcia, along with other practitioners, in her video

Cultural Humility: People, Principles, and Practices, describing their experiences after

transforming their practice in applying the cultural humility principles in medical and

community-based researcher roles.

APPLICATIONS OF CULTURAL HUMILITY

In addition to Chavez' 2012 video on the use of cultural humility as a framework in

Community Based Research (CBR), the Pacific School of Religion, Changemakers Program in

May 2016 also provided insight into the transferability of cultural humility from healthcare

settings to social science fields. These applications stressed addressing social inequity and

creating trust within communities (Chavez, 2016, poster citation).

An extensive body of literature, including works by Milesky et al. (2015), Foronda et al.

(2016), Foronda (2020), and Foronda et al. (2022), contemplate and recommend the application

of cultural humility's principles as critical tenants in Nursing instruction. Psychology is another

discipline wherein such application is recommended in work by Hook et al. (2013), Fisher-Borne

and Martin (2015), and Davis et al. (2018), emphasizing the importance of cultural humility in

psychotherapy instruction and practice.

APPLICATIONS IN NON-MEDICAL FIELDS

Congruent to its inception and adaptation in healthcare, cultural humility has been

adapted in various forms in the fields outside of healthcare. For example, following the 2012

video on cultural humility, Chávez created multiple bodies of work promoting the various ways

to practice Community Based Participatory Research (CBPR) approaches and CBPR with

cultural humility as the anchoring framework in public health (Chávez, 2020). Rice (2017) and Ross (2010) suggest the application of cultural humility in CBPR and emphasized the impact of the framework in graduate program pedagogy.

Another example of the application of cultural humility outside of healthcare education or research was implemented by Cornell University in their creation of the Center for Cultural Humility (CHUM). According to Cornell University, CHUM seeks to employ Tervalon and Murray-Garcia's cultural humility tenants to unite community-based practice, research, and policy creation through training and research (The Center for Cultural Humility (CHUM), n.d.). While CHUM's mission combines cultural humility with cultural responsiveness as their two tenants, their mission focuses on training that provides opportunities to promote socially conscious engagement and action in partnership with groups that differ from one another in an ethically and humble manner (CHUM, n.d.).

CHAPTER CONCLUSION

The role of the compliance officer in higher education has been historically informed through diverse areas of the literature, expanding from its inception with Harvard University, through the creation of roles of Dean of Men and Women, to the creation of roles like Title IX Coordinators, to the establishment of Restorative Justice Offices, and to contemporary professional organizations such as the Association of Student Conduct Administration, and NASPA. However, outside of focused areas of study such as Women Studies, Black and Latinx Studies, there is a gap in the literature referencing the positionality and background of the compliance officer. This gap, then, positions the study and its goal: by using the researcher's personal and professional experiences to explore the possibilities offered by the principles of Cultural Humility, the potential application to healthcare and non-healthcare practices   thus

has provided an evolutionary depth to the advocacy role of compliance work. The model

presented in Chapter Four of this dissertation is an attempt to bridge those worlds using

testimonios and autoethnographic perspectives.

CHAPTER THREE: DEVELOPING THE MODEL

INTRODUCTION

The compliance officer's role includes authority and scope to oversee policies, develop procedures, implement regulatory requirements, and exercise decisions that have potentially life-altering impact on their constituents. Because of the complexity of the role, the focal point of this study was to take a deep dive examining the demands of the compliance officer's role and exploring new culturally humble ways of executing the role as informed by the researcher's background and lived experiences.

RESEARCH FRAMEWORK AND APPROACH

RESEARCH QUESTIONS

The model that is provided in Chapter Four was developed to respond to the following guiding questions:

How does the lens of a compliance officer's lived experiences shape their effectiveness as they do their work?

- How can autoethnography be used as a tool for compliance officers exploring the praxis of their role and their lived experiences?

- How can the principles of cultural humility help a compliance officer better serve the needs of their students and communities?

AUTOETHNOGRAPHY, TESTIMONIOS, AND CULTURAL HUMILITY

My positionality as the researcher in autoethnography and the amalgamation of Borderlands and Cultural Humility as anchoring frameworks became the "how" to investigate the ways the lived experience of the researcher can contribute to the academe by documenting

her experiences as a Mexican American, first-generation immigrant student, and compliance officer who strives to support the communities around me. Identifying how the "researcher as subject" becomes the "researcher as observer" was discussed in an autoethnography published in the *Journal of Anthropological Research*. Karl G. Heider, in his study of the Dani people (1975), recounts his research process and concludes that the account of the Dani's reflections is related to the definition of an autoethnography:

> ...responses to the question, "What do people do?" This is called a Dani auto-ethnography, and it provides information about the Dani's own understanding of their world (Heider 1975, p. 3).

The work of autoethnography and *testimonios* (testimonials) aligns with Heider's use of autoethnography as the avenue to deliberately learn from a group of people or individuals as they become both research subject and researcher. The contribution of *testimonios* as it relates to Chicano/Latina scholarship speaks to the "urgent voicing of something to which one bears witness," and it "brings light to a wrong, a point of view or urgent call to action," which are not new necessities in academia as it relates to women of color nor students of color (Reyes, & Rodriguez, 2012 pp. 525-527).

This study's approach to autoethnography was facilitated by the works of Ellis and Bochner (2011) and Anzaldua (2012). While Ellis and Bochner (2011) provided the methodologic approach, Anzaldua's Borderland Theoretical Framework provided the ethnographic rationale for its intention   . Anzaldua's groundbreaking book *Borderlands La Frontera, The New Mestiza*, [hereinafter referred to as Borderlands] in its fourth edition resonated with my Mexican American identity, providing a framework that facilitated a greater understanding of the likeness in the struggles, a likeness in the triumphs, and a likeness in finding definitions to experiences that shaped who I am (Anzaldua, 2012).

As I read Borderlands, I was taken aback by the geographical connections in our lives and experiences, such as Anzaldua's upbringing taking place in the Texas border called the Rio Grande Valley, attending Edinburg Independent School District (EISD), moving to the Midwest, and a parallel sense of invisibility during pre-college, collegiate, professional, and higher education experiences. The Borderlands framework reflected my feelings of being trapped between metaphorical, geographical, and identity "borders" illustrated by a Texas upbringing, the Midwest's cultural shock, and other barriers throughout my professional and academic endeavors (Anzaldua, 2012).

CULTURAL HUMILITY

Although over two decades have passed since a nurse's conflation of cultural competence with cultural humility was the catalyst event influencing Tervalon and Murray-Garcia's (1998) article "Cultural Humility Versus Cultural Competence: A Critical Distinction in Defining Physician Training Outcomes in Multicultural Education*"*, reading this article evoked in me the same sense of "being seen" and provided the same relevance as Anzaldua's Borderlands theory. In fact, since 1998, health professions scholars and associations continue to recognize the impact of shifting from cultural *competence* to cultural *humility* when training medical students and within the medical field (Foronda et al., 1996; Chang et al., 2012; Hook and Edward, 2015; Lee & Hasking, 2022). The emergence of cultural humility and its main pillars have been explained through scholarly articles, presentations, and videos in an effort to encourage understanding and to bolster inclusivity and empathy when serving underrepresented populations in healthcare (Tervalon & Murray-Garcia, 1998; Chavez, n.d.; Chavez, 2005; Chavez, 2015; Chavez, 2020).

In their recollection of how they arrived at the concept of cultural humility, Tervalon and Murray-Garcia reflected on the situation where an African American nurse and a Latino

physician caring for a Latina woman post-surgery interpreted nonverbal cues from the patient. When the physician commented that the woman appeared to be in pain, the nurse dismissed the non-verbal cues, explaining that she had learned in a "cross-cultural medicine nursing course" that Hispanic patients typically over express pain. Even though the physician attempted to educate the nurse, she continued to defend her "cultural expertise" and therefore, with her position of power render the patient further vulnerable to increased discriminatory power and trauma (Chavez, 2012, 3:39-4:16).

The nurse's behavior was reflective of the skewed perspective of individuals who believe they understand cultural differences and have cultural competence (Issacson, 2014). The nurse's training, however, resulted in a biased approach in her care for patients rather than creating a larger awareness of cultural cues that would enhance her skill as a health provider.

This contrast between cultural awareness and cultural humility, thus, became foundational to my work and practice as a compliance officer.

RESEARCH METHOD

In their presentation for the Israeli Interdisciplinary Conference of Quality Research (ICQM), renowned auto ethnographers Carolyn Ellis and Arthur Bochner assert elements of autoethnography that align with the rationale for this study. The definition of autoethnography provided by Carolyn Ellis as "the connection of self and others" and asserting that "a good autoethnographer takes into account the roles of the others and bringing them into the story" (Israeli Interdisciplinary Conference of Quality Research, [ICQM], 2014, 19:13) illustrates elements of my trajectory from being a wide-eyed 11-year-old to being a mature adult completing a doctoral program. As part of the ICQM conversation, Arthur Bochner provided insight about the "positionality, emotionality, and connection" within the work of

autoethnography by asserting that a researcher cannot fully disavow themselves from who they are as people as they conduct research (ICQM, 2014, 17:28-19:01).

Trochim et al. (2016) highlight one of the steps in the dissertation writing process that proved to be most taxing, "the teacher's assumption that if students read enough of the research in an area of interest, they will somehow magically be able to produce sensible ideas for further research" (p. 10). Trochim et al. (2016) further explain that qualitative research is beyond numbers, and what we interpret as data is "more than just words or texts" but also includes "photographs, videos, sound recordings, and so on" (p. 20). In researching methodology and frameworks to anchor this autoethnography, I found that the works of Anzaldua (2012), Cardoza (2017), Bernal (1998), Gonzales (2009), Suarez (2014), and a vast collection of Latina works surfaced as evidence that pinning down the distinctions between qualitative research versus quantitative research was not conducive to understanding the goals of research. In fact, Trochim et al, (2016) proposes that "all qualitative data are based upon qualitative judgments, and all qualitative data can be summarized and manipulated numerically" (p. 20).

Epistemology is defined by Trochim et al, (2016) as "the branch of philosophy that holds that ideas evolve through the process of natural selection" (p. 9), which explains that researchers who engage in evolutionary epistemology "influence the degree to which discoveries are taken up as part of evidence base for practice" (p. 10).

Thus, the epistemology, anthology, and theoretical framework of this dissertation are anchored in the later assertion with this question: In what ways can the outcome of this study "influence the base of practice" for Mexican Americans (and, similarly, for others in marginalized populations) in higher education? Discovering Borderlands as a framework became the "how" to find my contribution to the academe by identifying my experience through the lens

of a Mexican American, first-generation immigrant student, and research subject. My experiences reflected Heider's (1975) description of the process of the research subject becoming the researcher.

For this work, the connection between autoethnography and *testimonios* (testimonials) aligns with Heider's use of autoethnography as the avenue to deliberately learn from a group of people or individuals. The contribution of *testimonios* as it relates to Chicano/Latina scholarship speaks to the "urgent voicing of something to which one bears witness," as it "brings light to a wrong, a point of view or urgent call to action," which are not new necessities in academia as it relates to women of color nor students of color (Blackmer Reyes and Curry Rodriguez, 2012, pp. 525-527).

VALIDITY AND RELIABILITY

David M. Hayano connects the validity of an autoethnography to the contributions that stem from the first-hand experience in answering questions relevant to the cultural factors being its legitimacy and significance (Hayano, 1979). In congruence with that assertion, my constant experience of deciphering systemic and social norms in order to progress in my academic and professional endeavors are at the center of this study. Foster (2014) asserts the validity of the validity of "n of 1" as she describes the autoethnographic research:

> …the personal narrative cannot be dismissed for its "n of 1" but rather reaches its full potential through its connections to broader social and cultural contexts (p. 447).

Ensuring validity and reliability is critical to the research experience and confirmation; therefore, the timeline for this study begins with my arrival to the United States in 1987. Although three decades have passed since I migrated from Mexico to Texas, experiences such as childhood trauma marked my identity and shaped relational aspects of my life which resulted in

one of the most valiant aspects of my identity — childhood abuse survivor. The Collaborative Institutional Training Initiative (CITI Program) modules address several tenants of research practices, one of which is upholding the tenets of ethical practices such as "do no harm" in research studies and in that ethos, the study will not address years prior to 1987 (The Collaborative Institutional Training Initiative [CITI Program], n.d.). The rationale for this decision was not to dismiss my place of origin (Mexico) rather to protect the validity of the study.

RESEARCHER'S IDENTITY AND RELEVANCE TO STUDY

The first fourteen years of my twenty-one-year tenure in higher education involved strategic enrollment management, and my ability to partake in the intricacies of student recruitment for a private and a Hispanic-serving public university provided insight into some of the systemic barriers in admissions practices, financial aid, and academic advising, as well as their collective impact on retention.

In my first role as an admissions counselor for a private university, I experienced cognitive dissonance because, on one hand, I felt virtuous when I helped students gain admission and educated them and their families on avoiding student debt, while on the other hand, I faced the systemic gaps that impacted me as a first-generation student. My own experiences when I was recruited, without any bilingual assistance, propelled my interest in translating and developing Spanish materials to combat some of these barriers for others. As I ascended in my career to oversight of undergraduate recruitment at a Hispanic Serving Institution (HSI) located in Southwest Texas, the dichotomy of being surrounded by a community that shared my ethnic identity while experiencing the systemic challenges of a first-generation professional faced with

unfamiliar, almost "foreign" professional challenges propelled my commitment to using my agency to mitigate existing social injustices within higher education.

I experienced a deep sense of isolation of not being Mexican-enough and also not being American enough in a Texas Border town. These lived dualities reaffirmed my understanding of the importance of cultural nuances of those around me. As a result, I began addressing the system gaps and listened to what my constituents said about the students' and their families' needs and challenges. I consciously asked questions and listened carefully, trying to avoid making assumptions based only on my education and training.

Ten years have passed since my professional trajectory shifted from enrollment management to compliance work as a Title IX Coordinator, Student Conduct and Compliance Officer at an urban community college. In this role, I have created policy and procedures in the areas of Title IX; prevention and engagement programs for the Drug, Alcohol, and Other Drugs regulation; led the risk management team, commonly known as Behavioral Intervention Team (BIT) and the Counseling Assessment Response Education team (CARE); addressed compliance-related Higher Learning Commission accreditation requirements, developed outreach and engagement efforts required by the Drug Free Schools and Communities Act regulation; and implemented Restorative Justice conferencing as a due process option. These experiences expanded my lens into the complexities of the compliance role, but most importantly, taught me how to turn challenges into opportunities to educate students, faculty, and staff about compliance expectations, support systems, and their rights. My work in this role provided me with the opportunity to serve as a member of the Michigan's Campus Sexual Assault Workgroup in 2017 and 2018 in a two-term gubernatorial appointment. The Workgroup was composed of 16 members who were Title IX Coordinators, and representatives from the

Michigan Department of Health and Human Services, community agencies, and law enforcement in (First Lady Snyder announces members of Campus Sexual Assault Workgroup, 2017)

My decision to complete this study was the result on an amalgamation of the strategies, experiences, and training in my current role at a suburban, four-year public university considered a Predominantly White Institution (PWI). Additionally, I made a conscious decision to (1) listen to and engage in lifelong learning and critical self-reflection, (2) recognize and challenge power imbalances, and (3) develop mutually beneficial partnerships with the campus community, decisions that were critical as my institution, like the rest of the world, was blindsided by the impact of the COVID-19 pandemic.

These practices, not coincidentally, are the tenants that compose cultural humility. My role as compliance officer took on an added layer of responsibility as I began coaching all stakeholders on the multi-pronged duties necessary to balance compliance, education, and humility to educate those with vastly different beliefs and ideas — a discourse that, during the pandemic, impacted the health and wellbeing of every member of the community. In other words, the role of compliance officer was now viewed as a vital position to plan, lead, and oversee policies and procedures relative to the mitigation, prevention, and oversight of the pandemic. On my campus, my team was tasked with administration of early compliance guidelines and, subsequently, the oversight of the vaccine requirement along with the creation of an exemption decision-making process and procedure. As time progressed, the lessons I learned undertaking these diverse tasks and responsibilities developed a deeper awareness and put me in the unique position to create a tool, a new model for compliance, to help my colleagues better serve their respective communities.

ASSUMPTIONS ABOUT THE MODEL

Components from this model have been used successfully in health and human services and have been employed in a parallel approach in the training developed for nurses, doctors, psychologists, and community-based research. These fields, like the compliance arena, follow required guidelines for accreditation and also support communities in times of distress.

While there are multiple areas where the work of compliance officers is prescriptive, other areas, nuanced by experience, location, and institutional structure, shape the way compliance is practiced.

Understanding institutional culture is also critical to the effectiveness of a practitioner's approach to prevention, engagement, adjudication, and training. Because of this *A Practitioner's Guide to Cultural Humility in Compliance* model was created, based on the assumption that compliance officers often serve stakeholders with identities, beliefs, and backgrounds different than their own. Furthermore, because the interactions between students and compliance officers vary considerably and are dependent on the type of situation prompting the engagement, the Model / Practitioner's Guide provides tools to prepare a compliance officer to be sensitive to the variant experiences and backgrounds of those they serve.

The application of the cultural humility tenants in this model, then, provides tools that place the individual and his/her community at the focal point of each interaction, training, initiative, and strategies for mutual learning.

ASSUMPTIONS ABOUT THE USER

This practitioner's model was prepared for higher education practitioners whose role may include compliance oversight and similar student support tasks; practitioners with various years of experience; and practitioners who are interested in influencing diversity, equity, inclusion, and

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social justice on their campuses. Practitioners, for example, who are new to compliance may be responsible for enforcing current and new regulatory requirements, adjudicating codes of conduct, informing students and the campus community of their rights, making community-wide connections, and finding ways to stay current on best business practices. Compliance officers typically utilize common resources to attain training and professional connections, including membership in professional organizations such as the Association of Student Conduct Administration; they may connect with colleagues in similar roles; they may read publications and complete training and certifications. This Practitioner's   Guide was intended to supplement these resources in order to build connection and understanding between compliance officers and those who feel unseen, unheard heard, or systemically impacted within the context of compliance and engagement. This Guide was intended to be applied as a complementary tool to help compliance officers engage with the community in education and adjudication of regulatory requirements, while developing life-long skills that may influence and cement their ability to safeguard their community.

DELIMITATIONS AND ASSUMPTIONS ABOUT THE GUIDE

This guide is not meant to be a prescriptive guide to how to support students and communities, nor is it finite in nature as espoused by tolerance, competency, and other certifications that conflate awareness of cultural skills with expertise of a culture other than one's own. Rather, the framework behind the Practitioner's Guide provides examples of how to engage with and learn from the communities that are impacted by regulatory requirements, student codes of conduct, and policies and procedures that affect student's success.

CHAPTER CONCLUSION

The lens afforded by my lived experiences and role as compliance officer at an urban community college and a four-year public university created opportunities for me to innovate, adjudicate, and employ compliance with an advocacy lens. The infancy of my career in enrollment management compounded with my early lived experiences in professional settings, often being the only Mexican American in a leadership role, allowed me to learn from the systemic challenges that impacted me as a student, employee, and leader. These experiences have provided the foundation and the lens for applying the tenets of cultural humility to compliance work in the Guide provided in the next chapter. The concept of cultural humility shifts the traditional paradigm of cultural "awareness" and cultural knowledge by placing marginalized groups and underserved communities in the role of educator rather than learner. This approach provides the opportunity for all of us to learn from those we serve and to employ lessons learned to enhance the student experience, open doors to greater communication, and position the dynamic nature of a campus community for a fuller understanding of social justice advocacy.

CHAPTER FOUR: A MODEL FOR CULTURAL HUMILITY IN COMPLIANCE

INTRODUCTION

The goal of this practitioner's guide is to offer a model for compliance officers and was developed around the following guiding questions.

How does the lens of a compliance officer's lived experience shape their effectiveness as they do their work?

- Lived experiences / autoethnography: How can autoethnography be used as a tool for compliance officers exploring the praxis of their role and their lived experiences?

- Cultural humility: How can the principles of cultural humility help a compliance officer better serve the needs of their students and communities?

A PRACTITIONER'S GUIDE TO CULTURAL HUMILITY

The role of compliance officer is akin to the role of dean of students who serves as an institution's "hub of a wheel" due to the need to develop connections within all sectors of their community in order to support students (Munin & White, 2019, p. 103). In a survey asking campus partners to describe essential characteristics for the dean of students, some of the attributes listed were relationship building, collaborative spirit, resourcefulness, being in tune with the campus culture and student trends, being aware of current social issues, providing advocacy while implementing policy, and model behavior for the campus (Munin & White, 2019). My 21 years of experience in higher education corroborated Munin and White's findings, especially the importance of a compliance officer being able to balance oversight and implementation of state and federal regulations while enforcing institutional policies fairly and

humanely. Practicing cultural humility in this role has enabled me to be more effective in both efforts.

Murray-Garcia and Tervalon describe cultural humility as a "multidimensional concept" that they developed with three key components [hereafter referred to as pillars/tenants of cultural humility]: (1) engage in lifelong learning and critical self-reflection, (2) recognize and challenge power imbalances, and (3) develop mutually beneficial partnerships with communities we serve (Tervalon, & Murray-Garcia, 1998, p. 123). Since Vivian Chavez's adaptation and review of Tervalon and Murray-Garcia's cultural humility principles, scholars and practitioners continue to research and adapt cultural humility principles as an institutional tool.

A recent example was conducted by the Hawai'i Public Health Training Hui in their training program, "Moving from cultural competency to cultural humility: A practical overview," led by Dr. David Stupplebeen. Stupplebeen, who serves as a Research Scientist III, for the California Department of Public Health, California Tobacco Control Program, focused on differencing cultural competence and cultural humility (Hawai'i Public Health Training Hui, 2021). Stupplebeen's training touched on the cultural humility concepts and centered on his experience as researcher and subject. The recognition of his positionality as a researcher and the discussion of "how is the presenter perceived by others" and "how does that interact with the people he works with" as a way to begin establishing "cultural humility in practice" (Hawai'i Public Health Training Hui, 2021, 6:20-6:48). The differences between competency and humility were explored as a starting point.

RATIONALE FOR ADAPTING THE CULTURAL HUMILITY MODEL TO COMPLIANCE WORK

The catalyst that precipitated the awareness of the differences between cultural humility and cultural competence stemmed from a nurse conflating their exposure to cross-cultural training in a nursing course with competency akin to a mastery of the dynamic and multifaceted "Latin" culture. The nurse neglected to provide post-surgical care for a Latina patient based on her misguided belief that Hispanic patients over-exaggerate pain, even redirecting information she received from a Latino doctor. Rather than developing a sense of inquiry, the cross-cultural competence nursing course resulted in stereotyping and bias (Tervalon & Murray-Garcia, 1998).

This situation illustrates what Tervalon and Murray-Garcia identified as "inadequate and potentially harmful model of professional development," that, although not necessarily intentional, can also take place in the higher education compliance profession. In educational settings, as in healthcare, absorbing knowledge without context and inquisitiveness may reinforce systemic processes and/or policies and can lead to a negative impact in the populations we serve. The linear and seemingly objective aspect of compliance work parallels the literature cited by Tervalon and Murray-Garcia that ties "not-lack of cultural competence in clinical practice for the lack of knowledge" rather "the need to change the practitioner's self-awareness and attitudes toward diverse patients" (Tervalon & Murray-Garcia, 1998, p. 119).

A compliance officer is tasked to "lead by example," thereby practicing the three tenets of the cultural humility framework and creating an amalgamation of the processes of on-going relationship-building, community collaboration, implementation of rigid processes in an unpredictable environment, and employing compliance with care for the community they serve. The praxis of cultural humility and compliance work and Chavez' video *Cultural humility: People, Principles and Practices* are the foundational pieces of this work: *A Practitioner's Guide*

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to Cultural Humility in Compliance. In Chavez' film, Tervalon describes cultural humility as "a framework that provides equity, equality, and a sense that we are driving forward" (Chavez, 2012, 0:29-0:26). The continuous interconnection among the practices of (1) self-reflection and self-critique, (2) checking power imbalances, and (3) developing mutually beneficial partnerships with the communities we serve are not only the foundation of cultural humility, but the tools that behooves compliance officers to apply in their practice. Figure 1 and Figure 2 provide an illustration of the interconnectedness of cultural humility and its principles as defined by Tervalon & Murray-Garcia (1998) and links each tenant to practical applications within compliance.

Figure 1. The interconnection between the tenets of cultural humility
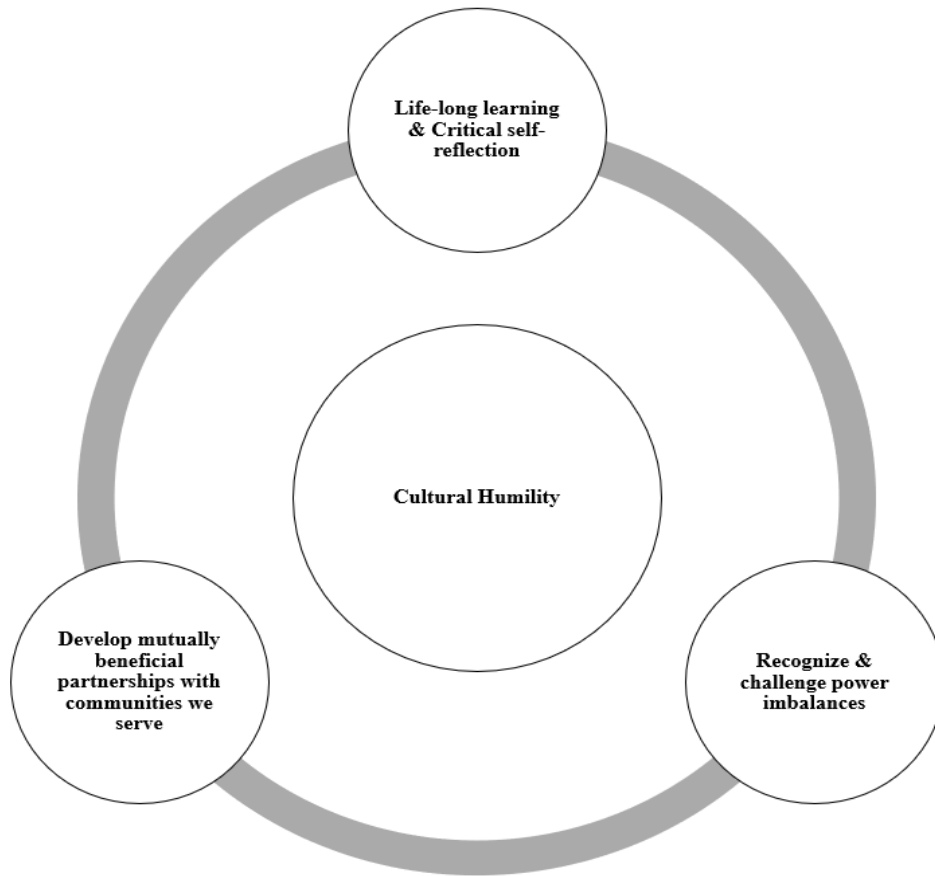
Figure 2. Illustration of compliance tactics with the adaptation of cultural humility principles in defined by Tervalon, M., & Murray-Garcia, J. (1998).
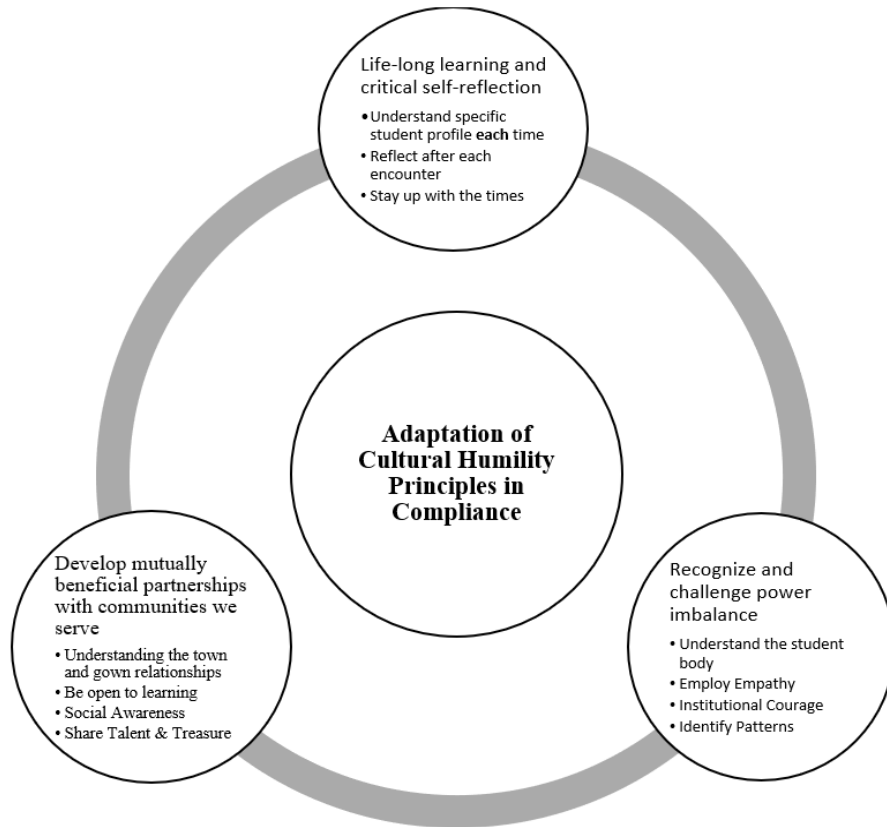
A deeper dive into the practical application of each principle demonstrates the interconnected relationship among the tactics for self-reflection and self-critique, the tactics for checking power imbalances, and the tactics for developing mutually beneficial partnerships with communities we serve. The practical application of cultural humility in compliance work requires that the three pillars (also referred to as tenants) work in tandem, supporting the compliance officer's interwoven tasks to enforce regulations, mandates, and institutional policies; research the impact on each individual student; hold students accountable; support students when they've been impacted by internal and/or external factors; advocate for and educate students about services that will aid in their academic and professional endeavors; build relationships with campus and external partners as a means to create a network of allies for

students; and maintain their own professional training and certifications to stay abreast of latest practices within the profession.

TENET #1: LIFE-LONG LEARNING AND CRITICAL SELF-REFLECTION IN COMPLIANCE

Compliance officers have the potential to impact others' lives as they engage with students, especially when students, faculty, or staff have encountered an unforeseen situation, made a lapse in judgment, or are trying to navigate new systems or situations that can have life-long implications. In these circumstances, when a compliance officer enforces institutional policy and relays news that may be unexpected, or may be contrary to the individual's desired outcome, employing tactics related to the first tenet of cultural humility, life-long learning and critical self-reflection, can be positively impactful. Figure 2 illustrates tactics related to this first tenet, Life-long Learning and Self-Reflection: (a) Understanding the Student Body, (b) Reflect after each encounter, (c) Stay up with the times, and (d) Identify patterns.

Figure 3. Tenet #1: Life-long Learning & Critical Self-reflection in Compliance

Understanding Student Body
• Understand specific student profile **each** time

Life-long learning & Critical Self-reflection

Reflect after each encounter
• What went right?
• What went wrong?

Stay up with the times
• What communication mode resonates?

Identify Patterns
• Does a situation highlight opportunities for improvement?
• Is the situation an outlier or a cultural norm that impacts students?
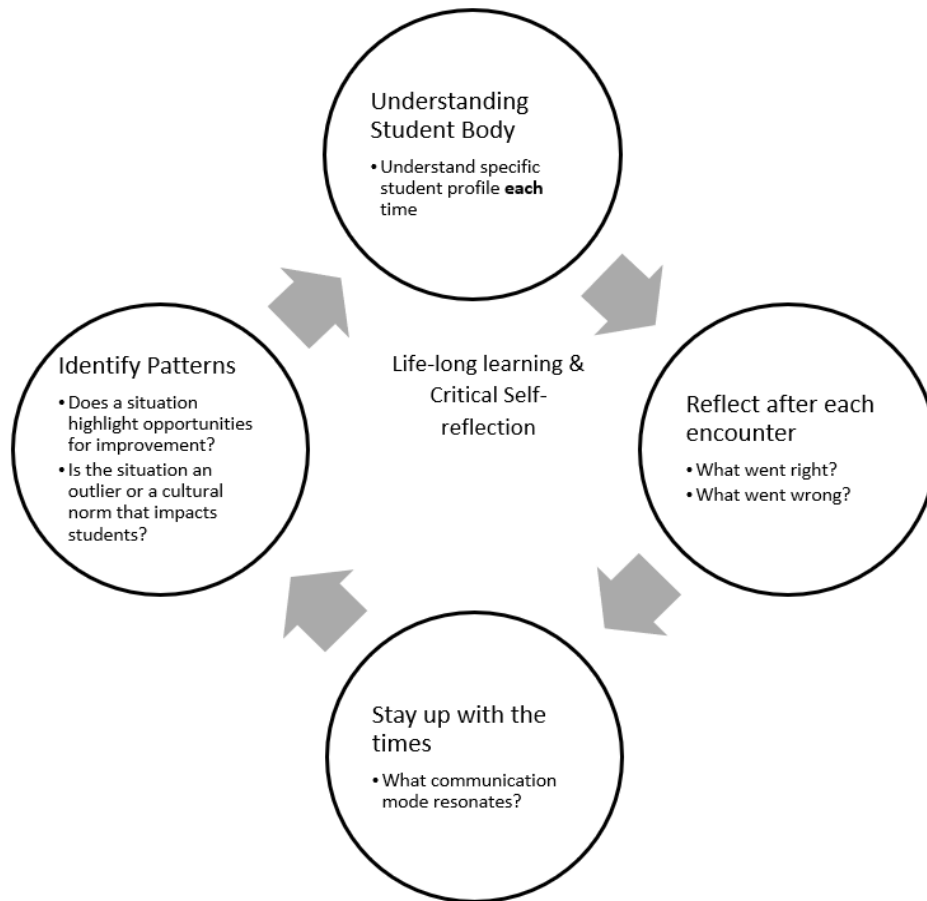
The common approach to recruitment and retention strategies are linked to understanding the institutional composition, identifying additional layers to the student's academic interests, and identifying the internal and external trends impacting students and staff. The foundation of life-long learning and critical self-reflection in compliance looks very similar to the examples provided by Tervalon and Murray-Garcia in healthcare. An example of the importance of self-reflection and critical self-reflection provided by Tervalon and Murray-Garcia (1998) alludes to the balance of educating oneself about the composition and cultural nuances of the communities we serve; however, it is critical that we employ "realistic and ongoing self-appraisal" so we are open to continuous learning. Additionally, Tervalon and Murray-Garcia (1998) propose using

flexibility and being humble as tools to counter the "false sense of security that stereotyping brings," which results in seeing each person individually rather than collectively (p.119). Critical reflection in practice is described by Tervalon and Murray-Garcia (1998) as accepting what we don't know in a humble way, seeking/researching as strategies to continue learning, and being willing to learn. These tools will enhance our ability to serve each person.

TENET 1, TACTIC A: UNDERSTAND THE STUDENT BODY

The first tactic that aligns with cultural humility principles in compliance is self-reflection and critical self-reflection as it requires that compliance officers seek to understand the composition of the student body in their institution, the campus culture, and the external social climate. As an example, Hunter et al. (2021) summarized the impact of the COVID-19 pandemic on student conduct that required that compliance officers revisit and shift the application of the policies while shifting to an on-line environment. The pandemic highlighted the need for compliance officers to view each student on an individual basis and exercise professional discretion so they can see the "student as a whole person" with each interaction. Self-reflection helped identify the patterns of support that were needed, and self-assessment served to remind us that, under these new circumstances, we did not know what students needed. The situation required compliance officers to take additional steps to identify and seek support services and tools in order to provide appropriate "compliance with care" for each student.

The COVID-19 pandemic created a pedagogical conundrum as institutions shifted to online instruction and the new challenges based on this modality, including finding effective means for enforcing academic standards, revisiting assessment options, and enforcing academic integrity by using proctoring software to detect cheating (Williams, 2022; Lee & Fanguy, 2022). Lee and Fanguy (2022) studied the impact that using technology as a proctoring mechanism had

on student-professor relationships and the stifling effect this software could have on pedagogical innovation, losing sight of the new stressors that might drive students to cheat. My adjudication experiences during the pandemic confirmed Lee and Fanguy's study: most of the students who cheated, or were found responsible for violations of the student code of conduct, had experienced a compounded COVID-19 related impact such as limited access to technology, difficulties with isolation and the changes in student life, health concerns, financial impacts on their family life, impacts on their mental health, or perceptions of mistrust by their professors (linked to online controls or proctoring methods).

Connections to Personal Identity (autoethnography)

The practical application as a Mexican American compliance officer of self-reflection and life-long learning to these compliance issues requires that, while the volume of cases for the same potential policy may have arisen, the officer must still hear each student and treat each conduct issue as a unique situation with potentially compounded and nuanced stories. The officer must lean into the discomfort of difficult conversations and identify ways to simultaneously educate and learn from students. My ability to understand the compounded and dynamic ways that individuals were impacted by the COVID-19 pandemic was an outcome of self-reflection and life-long learning afforded by my being a woman of color, an immigrant, and a first-generation student and professional.

The familiarity of those layers of my identity provided me with ways to connect and mediate between colleagues and students impacted by a cheating situation in a manner that considered tangential experiences that led to or correlated to the student behavior. Rebecca Covarrubias (2021) illustrates the unique layer Latinx students pose when attending colleges as they must abide by cultural norms while navigating the nuances of being first-generation

students. She also delves into faculty's conflation of disengagement with lack of interest, lack of

seriousness, or lack of commitment with a student's external financial, health-related, and

familial obligations impacting their ability to succeed. Having personally experienced some of

those predicaments as a student and professional allowed me to employ the tenet of self-

reflection and life-long learning as I discovered similarities with the COVID-19 impact on the

student body and learned new practices extrapolated by the adaptation of cheating oversight in

the pandemic.

TENET #1, TACTIC B: REFLECT AFTER EACH ENCOUNTER

The second tactic calls for the compliance officer to engage in honest reflection beyond

the work; it speaks to ethical principles and owning potential gaps in one's own daily tasks. The

Association for Student Conduct Administration (ASCA) makes this connection in their ethical

principles and practices statement (ASCA, n.d.b):

> [this statement of] standards is to be used in assisting members in shaping their behavior
> and professional practice. While student conduct professionals are expected to exercise
> reflective judgment in the conduct of their own daily practice, they are ethically obligated
> to consider the impact of their own conduct as well as that of their peers. (p. 1)

An illustration of how compliance officers would uphold ASCA ethical principles in a

culturally humble way would include honest reflection following each professional encounter,

asking themselves to consider both what went right and what went wrong. By observing what

approach, policies, and procedures result in student growth provides accountability in a

restorative manner and acknowledging student feedback on positive experiences provides insight

about what went right. Learning from each student experience informs and may lead to

identifying best practices that will be applicable in the future. Reflection after each interaction

also provides compliance officers the opportunity to exercise discernment about trends in the

field and if a best practice in another setting fits/is as effective within the communities they serve. In other words, reflection will prevent the "because everyone is doing it" methodology since it keeps the community's unique needs at the center.

Tervalon and Murray-Garcia (1998) describe a potential weakness of cultural competence training as that it "simply stimulates a detached, intellectual practice of describing 'the other' in the tradition of descriptive medical anthropology" (p. 120). They suggest that cultural education should include "guiding trainees to identity and examine their own patterns on unintentional and intentional racism, classism, and homophobia as essential" (Tervalon & Murray-Garcia, 1998, p. 120). Related to this conflation of competency and expertise in the healthcare field, educational compliance officers participate in training aimed to bring awareness to unconscious biases and to encourage equitable practices. Success in self-evaluation and in identifying what went right or wrong in each encounter involves a realistic understanding of human interactions. The compliance officer must be able to "see" interactions that may be unforgettable, unresolved, escalate unnecessarily, or leave the person at the center feeling harmed by the process. In order to practice this tactic, the compliance officer must be able to let go of "the false sense of security stereotyping (of any kind) brings" (Tervalon & Murray-Garcia, 1998, p. 119) to pave the way so a practitioner can truly be humble in assessing the result of the encounter.

Connections to Personal Identity (autoethnography)

As a woman of color overseeing compliance for over ten years, being culturally humble presents cognitive dissonance while letting go of potential stereotypes brought on by cultural training and being impacted by societal and systemic behaviors that stereotype what a Mexican American looks like, sounds like, which spaces they should occupy, and in which spaces they belong. An example of such a juxtaposition took place while I was serving as the compliance

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officer for a multicultural institution in an urban area. The student body was composed of students from backgrounds different from most of the faculty and staff, therefore cultural humility was necessary in my efforts to oversee compliance in a holistic, advocacy-centered manner. Leaning into my identity as a woman of color helped the institution's students of color view a different perspective when it came to the disciplinary process and yielded positive results, including giving me the ability to institute restorative practices as part of their due process options.

At the same time, having to oversee and enforce compliance and regulatory mandates required me to project a level of rigidity and impose strict outcomes that impacted students, faculty, and staff. These outcomes were, most often-than-not, led by white males or white females at other institutions, such as investigations of sexual misconduct, discriminatory practices, and potential dismissal from the institution. As a result, I faced resentment, a lack of respect toward the authority and scope provided by my compliance officer role, and on several occasions, I endured the three forms of microaggressions (as defined by Sue et al., 2007 and cited in Lewis et al., 2019). Lewis et al. (2019) discuss instances experienced by Mexican Americans in compliance roles such as micro-assault, micro-insults, and micro-invalidations. Specifically, the micro-assaults were exhibited when people implied that they did not understand (and thus could not comply with) directions because of my accent; micro-insults were exhibited when individuals claimed that affirmative action and other diversity and inclusion initiatives were the reason a Mexican American woman was in the compliance role; and micro-invalidations were exhibited when individuals would claim "color-blind" or "reverse racism" ideology when refuting my outreach initiatives or my implementation of federal regulations. My ability to reflect upon these experiences enhanced my ability to identify micro-assaults, micro-

insults, and micro-invalidations perpetuated toward me and toward students or staff. Most importantly, it affords the duality of seeing the privilege my role provides and areas of improvement I can share with people who hold privilege due to their identity and/or positionality.

The prominence of micro-invalidations throughout academe specifically with Latinx students discussed by Yosso et al. (2009) highlights the need to challenge the environment with micro-affirmations which are dependent on the practitioners' evolutionary capacity, cultural resonance, and cultural humility. Applying Shen's (2022) approach to micro affirmations provides practitioners who possess cultural humility and the ability to resonate with students an opportunity to employ "tiny acts of opening doors to opportunity, gestures of inclusion, and caring and graceful acts of listening" (para. 11).

TENET #1, TACTIC C: STAY CURRENT

There is a universal higher education adage that suggests "students don't check their email," a situation which poses a challenge for offices that must communicate updates, procedures, and notifications to students. Institutions hire marketing firms, engage in research, engage student workers, and hire secret shoppers all to find out what communication mode resonates with students. Compliance officers are not exempt from this conundrum as they must communicate effectively with students about deadlines, procedures, information regarding their student rights, and support services.

The third tactic for demonstrating cultural humility, then, is identifying how best to reach students. This identification must go beyond the minimum requirements in conveying regulations or the institutional status quo;   instead, it must include searching and understanding where and how students obtain information. For a compliance officer, communication and outreach may

appear unnecessary or unimportant since most people align the role with dispensing disciplinary actions. However, educating students about their rights and responsibilities, support services available to them, and the role of the compliance officer beyond disciplinary actions is not only part of the regulatory requirements, it is imperative for ethical practice.

A recent article in the *Chronicle of Higher Education* focused on the importance of digital marketing trends in higher education pre- and post-pandemic and emphasized the transition to using digital marketing for recruitment purposes prior to the COVID-19, the impact on traditional communication and in-person activities, and the importance of cross-departmental collaboration as key in the midst of the pandemic. The article recommended a multi-pronged communication approach as an effective way to communicate with students, including "digital, print, in-person, social media, and integration of multiple channels" (*Chronicle of Higher Education*, 2022, p. 3).

As a practical example of this tactic applied to compliance work, I implemented a multi-pronged communication approach for compliance outreach. Table 1, below, illustrates several key points, including use of a wide range of communication methods, a timeline reflecting student "just-in-time" needs for information, and cross-department collaboration for the message and the targeted information.

Connections to Tenet #1: Life-long Learning & Critical Self-reflection in Compliance through Autoethnography

The level of naïveté and ignorance I exhibited when I left Texas to attend an educational institution in Michigan—without fully understanding the level of complications—illustrates a similar approach to communication that I see exhibited by students today who appear to understand the system but who (like me twenty years prior) are unaware of their rights and obligations. Applying the lens of cultural humility, Table 1 provides a list of the various

channels, the timeline, the purpose, and the content of the wide range of communication and

outreach methods necessary to reach student and communicate with them about rights,

obligations, support services while meeting regulatory mandates.

Table 1. Culturally Humble Compliance Outreach Communication Methods

METHOD	TIMELINE	RATIONALE	COMMUNICATION & COLLABORATION
Email and Student Portal	First week of semester	Provides students an introduction and meets regulatory requirements	Partner with Registrar, Student Life, University Housing and Financial Aid office for Welcome Message Communications
In-person and in virtual formats	Several times throughout semester	Provides students an introduction and meets regulatory requirements	Participate in events hosted by Student Life and other campus partners
Online services such as emaze .com, powtoons, canva slides, screencastify videos, Instagram	Throughout Semester	Adds easy-recall urls that are mobile-phone friendly and not email-based	Create student-language slide decks about support services, academic misconduct process, disciplinary process, and role of compliance officer
Webinars, writing articles for newsletters, and presentations during faculty assemblies	First weeks of semester and throughout each term	Fosters faculty relationships and spreads awareness of support services for students	Partner with Center for Teaching and Excellence to provide support services from a faculty perspective and education on disciplinary process
Modules, hosting presenters, leading awareness month programming	Several times throughout semester	Prevention -minded programming helps lessen stigma and promotes reporting and meets regulatory requirements	Purchase (if funds are available) student-focused educational modules with incentives for completion in Title IX, Drug, Alcohol, and Other Drugs, Mental Health, Food, and Home Insecurity
Active participant in committees, campus events, foster relationships with all levels of academic affairs and administration	On-going throughout semester	Serve as student advocate and identify systemic barriers and solutions	Engage in educational presentations by academic affairs that may impact students, such as zero-tolerance policies

METHOD	TIMELINE	RATIONALE	COMMUNICATION & COLLABORATION
Volunteer to lead funding campaigns, develop reports on most common student issues linked to financial or mental health hardships	On-going throughout semester	Active advocate for underrepresented student groups	Forge relationship with Foundation as source for funding focused on student hardship

TENET #1, TACTIC D: IDENTIFY PATTERNS

In Vivian Chavez's video (Chavez, 2012) physicians who were part of Tervalon's Multicultural Leadership Program met with Tervalon, facilitating a conversation where they collectively reflected on competence versus humility. One of the participants, Dr. Simms-Macklay, explained that, for her, *cultural competence* differs from *cultural humility* in that cultural competency is viewed as a "topic/subject" that needs to be learned and is reflective of a person being "smart" where cultural humility is a "philosophy/approach/tool," meaning it is not linked to "mastery," but is instead a tool or approach she can apply in her practice (Chavez, 2012, 9:07-9:29).

The application of cultural humility within this first tactic focuses on understanding if a situation provides opportunities for improvement. This approach is completed by evaluating if a situation is an outlier affecting one individual, or if it may, potentially, impact multiple students. An example of a situation where assessing such situations and recognizing that it is acceptable —in fact preferable—for a physician, healthcare provider, or, as illustrated in this work, a compliance officer, to "not know the answer or be unfamiliar with a situation" was highlighted in Chavez's video. In the video, Dr. Patricia Castañeda-Davis, a physician who participated in the conversation with Chávez as part of Tervalon's Multicultural Leadership Program,

acknowledged that an area of ongoing development for her was recognizing that she would often confuse "not knowing for lack of intelligence." Once she understood that not knowing every detail freed her to ask questions and learn from others;   it also validated her awareness that having a different area of expertise did not mean that she was "stupid," but instead that she had new areas to explore and investigate. She emphasized the importance of the learning process for her, for example, in areas of medicine that were outside of her specialty (Chávez, 2012, 10:13-10:53).

Compliance officers who view their relationships with students in a culturally humble manner can identify connections and similarities in situations but can still approach each situation contextually, discerning the complexity of each situation and the potential impact on outcomes over time. For example, compliance officers are often tasked with supporting students in distress, a layer recently highlighted and exacerbated by the COVID-19 pandemic, that provides compliance officers opportunities for growth when faced with new situations. One of these areas was oversight of compliance during the pandemic. These changing and altered responsibilities were discussed during the ASCA 2021 National Conference presentation, "Guiding Principles of Student Conduct: ASCA's Knowledge and Skills," which provided an updated framework of the role of compliance officers (and similar positions) (Association of Student Conduct Administration, 2021). The Knowledge and Skills approach was anchored in the importance of identifying the level of knowledge needed by the compliance officer, from foundational, intermediate, and advanced, as well as the fluidity of knowledge within each area of responsibility. This approach, which recognizes the importance of a fluid learning environment and of recognizing the compliance officer's wide range of knowledge, is akin to the principles of cultural humility. In order to identify systemic patterns and opportunities, the

compliance officer's understanding of their skill level and opportunities for growth are aligned with the tenets of cultural humility.

TENET #2: RECOGNIZE AND CHALLENGE POWER IMBALANCES IN COMPLIANCE

The focal goal of this second tenet is to bring awareness to the relationship between power imbalances and its relevance in compliance work. Fifty years have passed since Paulo Freire's seminal work, *Pedagogy of the Oppressed,* and his description of conscientização, or conscientization, provided a scholarly illustration for the tactics needed by compliance officers to recognize and challenge power imbalances. Friere explained that the word *conscientização* is applied in various ways, one of the approached of understanding it is as:

> [conscientização] refers to learning to perceive social, political, and economic contradictions, and to take action against the oppressive elements of reality. (Freire, 2018, p. 35)

In compliance work, having the awareness of social, political, and economic situations provides compliance officers with the ability to educate, support, and adjudicate with a holistic approach. In other words, this awareness provides compliance officers with the ability to apply their understanding of the student body by exercising compliance with care, employing empathy, modeling and encouraging institutional courage, and being cognizant of potential patterns that impacts student experience and campus culture. Figure 3 illustrates the tactics appropriate to this tenet.

Figure 4. Tenet #2: Recognizing and Challenging Power Imbalances in Compliance
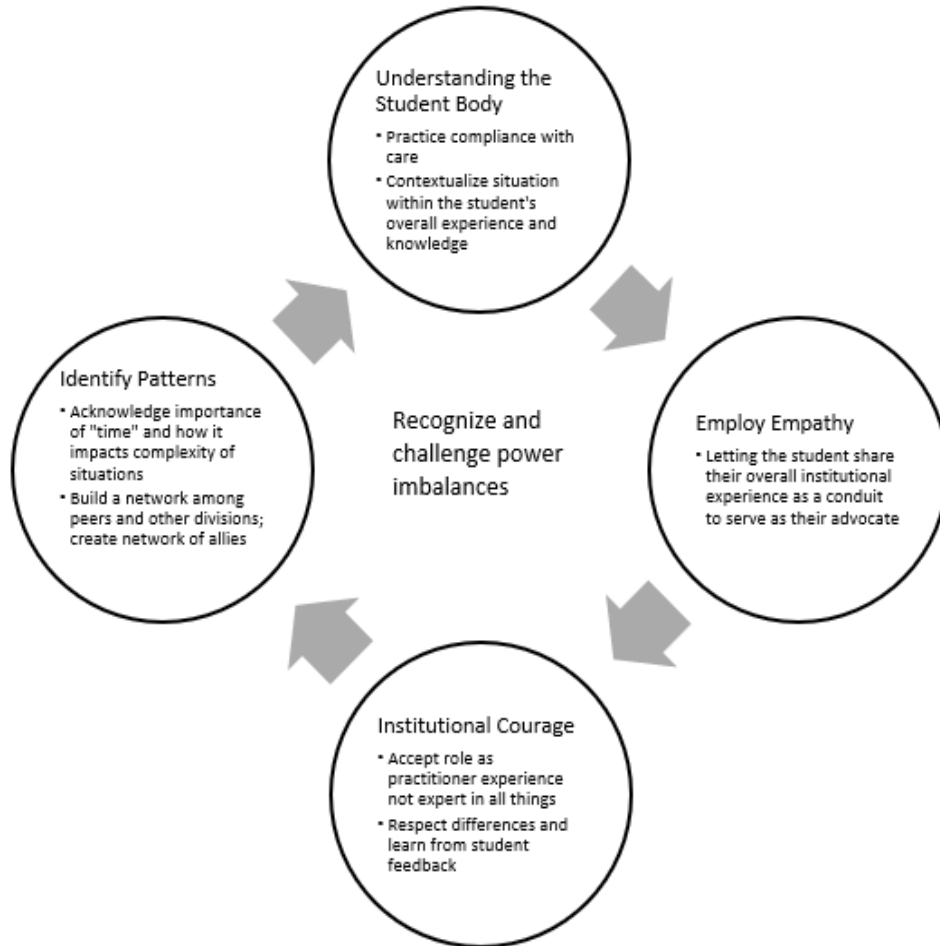
TENET #2, TACTIC A: UNDERSTANDING THE STUDENT BODY

In practicing Compliance with Care, the first application of cultural humility is recognizing, and challenging, power imbalances related to the compliance officer's ability to understand the composition of the student and community they are serving. A compliance officer's role impacts the student experience in unique ways because most often students are referred to, or connected with, the office when an unforeseen situation arises. Because of this, it is critical that the compliance officer understands the nuances of each student's contexts and experiences, even in cases where the same violation and/or behavior is reported.

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For example, prior to the COVID-19 pandemic, compliance officers balanced prevention, oversight, and systemic oversight related to student policies and regulations aimed to create a safe learning environment. In many of these cases of conduct violation, several mental health patterns such as anxiety, depression, feeling overwhelmed, food and home insecurity, and uncertainty about academic and professional paths were present. Even in cases involving groups or multiple student incidents, each individual student had different causes, and, thus, impact on their disciplinary case. The ability for the compliance officer to dissect each situation provides each student the opportunity to actively engage and feel an active part of the process; in other words, the compliance officer employs cultural humility while empowering students in typically stressful situations.

During the onset of the COVID-19 pandemic, scholars   Wang et al. (2020) set to study the pandemic's impact at Texas A & M University, specifically the potential impact on mental health aspects such as depression and anxiety, and to identify any correlations between the pandemic and coping mechanisms employed by students. Their research highlighted an increase in students' stress and anxiety, a significant impact on students' ability to focus, and as well as a significant impact on students' academic performance, and a heighted suicidal ideology in students who were experiencing mental health challenges prior to the pandemic (Wang et al., 2020).

Prior to the pandemic, the connection between college students' mental health and their ability to perform was a key research area for scholars. Zhai and Du (2020) stressed the urgency for institutions to address and create awareness and tools to aid students to provide support as their mental health is impacted. Examples stressed a multi-delivery of services approach because the lapse of in-person instruction, advising, teaching, and internships had caused an additional

level of stress (Zhai & Du, 2020). Student Code of Conduct violations and mental health issues overseen by compliance officers during the pandemic are aligned with these studies, and, for this reason, it is clearly imperative for compliance officers to have the ability to look for and identify patterns and connections such as these that are key to providing effective Compliance with Care. While the variance within each incident enhances the officer's intuitive skill to contextualize and recognize nuance in each situation, it is from the student's perspective of the situation that a conduct officer finds the most reasonable and restorative outcome. A culturally humble approach will engage the student and "will listen past the noise" to identify the causes and correlations between the behaviors, while still employing oversight and execution of the policies and regulations at hand.

Recent research by the Educational Advisory Board (EAB) focused on institutional executives, such as presidents, provosts, and vice presidents, and identified their most pressing concern—the mental health of students and staff. EAB's recommendations paralleled culturally humble approaches to addressing mental health on college campuses, including setting a top-down example of mental health being a priority, creating a uniform message equitable for faculty and staff, encouraging university-wide collaboration on mental health tactics (not simply limited to the Student Affairs divisions), and promoting the positive impact of mental health and wellness (Cudé, 2021). All these recommendations place the student experience and voice at the center, thereby supporting and aligning these principles beyond the compliance officer's office.

TENET #2, TACTIC B: EMPLOY EMPATHY

The second tactic of cultural humility related to power imbalances is the quintessential act of humility one can employ toward others, empathy. In compliance, exercising empathy is critical to understanding the best approach toward resolution, intervention, and developing a path

toward accountability. An example of employing empathy is the importance of the compliance officer's ability to suspend their initial perceived "understanding" of a student's circumstances, instead beginning the interaction with the opportunity for the student to share their story and their viewpoint.

Current research tied to the Latinx student population puts this tactic in context. Rebecca Covarrubias' work (2021) highlights the importance of understanding layered cultural norms of Latinx students and how those norms shape and impact students' success. Covarrubias (2021) explores the importance of understanding familial norms and how they collide with Latinx students' educational goals and overall collegiate experience. At first glance, administrators and faculty may conflate the student's connection to their family and upholding family obligations with lack of engagement or interest in their academic success. Covarrubias (2021) reminds us that U.S. institutions place importance and value on individualistic success models that reward self-interest, independence, and each student fully embracing the college-student persona. These expectations do not, however, align with the Latinx students' cultural norms that emphasize that success depends on balancing familial obligation, work obligations, and community expectations.

Correa-Chávez (2015) and Valdez (1996) reinforce the context that Latinx students are often expected to help their families with care taking, younger siblings, and contributing financially to their family. After examining the additional commitments and obligations of these students, Covarrubias proposed engaging in practices to affirm, support, and retain Latinx students. These practices, which mirror the concepts and tenets of cultural humility, include using broader messaging and marketing approaches that focus on welcoming the students and their family in enrollment literature, websites, and programming. Extending the message beyond

the student creates a sense of community and belonging for Latinx students (Covarrubias, 2021). In compliance, learning about these compounded experiences and how they influence student behavior provides an avenue to serve as an advocate, to identify ways to prevent difficulties, and to provide intervention that is culturally sensitive in cases involving policy violations.

Another empathetic approach toward a student who has been involved in a policy violation begins with understanding the student's potential lack of knowledge about the disciplinary process, the potential short- and long-term impacts of their actions, and their overall student rights. Compliance officers cannot assume that a non-responsive or non-participatory student is acting in a defiant or irresponsible manner; instead, they must consider whether the language used to describe or explain the process is written clearly and that the student understands the nuances of the information. Empathetic compliance officers must also identify and include advocate and support systems as part of the initial contact so students can be informed and supported.

It is also essential for students who are not familiar with the potential academic and financial implications of a disciplinary action to have the opportunity to disclose if they need interpreters, advocates, or advisers. In addition, a compliance officer must also be aware of the possible effect of how timing can affect the student. For example, the timing of the occurrence during the academic semester and the timeliness of the compliance officer's case management can impact students in terms of financial aid eligibility deadlines, enforcement of academic policies, as well as the administrative procedures that impact the student's ability to get refunds, the timeline to drop classes, and other similar miscellaneous administrative procedures that are often unique to each institution.

The third and perhaps most critical component is institutional courage. Gonzalez et al. (2018) researched the experience of Latinx students enrolled in a Midwest research four-year Predominately White-serving Institution (PWI) to understand the student's perspective as it relates to diversity and inclusion in the social and academic spheres. The results of their study showed the lack of institutional humility or courage as students reported observing that the institution perceived to know the students' needs without asking for their input, for example, the assumption that having Latinx student organizations on campus was sufficient to create a sense of belonging and such interactions translate into academic success. In their studies, Gonzales et al. (2018) and Tello and Lonn (2017) suggested assumptions about the Latinx experience having a homogenized approach discounts the individual experiences of the group. In other words, not recognizing the different countries, cultures, and contexts that compose the Latinx community but instead generalizing the outreach, support, and programming highlights the lack of understanding when institutions identify and implement initiatives aiming to support Latinx students.

An example of institutional courage is to acknowledge that compliance officers and institutional context expertise does not translate into an expertise about the lived experiences, backgrounds, and culture of the communities we serve. Additionally, learning from studies provide a clear student voice does not supplant the compliance officer or institutional leaders' ability or need to connect with students who can provide a personal account of their experience. Most importantly, one of the ways to model respect for differences and the value of student perspective is understanding that institutions and compliance officers can fail, but most importantly, can pivot when a strategy is not working or is not yielding the impact intended. One example of institutional courage is discussed by Hope et al. (2017) as they examined the impact

of the link between political activism and mental health among African American and Latinx college students. Their research discovered that practicing political activism can be an adaptive coping mechanism for Mexican-American and Latinx students who experience mental health challenges related to their experiences in a PWI as part of a marginalized population. On the other hand, political activism may exacerbate the stress and anxiety experienced by Black and Latinx students when they do not feel supported or when they also face significant microaggressions and bias (Hope et al., 2017). Hope et al.'s study affirms the need to exercise institutional courage when provided the opportunity to support and guide students who step into leadership positions and/or when launching new initiatives.

Connections to Tenet #2: Recognizing and Challenging Power Imbalances in Compliance through Autoethnography

The academic and professional trajectories I experienced throughout my career have aligned with the work of Cavazos et al. (2010) as cited in Tello and Lonn (2017) as I, too, developed coping mechanisms. These experiences gave me opportunities to grow, especially when they were aligned with institutions that exercised institutional courage, and, on the other hand, had negative impacts when institutional courage was not present. Specifically, when I was in an environment that exercised institutional courage, the factors associated with resilience— such as learning how to set goals, discerning how to value familial support, understanding how to select majors—were part of the institutional culture (Cavazos et al., 2010 as cited by Tello & Lonn, 2017).

As a first-generation, out-of-state student enrolled in a PWI, I was afforded the opportunity to lead the Latin American Student Association. I did my best, mainly by mimicking the behavior of other student leaders and watching how they connected with external organizations. While this watch-and-learn formula worked in my early years of primary and

secondary school, the outcome was different in the collegiate academic setting. The lack of

institutional guidance and my lack of understanding how I could benefit and grow from leading a

student group eventually became a missed opportunity in my academic trajectory. Additionally,

my lack of knowledge about how to leverage a leadership role and the connections I was making

within the Latinx community actually resulted in my continued sense of feeling lost and alone in

academia and handicapped in terms of my ability to set professional goals. Unbeknownst to me, I

was modeling institutional courage by showcasing Latinx culture, but I did not realize that I was

missing a key outcome: obtaining evidence of my student leadership activities, such as internship

opportunities, letters of recommendation, mentors, or sponsors— all of which are essential to

establish a strong professional foundation. Instead, resilience, persistence, and serendipity

became my personal formula for excelling academically and professionally. By observing

successful people of color in my community, I learned about the strategies associated with

setting goals, translating how familial experiences and support are beneficial and necessary, and

learning how to identify potential professional paths. These lessons were the foundation for my

understanding how to seek professional development opportunities and academic opportunities.

In my current role as a woman of color responsible for compliance, I highlight and recognize

these traits when I work with students and colleagues. For the last 21 years, I have experienced

the juxtaposition of feeling lost while exercising leadership. While uncomfortable, this

combination has given me the unique opportunity to help my community feel empowered and

validated by providing an example of leadership in a role often traditionally held by people with

different identities, even when that validation may highlight or impact tenuous situations. As I

continue to identify ways to employ institutional courage through the lens of marginalized

individuals, I have the unique opportunity to be an agent of change while simultaneously honing skills necessary to employ compliance in a culturally humble manner.

TENET #2, TACTIC D: IDENTIFY PATTERNS

Within this second tenet of understanding potential power imbalances, it is again extremely important for the compliance officer to look at the broader, larger picture and identify patterns that may affect the compliance situation. This tactic demands understanding collective systems from other disciplines (or campus offices) and learning how the semester timeline may provide opportunities and challenges. The importance of "time" and how it impacts complexity of situations in compliance work is a skill that comes with experience and reflection. A compliance officer must be aware of potential unintended consequences of the timeline of the compliance action, for example, a student having to repay financial aid funds to the institution if they are suspended in the middle of the semester, the negative balance a student may have if they request a medical withdrawal, or the delay of completion and/or loss of a scholarship if the student is subjected to zero-tolerance policies for academic or behavioral violations.

Examples of systemic patterns discussed by Kendi (2019) include (1) the rate by which Black students are suspended in public schools in comparison to their White peers, (2) the uneven level of sanctions imposed for similar transgressions, (3) the lack of recognition in the classroom when a Black student participates in class, and (4) the continuous experiences of microaggressions. These patterns are impactful and can shape a student's perception of belonging. As a compliance officer, recognizing who, and for what reason, students are referred for disciplinary action or for administrative withdrawals identifies potential systemic barriers linked to institutional culture.

A proactive approach to identifying and addressing systemic patterns is to connect and forge relationships with colleagues who are content experts in institutional offices such as Financial Aid, Registrar, and Academic Advising. These partnerships can enable a compliance officer to balance accountability with advocacy when overseeing student situations. The unique composition of internal and external aspects of a student's experience—including their sources of financial support, the factors affecting their progress through their academic program, their level of familial support, and their lived experiences—all shape the student's college experience and become important factors informing a compliance officer's ability to identify systemic barriers and institutional patterns.

A pragmatic approach to identify the patterns is to create a synergy between holistic intervention and the process of reviewing detailed incident data. Examples of crucial data for review include (1) the demographic breakdown of students (racial/ethnic, generational education status, and Pell eligibility) (2) the area or department that submits the most reports, (3) the types of reports students receive (such as academic versus behavioral), (4) the residential areas or living environments receiving minor versus high-level violation reports, (5) the cases of alleged bias or unfairness reported by students, (6) the types of sanctions issued, and (7) the number of cases rescinded. Together, these data empower the compliance officer to identify and share patterns that may be akin to systemic barriers and pave the way for training, collaboration, and engagement with students on finding areas for improvement.

Connections to Personal Identity (autoethnography)

The juxtaposition of identifying systemic patterns that hinder student success while experiencing the impact of systemic barriers as a woman of color doing compliance work informs the coping mechanics and level of heightened awareness employed in this approach to

compliance oversight. The books, *Man's Search for Meaning,* by Viktor Frankl and, *What Happened to You: Conversations on Trauma, Resilience, and Healing,* by Oprah Winfrey and Dr. Bruce D. Perry provided tools that I tapped into when faced with intersections of the privilege/perceived power bestowed upon me by the compliance officer role and while navigating systemic barriers that have impacted and/or stifled my professional progression. Frankl's work on making meaning out of life's adversities was transformative and critical in my academic and professional journeys as it provided me with the ability to recognize personal adversity and surviving traumatic experiences are not a litmus test for one's ability to withstand systemic inequities, rather it provides foundational aspects of resilience. Finding meaning when overcoming challenges shaped the approach to effectively and ethically recruit students during the first half of my career and informed my approach to Title IX and compliance oversight during the last decade.

The cognitive dissonance I experienced when I found experience and knowledge alone are not the keys to professional advancement has been present throughout my career. Instances where an idea that I proposed, developed, and presented was credited to a colleague occurs regularly. When faced with situations where I have sought advancement opportunities and developmental support, finding that it was given automatically to some of my colleagues, I learned to see these environments as opportunities to learn from others about the processes and steps they may have followed. A coping mechanism I have learned to use is to focus on gaining visibility among my colleagues and building on my professional reputation to validate my work while forging new relationships to benefit the communities I serve.

The focal premise of the book, *What Happened to You: Conversations on Trauma, Resilience, and Healing,* by Oprah Winfrey and Dr. Bruce D. Perry is a recognition of the

physical impact that trauma has on the brain. This impact, in turn, helps us understand why

individuals may act in ways that are inconsistent with typical, acceptable human behavior. In

other words, the focus is on understanding what happened to people instead of trying to identify

what is wrong with people. The latter approach—focusing on what is wrong with people—is

often a common conversation when students or employees are referred to my office for

compliance violations. In the book, Dr. Perry explains the physiological composition of the brain

and discusses the importance of the person's age when they have endured traumatic events. For

those working with individuals experiencing—or having experienced—trauma, this aspect is key

in the conversation relative to trauma-informed training (Winfrey & Perry, 2021). For myself, as

a survivor of traumatic events, the book helped me understand my physiological rationale while

providing an additional tool in my work to understand and connect with students whom I face in

the compliance office. This tool gives me the ability to contextualize for a professor the reasons

why a student may feel unwelcome in a space, behave in unpolished ways during a class, present

themselves as disengaged, or why students may not always feel comfortable sharing personal

experiences. These strategies, based on my own personal experiences, have proven effective as I

advocate for students and colleagues.

TENET #3: DEVELOPING MUTUALLY BENEFICIAL PARTNERSHIPS WITH COMMUNITIES WE SERVE

While the compliance officer is not normally seen as an ambassador outside of the

institutional setting, understanding the importance of building mutually beneficial partnerships

with communities served is critical to a culturally humble approach to compliance. The

compliance officer is tasked with prevention, outreach, and implementation of policies and

regulations. Part of their institutional role also includes serving on institutional committees and

contributing to initiatives to provide a student-centered lens and to highlight potential regulatory risks. In these actions, immersing oneself in the community is key for a compliance officer to truly be student-centered and to be an effective institutional ambassador. To illustrate this role, in my role as compliance officer, I have established partnerships to learn about external support mechanisms for students, identified opportunities for synergy with other institutions/agencies, served on task forces that highlight the community's needs, and learned from the local communities about the impact of a student's situation outside of the institution.

Figure 5 provides methods that enable a compliance officer to immerse themselves in the community in a culturally humble manner.

Figure 5. Tenet #3: Developing Mutually Beneficial Partnerships with the Communities We Serve
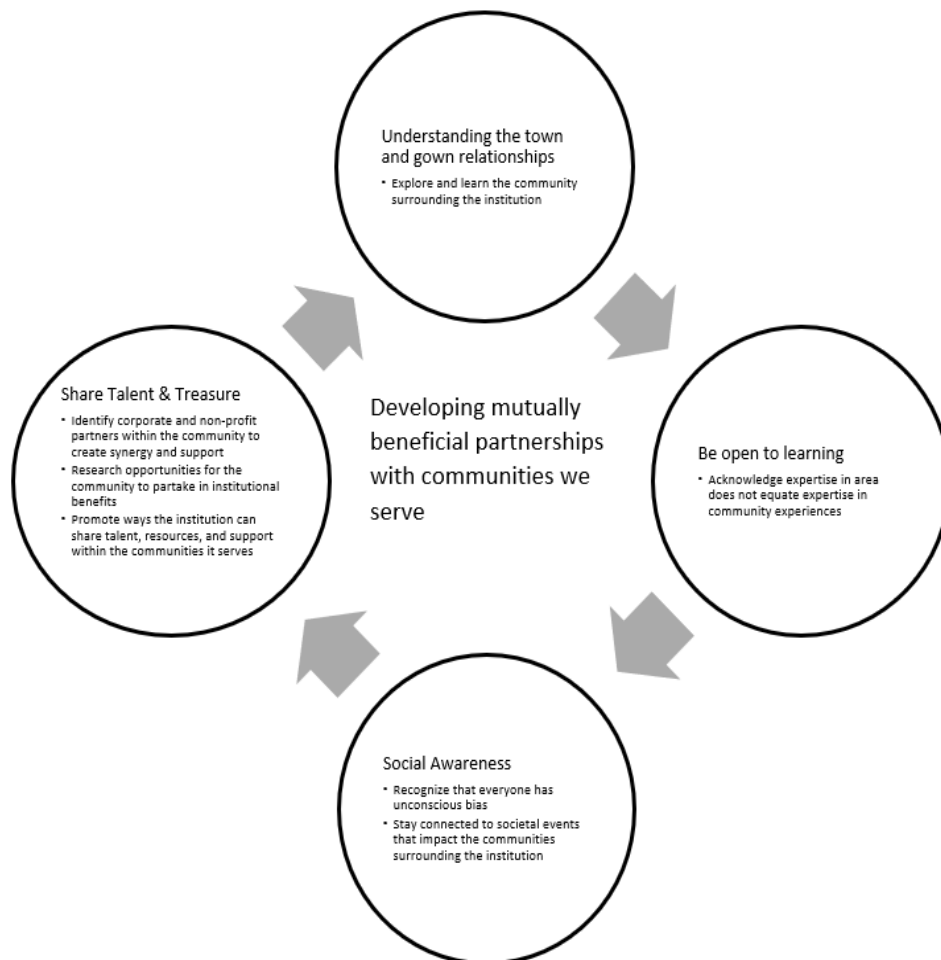
Understanding the town and gown relationships
- Explore and learn the community surrounding the institution

Developing mutually beneficial partnerships with communities we serve

Be open to learning
- Acknowledge expertise in area does not equate expertise in community experiences

Social Awareness
- Recognize that everyone has unconscious bias
- Stay connected to societal events that impact the communities surrounding the institution

Share Talent & Treasure
- Identify corporate and non-profit partners within the community to create synergy and support
- Research opportunities for the community to partake in institutional benefits
- Promote ways the institution can share talent, resources, and support within the communities it serves

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The Bridge (2016) summarizes the meaning of "town and gown relationships" as the relationship between institutions of higher learning and the communities where they are located which at times, creates potential conflicts based on the community's perception of education, the geographical impact of campus, economic impact, cultural impact, and if the campus presents a welcoming environment for the community members surrounding it. Thus, investing time in learning the importance of the college environment's "town-and-gown relationships" is the first tactic to develop mutually beneficial partnerships with the communities we serve. The state of Michigan does not have an institutional body that oversees all higher education institutions. Rather, all institutions are independent of each other and collaborate through state committees, taskforces, professional organizations, and organizations organized to serve their institutional needs. According to the Michigan Association of State Universities (MASU) there are fifteen public universities in Michigan (MASU, n.d. para. 1) whose aggregate total student headcount yield for the 2021-22 and 2020-21 fall terms reported a total enrollment of -2.91% (MASU, n.d.b,).

For the community college environment, the Michigan Community College Association (MCCA) supports 28 community colleges in Michigan (MCCA, n.d.a). As reported by the MCCA, the aggregate enrollment for the 28 community colleges during this time period was 365,232 students; the average age of the students was 25.7 years; and 56.16% of the students are women (MCCA, n.d.b).

The Michigan Independent Colleges & Universities (MICU) serves as the resource for 25 not-for-profit colleges and universities in Michigan and report their footprint as educating 15% of the state (MICU, n.d.). While these organizations set state standards and practices within the

state for the various types of institutions of higher learning, each school has a unique Town-and-Gown relationship.

The importance of Town-and-Gown relationships and their role in their local institution's environment has been on full display with the onset and management of the COVID-19 global pandemic. The manner by which each institution addressed and communicated the stages of the health and safety measures for each institution were intrinsically connected to their surrounding communities. Recognizing the importance of the health and safety across the state of Michigan, higher education institutions worked with their local communities to identify and apply effective tools to navigate the multitude of simultaneous and equally important challenges, including securing and spending federal emergency funding, enacting and applying COVID-19 related safety and compliance guidelines, responding to student and employee mental health issues, facing the challenges of declining enrollment, transitioning to an entirely on-line educational and work environment, and gauging regional reaction to health and safety mandates.

Each institution's compliance officer was expected to, yet again, add another responsibility to their already complicated job descriptions. This additional layer—providing institutional guidance and oversight of pandemic-related policies—provided compliance officers with new opportunities to understand the impact that higher education's institutional policies can have beyond the institution's perimeter. Most Michigan institutions implemented mask, vaccine, and COVID-19 testing requirements for students, faculty, and staff. The compliance officers were tasked with creating or modifying their codes of conduct, providing oversight of campus communication and implementing student compliance policies relative to COVID-19 policies, and responding to the community's reaction to such measures. A recent article in *The Detroit News* summarizes the compliance aftermath of the COVID-19 vaccine requirements and reported

that a number of state universities had fired employees, disciplined non-compliant students, and are now facing lawsuits brought as a result of students and employees challenging the consequences stemming from COVID-19-related violations (Kozlowski, 2022). In her overview, Kozlowski (2022) illustrates the divisiveness that still exists surrounding COVID-19 policies and the progression of tactics employed to gain compliance at the institutions she researched.

Connections to Personal Identity (autoethnography)

The influence of my identity and how it shaped my methods in practicing compliance work was evident in my work during the COVID-19 pandemic. I was tasked with creating the compliance procedures for the COVID-19 pandemic prevention and enforcement policies and procedures for my institution. I was repeatedly reminded over about the importance of Town-and-Gown relationships. Leading the pandemic response at a PWI located in a suburban community I observed a significant percentage of this community initially rejected our institutional measures for preventing the spread of the COVID-19 virus. The community's response provided a new perspective and bolstered my conviction of the importance of cultural humility in any discourse approach. In my role, I was faced with handling policy and navigating the cultural divisiveness of implementing our institutional requirements related to mask-wearing, social distancing, vaccination, and reviewing requests for exemptions.

In these efforts, I was reminded of Viktor E. Frankl's words when he described witnessing, as Lessing once said, "An abnormal reaction to an abnormal situation is normal behavior" as he experienced life in a concentration camp (Frankl, 1985, 2:13:19). Studying Frankl's discussion of how men make meaning of life's challenges when faced with new/foreign occurrences empowered me to understand why people's reaction was visceral and at-times abrasive. Further, Frankl's work also prepared me for the compartmentalization and dismissal of

microaggressions, the disrespectful conversations, and the aggressive behavior that often accompanied their emotionally charged reactions.

The intersection between having to create, implement, and lead a process within the newness of the pandemic's physical, emotional, and procedural responses, however, gave me the opportunity to establish and enhance my professional footprint. Although I was provided new opportunities to lead, the continual dissonance between performance and recognition reminded me frequently of the examples I'd read about in scholarly work examining the experiences of women of color in the workplace. As I continued my efforts to lead through the pandemic, I often experienced "the ghost of systemic challenges" when, as a woman of color, I faced reactions claiming my assertiveness was aggressiveness, my efforts to collaborate paved the way for colleagues to take credit for my work, and I found myself managing up and managing down, resulting in common feelings of being both undervalued and overworked. These experiences provided me with the learned lessons necessary for balancing my short-term and long-term goals, but also to help me prepare for success while making contingency plans if old systemic barriers surfaced. Forging strong relational connections proved to be my antidote against past experiences and provided me with opportunities to listen and learn from repetitive messages that were rejecting new policies and procedures—but most of all, were seeking a space to be heard. Practicing cultural humility, making meaning, and seeking understanding proved to be the most effective tools I found to overcome the challenges and lead compliance work through the pandemic.

TENET #3, TACTIC B: BE OPEN TO LEARNING

At the beginning of the pandemic, educational institutions became immediately aware of their shortcomings and the opportunities needed to transform and improve. These challenges,

including easy access to the internet for students and staff, were discussed within the context of each institution's location. Rural, urban, and flagship institutions shared a common challenge during the pandemic: providing effective instruction in a virtual environment. An additional challenge that was highlighted throughout the pandemic was the national tenor related to the country's racial divide and the display of feelings, expectations, and reservations the communities surrounding each institution. Directly related to these challenges is the second tactic related to the tenets of cultural humility: being open to continual learning. In the context of compliance work, the second tactic requires that the compliance officer must focus on keeping open to learning while suspending potential professional and personal biases. The anchoring principles in cultural humility require that one acknowledges his or her expertise in an area / discipline but does not equate this to expertise in community experiences. Murray-Garcia and Tervalon (1998) emphasize the potential impact of the confluence of competence with a belief in cultural expertise. In their primary example of the nurse misunderstanding her patient's pain, the nurse's experiences relate to those in academia who fail to recognize they are not the "experts in the room" in terms of other's culture or experiences (Chavez, 2012, 4:40-5:15). The authors provide insight on the impact the "competence mindset" had on patients and communities that resulted in people feeling they are not heard or understood. These patients and their families, as a result, often avoided seeking medical care. Tervalon emphasized that the difference between *cultural competence* and *cultural humility* is that competence fails to recognize the several "layers" to patient care because it is centered on the providers' mindset that they are "all-knowing." *Cultural humility*, in contrast, suspends the expertise mindset, opening the door to humility and an awareness that partnership with patients and communities is more fruitful, resulting in mutual help and discovery (Chavez, 2012, 4:51-6:04). It is important to note that

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cultural competence and cultural humility are not mutually exclusive, and that a person can subscribe to cultural competence and cultural humility as their part of a life-long educational journey (Greene-Morton & Minkler, 2019).

In compliance work between March of 2020 and May of 2022, the importance of cultural humility and the ongoing learning process was made apparent as thousands of conversations from community members and students opposing the health and safety measures and the vaccine mandate evolved. The initial reservations we experienced were parallel to the story conveyed in Chavez's (2012) video and described by Tervalon and Murray-Garcia (1998), when a practitioner focuses on their expertise (even if well-intentioned) the community members feel unheard and misunderstood. The result creates a chilling effect on the community's willingness to engage with the practitioner. In healthcare, this situation often results in patients not receiving medical care. In compliance, when families felt unheard, it led to unwilling compliance, limited compliance, and/or total disengagement from the process. When the cultural humility principles were applied, the results were mutual understanding (although not always agreement) of the policies and rationale for the safety measures. This mutual understanding thereby increased compliance with policies. The outcome of these listening and learning occasions also provided compliance officers additional opportunities to enhance their skills and forge new relationships within the community and other external partners.

Connections to Personal Identity (autoethnography)

The desire and inclination to learn has been my key to navigating unknown situations, becoming acclimated to new institutions, and forging relationships. As a first-generation student and professional, I often had to figure out how to navigate life-altering decisions, including how to select a college, how to navigate collegiate life as an out-of-state student, how to select an

academic program that aligned with my academic aptitudes, how and when to seek connections with mentors, and how to advocate for my professional worth. These developmental experiences have enabled me now, as a professional, to connect on a deeper level with community college students.

Serving in an urban community college provided me with the opportunity to learn about the uniqueness of the community college student population. I discovered the real community college culture and dismantled some of the biases I had gained through comments from high school counselors who would steer students—especially those who were academically strong—away from community colleges. Learning the strengths of the community college environment and the importance of community colleges for many students' educational and financial progression were some of the most transformative learning that enhanced my practice in higher education. My professional move from a position in enrollment management in a four-year institution was combined with my new position as Title IX Coordinator and Student Conduct and Compliance Officer. To move to this new role and be an effective advocate, I needed to be open to learning from colleagues, students, and peers from other institutions.

According to the Fast Facts 2022 report by American Association of Community Colleges (AACC) there are 1,043 community colleges and 31 community colleges in Michigan (AACC, n.d., and MCCA, n.d.). When I studied my academic and identity similarities, I learned that, of the 365,232 students enrolled in Michigan Community Colleges, 4.1% reported being Hispanic, 56.6% identified as women, 36% first-generation, 12% with disabilities, and 58% receiving financial aid (MCCA, n.d.). Discovering these connections with my own background and characteristics informed me about ways to promote the community college mission and

inform those outside of the community about the nuances of each role within the community college landscape.

This awareness also allowed me to advocate for community colleges in national organizations such as the Association of Student Conduct Administration, where I volunteered to co-lead the Michigan chapter as a means to expand my knowledge and share learned experiences. The two-year term provided me with the opportunity to meet colleagues from other states and learn best practices applied in other communities. Advocating for and educating peers from four-year institutions and from Michigan governmental and community organizations about the challenges and opportunities in our community colleges also opened opportunities for me to pursue external grant funding. Identifying needs and developing prevention and outreach initiatives proved to be ongoing efforts because of the transitory nature of community college students.

Advocating for our students through this unique lens of compliance within a community college resulted in my being a recipient of the State of Michigan's Campus Sexual Assault Grant Program for the 2016-17 academic year, supporting the purchase of a phone application to connect community college students facing domestic and/or dating violence to resources anywhere in Michigan. The grant details were informed by the experiences shared by community college students and the challenges that I, as the compliance officer, saw within the community college landscape. I needed to learn first that, whatever I knew about higher education and enrollment management and whatever I had experienced on my own, did not equate to knowing the best way to serve the community college constituents. Although I wasn't aware of it at the time, I was exercising cultural humility principles in my search for knowledge as I shared aspects of my experience with people who had the ability to affect change.

The third principle of Tenet #3 provides tools and expands our understanding of social justice principles by recognizing that every community is impacted by societal occurrences. The conceptualization of cultural humility took place in the midst of the Los Angeles riots stemming from the acquittal of police officers who beat Rodney King in 1992. During this time, Tervalon served as the Director of Multicultural Affairs at the Children's Hospital-Oakland and was responsible for implementing an assessment of institutional racism, injustice, and inequity there (Chavez, V., 2012, 6:39-6:41). Tervalon and Murray-Garcia developed their Multicultural Leadership Program as a response to King's beating. They likened the experiences of the patients in the Children's Hospital to King's situation of "feeling that they were not taken care of in a respectful way." They recognized that the differences between the patients' backgrounds and the backgrounds of the hospital's staff, cultural development was necessary to ensure that the staff could learn from the communities they served (Chavez, 2012, 8:02-9:00).

Similarly, the work of a compliance officer is embedded in supporting students through societal events that may impact them. Recent events, such as the Muslim Ban imposed by former President Trump, the anti-Mexican/anti-brown immigrant rhetoric by former President Trump, the deaths of Aumad Aubry and George Floyd, the numerous deaths of brown and black community members in civil violence events, the divisive rhetoric surrounding the "Me-too" and Black Lives Matter movements, the anti-LGBTQ+ sentiments, the many active shooter massacres, the inequities in healthcare treatments, the inequities in food and housing availability, the inequities experienced by those in socio-economically devastated areas, and the disproportionate impact of the COVID-19 pandemic are all events and situations that pose unique opportunities and challenges for compliance officers.

My experiences as a Mexican American female serving as a compliance officer illustrate the dichotomies of trying to lead by example, serve as a support system for students who feel unseen, educate community members who reject social equality, and suspend the personal impact these topics may have on myself, as a member of the community or group being negatively impacted. Being socially aware in a culturally humble way requires that I, too, continue to seek education and work with community members to gain the tools necessary to best support the students through challenging situations that transcend and extend well beyond the classroom environment.

Connections to Personal Identity (autoethnography)

Establishing and maintaining health community partnerships between institutions of higher education and community-based agencies are an important tactic and mutually beneficial. The role of Title IX Coordinator provided me with an avenue to lead, affect change, and unbeknownst to me in the early stages, promote healing. My role, serving an urban community college at a time when regulatory changes were at the forefront, gave me an opportunity to learn about and from community agencies that served students impacted by domestic violence, dating violence, and sexual assault. Oversight of Title IX regulations and outreach when the White House task force report, "Not Alone: The First Report of the White House Task Force to Protect Students from Sexual Assault" (2014) was released, paved my way to develop partnerships with the organizations that served survivors within my community.

In these efforts, I reached out to agencies who serve victims of domestic violence and sexual assault, highlighting the intersection between agencies who support women experiencing all forms of violence and education's compliance officers who support impacted students. The outcome of these conversations was a solid foundation of collaboration with all of the agencies.

Furthermore, I learned about their support systems and was more effective in directing students impacted by violence to the organizations. Conversely, I was able to provide training and explain the Title IX process and regulations to community agency members. These connections resulted in encouraging a holistic approach to compliance and informed the community about the nuanced regulatory requirements in the educational setting and the potential impact on survivors.

Some of the agencies I was able to connect with included the Michigan Coalition to End Domestic and Sexual Violence (MCDESV), the Arab Community Center for Economic and Social Services (ACCESS), First Step, and Haven. With these new collaborative exchanges, I learned about additional actions that are trauma-informed and was able to take into consideration my own trauma, healing, and potential blind spots. Not only did these new connections facilitate my education, they were also transformational for me as a person, leader, and compliance officer. As I talked with these individuals and highlighted the nuances of serving a community college population, I discovered new ways to serve the students hand-in-hand with community experts. I gained increased social awareness and strengthened my ability to support students impacted by domestic violence and sexual violence.

The intersection of survivor and advocate experiences provides opportunities to heal and support, as well as to research, learn, and teach. The experiences also help us understand trauma-informed practices and learn the physiological and psychological impacts of traumatic events and how they shape and change a person. The skills and understanding of these complex experiences provide the tools to support students and the community from a lens enriched and transformed by cultural humility.

TENET #3, TACTIC D: SHARE TALENT & TREASURE

The fourth principle of the third tenet is the reward of learning about the communities we serve, because it provides the opportunity to create synergy with and serve our community more effectively. In an article providing an overview of nursing curricula, Mary Isaacson (2014) discussed the differences between cultural competence and cultural humility training in the nursing profession. Her study focused on students reaching their senior year of nursing school and provides insight on the students' perceptions of cultural competency. She explores various ways "competence" is defined and includes AACN's definition of competence as "attitudes, knowledge, and skills necessary for provided care for multicultural populations" (AACN, 2008, p. 1, as cited in Isaacson, 2014). Isaacson also cites Racher and Annis' definition of competence as "indicative of mastery or successful completion of a skill set" (Racher & Annis, 2007, as cited in Isaacson, 2014). Both definitions of competence seem to imply that a level of understanding of a culture makes one an "expert" of a culture.

In discussing systemic change, the Berkeley Media Studies Group Director, Lori Dorfan, reflected upon the unmet need and shortcomings she had prior to her learning about and practicing cultural humility (Chavez, 2012, 12:48-13:46). Dorfan discussed the insights she gained through a partnership with a community activist that challenged the composition of her department and educated her on the importance of engaging the community she served (Chavez, 2012).

In telling Dorfan's story, Vasquez's video also speaks to engagement with oppressed communities as being part of the research process. This engagement is an essential part of CBPR as a means to flip the power and privilege differential; specifically, the importance of "collaborative investigation that equitably involves those affected by an issue and is meant to educate and create social change." Vasquez described this investigation as the preface for the

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partnership between the Chinese Progressive Association, local universities, and the San Francisco Health Department as the collaboration aimed to research health and working conditions of the Chinatown community (Chavez, 2012, 16:22-16:27). One illustration she included spoke to the impact of switching meeting logistics, for example, conducting meetings in Chinese while providing translation for the English-only speakers, instead of the traditional approach with English speakers being at the center of the meetings. This one change resulted in fully engaging the communities that were seeking support and also facilitating learning for the agencies seeking to support the Chinese-American community (Chavez, 2012).

Connections to Tenet #3: Developing Mutually Beneficial Partnerships with the Communities We Serve through Autoethnography

In my experience, the premise behind sharing talent and treasure is paradoxically connected to the saying "no one is a prophet in their own land." The deep connection I have to the various aspects of my identity provides me with different perspectives and avenues to share life experiences that can serve as lessons learned or roadmaps to people in my community. My experiences with acculturation and the side effects of feeling too-Americanized for the Latinx community and not-American enough for the American community were life experiences that prepared me to empathize with communities who feel "othered" in any space. Using these experiences, I have been able to share my understanding of systemic gaps in the college application and selection process with the Latinx community.

In another example, I had an opportunity to support the Mexican-American community while assisting a prospective family interested in enrolling at my institution. The family educated me about the work of the Mexican Consulate (located in Detroit, Michigan) in supporting and disseminating information through several communication channels. The Mexican Consulate serves Mexican and Mexican-American residents and collaborates with local organizations,

leaders, and government agencies to inform and support their constituents about topics ranging from healthcare, legal support, and educational opportunities (Consulado de México en Detroit, n.d.). The family I met with mentioned that one of the Consulate's most commonly requested communication channels was a Facebook-Live session offered during the lunch hour focusing on topics including wellness, educational opportunities, financial literacy, and other societal topics. Following this conversation, I followed up with the Consulate and was invited to share information in Spanish about the college process for the Mexican and Mexican-American community. Since then, I was able to offer a series of Facebook-Live sessions on educational topics and how to navigate the educational process in the midst of the COVID-19 pandemic. Once the needs of the Mexican community were identified, I was given the opportunity to merge my work in and knowledge of the college process, to help this community. These presentation topics were presented in the spring of 2021 and the fall of 2022 and are included in the table below.

Table 2. Collaboration with Mexican Consulate, Facebook Live Educational Series

TOPIC	DATE	PRESENTATION	VIDEO
¿Estás preparado para ir a la universidad? ¿Pasos de preparación para ir a la universidad? Are you ready for college? [Steps to prepare yourself for college]	May 6, 2021	Emaze.me/misp asos1	https://fb.watch/5jYIv 7gPde/
¿Estás preparado para ir a la universidad? Impacto de exámenes de aptitud, ensayos, y FAFSA Are you ready for college? Learn about aptitude tests, essays, and FAFSA	May 20, 2021	Emaze.me/misp asos2	https://fb.watch/5ZX RzHMqP0/
¿Estás preparado para ir a la universidad? ¿ Cómo financiar el costo de la universidad ? Are you ready for college? How to pay for college costs	June 3, 2021	Emaze.me/misp asos3	https://fb.watch/5ZX Os59bt1/

TOPIC	DATE	PRESENTATION	VIDEO
Información General de admisión a la universidad/cambios y ajustes por COVID-19 General information regarding admissions process and changes/modification to college process due to COVID-19	Aug 23, 2022	emaze.me/sbe2022	https://fb.watch/fAn6 D4lRYC/
Como aplicar para FAFSA, fechas y documentación básica How to apply for FAFSA funding, important dates and documentation needed	Aug 25, 2022	emaze.me/sbe2022michigan	https://fb.watch/fAnh J1hLll/
Rumbo a la universidad información general sobre opciones educativas en Michigan On the road to college, general information about educational opportunities in Michigan	Sept 22, 2022	emaze.me/metas1	https://fb.watch/gity1 UL05J/
FAFSA/DACA y opciones para asistir a la universidad Learn about college options and what are FAFSA and DACA	Oct 6, 2022	emaze.me/meta2	https://www.facebook.com/watch/?v=50855 6110700641
La Universidad es para todos, conoce las oportunidades para personas con discapacidad Everyone can go to college, learn about support for students with disabilities	Oct 18, 2022	emaze.me/metas3	https://www.facebook.com/watch/?v=47226 6431601734

The outcome of these series provided me with the opportunity to share talent and treasure in a culturally humble manner. Through the Facebook-Live sessions, I learned the specific needs of a community, as informed by the participants, and I was able to modify my approach and the topics as needed. The Mexican government recognized (in a Twitter post) the collaboration known as "VOE" as a best business practice (Muñoz Olmos, 2022). While the Mexican Government recognized this practice as a best business practice for consulates, ongoing discussions about how to promote and inform institutional leaders about similar opportunities

presented continue. This series, and hopefully future opportunities like this one, illustrate an effective way of addressing a systemic institutional gap in educational recruitment that has been recognized by the community and the Mexican government as an effective way to reach the Mexican community.

CHAPTER CONCLUSION

Applying the principles and tactics of Cultural Humility can give compliance officers a humane and personal method for conveying and implementing the often rigid and inflexible needs of compliance work. This approach paves the way for continuous review of the power imbalances as compliance officers support their communities. Understanding the nuanced and individualized academic, personal, financial, and long-term lived experiences of students, as communicated by the student—instead of being built on assumptions the students' needs— provides an opportunity for mutual growth and respect.

This approach reflects the evolving role of Title IX and compliance work in higher education. In 2021, the role of a compliance officer and its varied forms was re-evaluated in the ASCA's Knowledge and Skills publication. The report provided an updated look into the varied tasks associated with the role of compliance officers and places them in the realm of administrative, assessment, case resolution management, education, equity and inclusion, internal and external partnerships, investigations, and law and policy (ASCA Knowledge and Skills, 2021, p.10). In each of these tasks, understanding and challenging the power imbalances by the people involved provides the opportunity to be transformative and supportive of all stakeholders.

CHAPTER FIVE: SUMMARY, IMPLICATIONS, AND CONCLUSIONS

INTRODUCTION

The practitioner's guide presented in the previous chapter aims to place a spotlight on the potential connection between a person's epistemology, ontology, their view of self, and how this connection shapes their practice. A search into the self requires commitment to withstand the arduous cognitive and emotional impact that comes with experiencing what Paulo Freire defines as *conscientização*. Freire translated *conscientização* as "critical consciousness" and defined it as a person's discovery and learning of their social, political, and economic contradictions and [how to] take action against the oppressive elements of reality (Freire, 2018, p. 35). My experience of conscientização and my mestiza consciousness, as described by Gloria Anzaldua (2012), shaped my approach and my belief that the ontology, epistemology, and lived experiences create the lens by which individuals relate to those around them and the approach they use in their daily academic and professional roles. My research process provided me with the opportunity to discover and reflect upon the works of Frida Kahlo, Viktor E. Frankl, Gloria Anzaldua, and various historical and academic figures whose life experiences were intrinsically connected to their contributions to the academy.

Trochim et al. (2016) described evolutionary epistemology as a research method to achieve evidence-based practice. Prior to discovering Freire's *conscientização* and Anzaldua's *mestiza* consciousness, I felt a cultural, personal, and philosophical connection to the works of Frida Khalo, her poems, her art, and the resilience that she demonstrated as she lived through various hardships. However, it was Viktor E. Frankl's seminal work, *Man's Search for Meaning,*

that provided me with the foundation for how I process life, how I process interactions with or between those around me, and how I discern how others process events impacting them and their environment. My appreciation of Frankl's core premise that "Man's search for meaning is the primary motivation in his life" and "finding purpose and meaning to life" are essential (Frankl, 1985, pp 99-100), and the application of this core premise to my life's experiences helps me understand and connect on a deeper level to people in all aspects of my life.

These connections and experiences cemented my need to study how experiences—not only mine but anyone's—influence our academic/professional practices; thus, this study's central questions were formed:

How does the lens of a compliance officer's lived experience shape their effectiveness as they do their work?

- Lived experiences / autoethnography: How can autoethnography be used as a tool for compliance officers exploring the praxis of their role and their lived experiences?

- Cultural humility: How can the principles of cultural humility help a compliance officer better serve the needs of their communities.

SUMMARY OF THE MODEL'S GOALS AND COMPONENTS

Although the literature on the role of compliance officers highlights the shift from "in place of parents" to a multi-dimensional role that includes information dissemination, regulatory implementation, code of conduct adjudication, and support for all stakeholders with guidance relative to conflict resolution and student engagement, it does not provide a guide about the approach to meet such requirements (Hagen, 2017). As such, the onus of communicating in a manner that resonates with the communities we serve while upholding regulatory requirements falls solely at the discretion and knowledge-base of compliance officers. In addition to the many ways that a compliance officer's role is defined and carried out within an institution of higher

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education, there are also many paths to the job position, many different levels of experience brought to the role, varieties in the structure and composition of the institution itself, nuances to the institution's support of the role and its responsibilities, as well as the institution's budgetary constraints, all of which shape the compliance officer's practice. In the current Association for Student Conduct Administration (ASCA) guide, the authors addressed the various aspects of the compliance officer role and provided insight into the role and the profession. The ASCA Knowledge and Skills publication recognizes that the requisite skills are not developed through a finite process or steps; thus, the ASCA guide/matrix is based on foundational, intermediate, and advanced levels of knowledge and skills (ASCA, 2021). The guide provides an example of the fluid aspects of the compliance officer role and suggests, then, that the described professional competencies are provided *only* as a guide. Thus, their matrix also takes into account the compliance officer's professional, personal, and aspirational status (ASCA, 2021).

Using my own personal and professional experiences and the ASCA's Knowledge & Skills approach, the model provided in this dissertation is intended to provide an additional tool for compliance officers as they navigate the different competency areas identified by ASCA, regulatory requirements, institutional policies, and procedures. Key to the model is the cultural humility framework developed by Tervalon and Murray-Garcia (1998), providing three foundational pillars that flip the experience paradigm between provider and the communities we serve. As such, the various aspects of the cultural humility principles are pillars for engaging in lifelong learning and critical self-reflection, recognizing and challenging power imbalances, and developing mutually beneficial partnerships with communities we serve. The pillars provide tools that can assist compliance officers as they meet engagement and educational compliance

requirements while exploring areas of connection with colleagues and the community-at-large (Tervalon & Murray-Garcia, 1998).

A PRACTITIONER'S GUIDE TO CULTURAL HUMILITY

Jane Pitard (2017) asserts that a researcher's positionality in qualitative research serves as an avenue to build trust with the reader, similarly, a compliance officer's positionality influences their methodology of implementing policy, procedure, their interaction with the communities they serve, and as an avenue to build trust with the communities they serve. This concept influenced the development of a practitioner's guide based on the intersection between the cultural humility principles and the manner by which compliance policies and procedures are enforced while taking into account the lived experience of compliance officers through the autoethnography lens.

Like Chavez's (2012) adaptation of cultural humility in community-based research and her seminal video "Cultural Humility: People, Principles, and Practices," the Practitioner's Model presented in Chapter Four expands on the three tenants developed by Tervalon and Murray-Garcia (1998): apply lifelong learning and critical self-reflection, recognize and challenge power imbalances, and develop mutually beneficial partnerships with communities we serve. The Practitioner's Guide provides an approach for applying cultural humility principles in the realm of compliance work by providing tactics for applying each tenant while building on the officer's lived experiences.

The first tenet provides tactics of how to employ life-long learning and critical self-reflection in compliance based on cultural humility principles defined by Tervalon and Murray-Garcia (2018). The tactics for applying this first tenet include understanding the characteristics of

the student before each encounter, reflecting after each encounter, acknowledging effective modes of communication, and finally identifying patterns within and across similar situations.

The second tenet illustrates recognizing and challenging power imbalances in compliance based on cultural humility principles defined by Tervalon and Murray-Garcia (1998). The tactics useful for this tenet include practicing compliance with care by contextualizing each situation within the student's overall institutional experience and knowledge, employing empathy by allowing the student to share their views and experiences, exercising institutional courage, and identifying departmental and institutional patterns. Once a pattern is recognized, a practitioner can better support students by building a comprehensive network among peers and other divisions and, eventually, potentially affect institutional change.

The third tenet focuses on developing mutually beneficial partnerships with our communities based on the cultural humility principles defined by Tervalon and Murray-Garcia (1998). The tactics useful for this tenet include understanding local town-and-gown relationships, being open to learning, having social awareness by recognizing the impact of unconscious biases on relationships, and, finally, identifying corporate and non-profit partners within the community to create synergy and support for the community and institutions.

IMPLICATIONS OF ADOPTING THIS MODEL

As a Mexican-American woman who experienced challenges in my own academic journey, I am able to use these experiences to identify points of similarity with the experiences of the students I work with, helping me find common ground and build rapport. Brené Brown's (2013) work on empathy suggests a visual explanation of the difference between empathy and sympathy that focuses on understanding and relating to the person experiencing hardship. More often than not, breaches in educational and academic compliance are linked to a lack of

understanding the policies, not knowing the existence of policies and procedures, and not knowing how to navigate the collegiate system. Systemic barriers and a lack of awareness of how to navigate the university system is often a starting place for empathy and connection with stakeholders.

Applications of the cultural humility framework in the fields of healthcare and community-based research demonstrated the importance of balancing content expertise with advocacy for our communities. Similarly, applying the cultural humility framework and applying the principles in this Practitioner's Guide, provides academic institutions with an approach to upholding institutional policy and meeting regulations while forging mutually beneficial relationships. Institutional areas and offices that could benefit from applying the principles provided in this Practitioner's Guide include those that balance compliance, regulatory mandates, institutional policies, and support services. These institutions include Human Resources offices, Financial Aid offices, Strategic Enrollment Teams, Centers for Excellence and Learning, areas responsible for pedagogical training, community support agencies, Title IX coordinators, as well as residence life teams, university counseling centers, risk management certification programs, and leaders responsible for diversity, equity, and inclusion initiatives.

The tenets and tactics provided in the Practitioner's Guide are intended to facilitate empowerment among leaders so that they have the power and authority to exercise institutional courage while continuously learning from, and within, the communities we serve.

ADDRESSING THE LIMITATIONS AND ASSUMPTIONS OF THE MODEL

Betsy Levy Paluck (2022) suggests that the lack of effective training assessment in the area of diversity, equity, and inclusion often results in a lack of progress, a lack of identifying what works and what does not work in diversity training, and, thus, affects positive change.

Paluck also discusses situations—basically amounting to a lack of institutional courage—as halting research in assessing diversity training under the guise of a legal risk. Paluck's example parallels the problems that can occur when models like the Practitioner's Guide are either misguided or misapplied. The Practitioner's Guide is meant to supplement and support an institution's responsibility for training its compliance officers through up-to-date regulatory training, engagement and collaboration with local agencies, involvement with cross-divisional committees, and contributions to institutional initiatives.

As Paluck (2022) suggests, true and continuous assessment is essential to affecting change in the area of diversity, equity, and inclusion. applying the tenets and tactics presented in the Practitioner's Guide can enhance lifelong learning combined with critical self-reflection, challenging power imbalances, and developing mutually beneficial relationships, and, thus, has the essential evaluation component embedded within the approach.

IMPLICATIONS FOR FUTURE RESEARCH

As this Model applied the principles of cultural humility to educational compliance work, future research and exploration would be valuable for other areas of the institution, such as community engagement, university counseling centers, disabilities support services, tutoring centers, academic advising, and pre-college programs. Each of these areas face similar situations with students coming to the institution with lived experiences (or a lack of comparable experience) that make their interactions difficult, confusing, or riddled with barriers. Valuable new practices and approaches could be developed by examining ways to adapt and apply these tenets and tactics to this important work.

In addition, areas outside of higher education where the model could be applied include training relative to K-12 support, social services agencies, corporate human resources

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departments, institutional advancement offices, veteran support services, disability support services, and areas with a focus on advancing diversity, equity, and inclusion.

Equally important, further research must also focus on the lived experiences of practitioners and the value they bring to the application of their work. A crucial area of utmost importance is student and employee retention across higher education institutions. For example, Carla Gonzalez et al. (2019) provides an example of Latinx students enrolled at a Predominately White Institution in the Midwest and discusses the disconnect between retention programs and the student insights relative to their sense of belonging. A study by Yusen Zhaia and Xue Du (2020) researched the impact COVID-19 had on student mental health and proposed that institutions of higher education focus on creating awareness and programming that builds resilience. Both of these studies present critical institutional goals that illustrate the importance of better understanding and engaging with our communities and illustrate potential areas that could employ the frameworks of cultural humility and autoethnography to advance and enhance the training of practitioners.

RESEARCHER'S REFLECTIONS

Because this work grew organically from my personal experiences and training, it seems appropriate to reflect in closing on the impact of my initial encounters with an awareness of the principles of cultural humility and potential next steps for this work. My experiences through my twenty-one-year career in higher education created—and continue to pose—cognitive dissonance as I, and my community, continue to face systemic barriers while tasked with dismantling such barriers to support the communities I serve.

Application of the cultural humility tenants and enhancing my practice by honing application of skills that ultimately became each tactic within the Practitioner's Guide to Cultural

Humility helped resolve situations in a manner that merged policy oversight, collaboration, and resolution to complex occurrences with advocacy. Using each tactic akin to following "toolkit" provides the ability to establish a model of leadership and practice beneficial to both- the compliance officer and the communities we serve.

The most recent example was overseeing the COVID-19 compliance response requiring engagement between community members who do not share the same identities, economic status, lived experiences, or societal/systemic challenges that impacted student's ability and willingness to comply with health and safety policies. Throughout the course of my tenure, I participated in two leadership academies that presented me with opportunities to learn about my leadership style, to communicate with colleagues, set goals, and most importantly, to develop holistic approaches to supporting students and colleagues. One of these experiences was the New Leadership Academy program that I joined in the summer of 2019; the program focused on advancing diversity, equity, inclusion, and justice in higher education. At the time of my participation in the Academy, I was serving as Title IX Coordinator, Student Compliance and Conduct officer for an urban midwestern community college. One aspect of the Academy curriculum focused on the principles of cultural humility and the importance of applying the tenets as leaders. Participating in the Academy gave me the opportunity to connect with leaders from various backgrounds from across the United States, but most importantly, provided me with a framework that became the foundation of my approach to leadership and servitude, cultural humility.

As I developed as a leader and professional, several areas of research influenced my development as a leader. These include Kimberly Crenshaw's work on intersectionality, Ibram X. Kendi's discussion of anti-racism, Gloria Anzaldua's Borderlands theory, Bruce D. Perry's

work on the neurobiology of early trauma, Brene Brown's research on empathy and shame, Paulo Freire's pedagogy of the oppressed, and *testimonios* (autoethnographies) by Lisa Cardoza, Sandra M. Gonzalez, and other Latina/Chicano scholars. Each of these thinkers added to my knowledge and have facilitated my ability to understand how a practitioner's lived experiences enhance the academic and professional aptitudes they possess. This work is significant because it allows me to share how the experiences of a first-generation immigrant, Mexican American woman, English learner, first-generation college student, a person living with a disability, and trauma survivor can help retain and support students, employees, women of color, and why being able to learn from others' lived experiences is critical to our development, particularly for those in my role as a compliance officer.

CONCLUSION

While the understanding of the importance of cultural humility has been incorporated throughout various nursing and medical school's curricula, the confluence with cultural competence still exists (Isaacson, 2014). The Chávez (2012) video explored the power and privilege aspect of cultural humility and the work that still needs to be done. Although the article centers around the beating of Rodney King in 1991, the film sheds a light on analogous issues taking place in 2012, such as high rates of incarceration of African American men, discriminatory immigration laws in Arizona, and other systemic barriers that impact underrepresented groups (Chavez, 2012, 11:50-13:04). Since the video was released, even more national crises can be added to that list. In order to acknowledge both the progress and work that needs to be done, it is important that we continually examine the importance of true cultural humility in all areas of social engagement. Applying the principles of cultural humility in the compliance officer role provides just one example of the ways we can be agents of change and

success. Not practicing these principles may lead us to continually and unknowingly reinforce systemic barriers that impact a person's life simply by virtue of the decision maker's lack of awareness and single-minded application of policies and procedures.

The global pandemic placed a spotlight on the need for each of us to acknowledge a person's humanity in our daily employer/employee relationships. Many institutions relied on the skills of employees—like their compliance officers—who understood the importance of meeting people "where they are" mentally, physically, and cognitively—to continue to effectively educate students in the midst of a global pandemic. Adapting and implementing the principles of cultural humility can create every-day opportunities for exercising inclusivity and equity in a personal, institutional, and communal manner that transcends an individual's institutional authority and scope.

In Vivian Chavez's Cultural Humility video and peripherals, Tervalon reflects on the timeframe between when the 1998 article was published to the making of the video in 2012. Tervalon discusses that, while many medical and educational institutions had adopted the concept of cultural humility, it is critical for them to recognize that the three concepts of cultural humility are action-based; therefore, they continually need to be self-reflective, life-long learners, and continue to believe and recognize that the communities they serve "know and can inform them on their needs and what they need" (Chavez, 2012, 11:20-11:49).

Although the traditional roles of Dean of Men and Dean of Women focused on serving *in loco parentis,* the current responsibilities include understanding and enforcing changing regulations, holding students accountable for violations of academic and behavioral policies, identifying institutional patterns that preclude students' success, educating the campus community on how to aid students experiencing home and/or food insecurity, assessing and

mitigating risks to the campus community (Kibler, 2020). All these responsibilities require that a compliance officer is connected across campus, and that the campus community views the compliance officer as a leader who is directly connected to the institution's mission. The evolution of the role of the campus compliance officer is not unique to most areas within higher education as it has changed with the times and the needs of academic life. The variance of crucial factors such as the name within institutions (Kiebler, 2020) highlights the complexity of the duties demanded by the role, but also the need to soften the title so that it emphasizes the advocacy highlighted in the Practitioner's Guide to Cultural Humility model.

Frida Kahlo shared the value of her lived experiences through her works of art and poetry. Similarly, I find the quote, "I paint self-portraits because I am so often alone because I am the person I know best" ("Frida Kahlo Quotes," n.d., para 9) as an illustration of how autobiographical work presents the opportunity to acknowledge the value each person contributes to their roles and why it   is critical that such experiences are understood, validated and taken into account by leaders in all areas of a campus community. The product developed through this dissertation provides student conduct, compliance, and higher education leaders the opportunity to identify new approaches to oversee student conduct and compliance, but most importantly, how to mutually see and be seen, listen and be heard, share talent, and learn/take-in talents of those around us.

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APPENDIX A: CULTURAL HUMILITY MODEL

This image illustrates how the Practitioner's Guide to Cultural Humility model extrapolates the cultural humility tenants developed by Tervalon and Murray-Garcia (1998) and links each tenant to practical applications within compliance.