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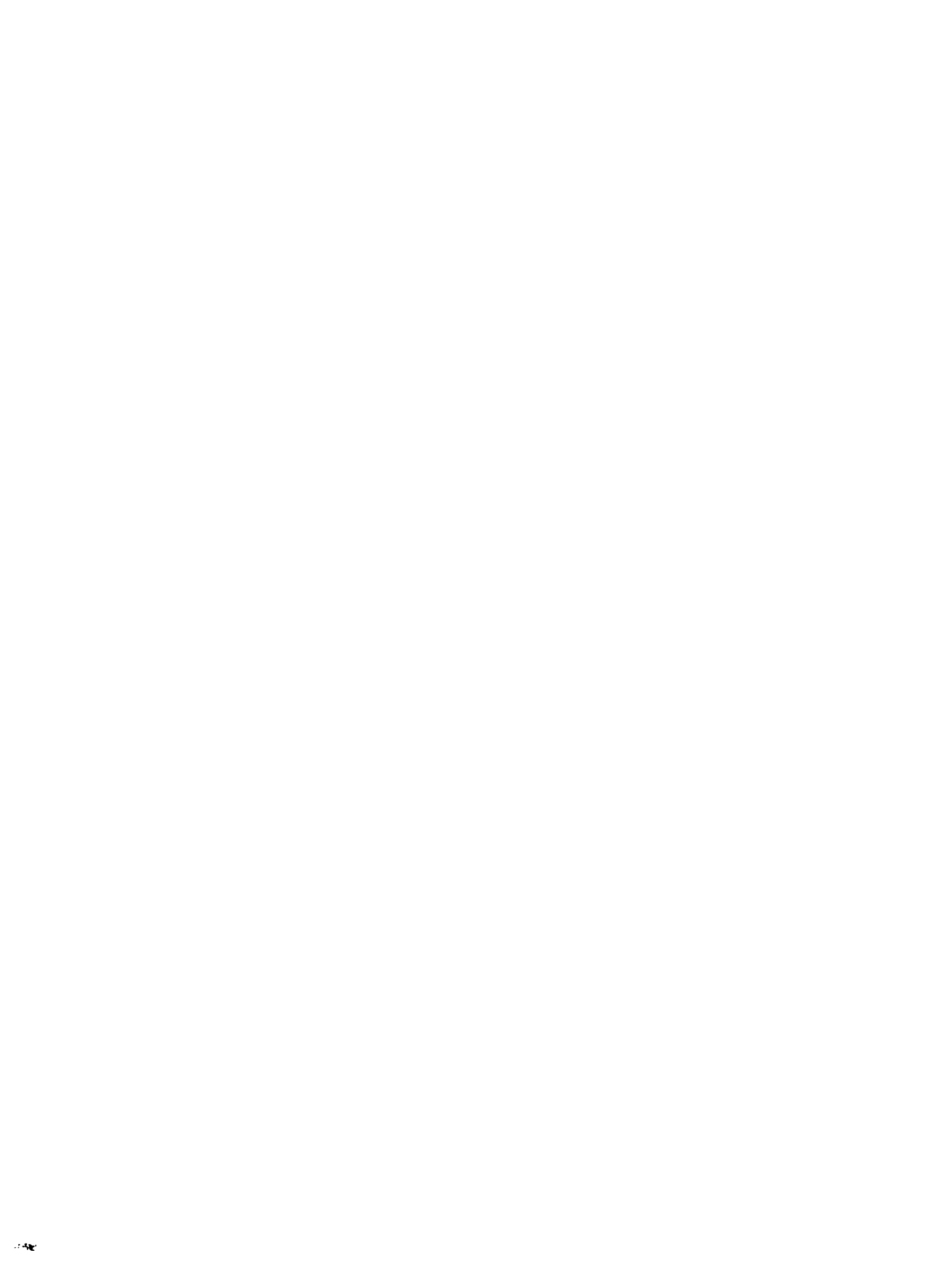
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**A CASE STUDY OF AN INTERGOVERNMENTAL AGREEMENT BETWEEN  
ARIZONA STATE UNIVERSITY AND THE NAVAJO NATION**

by

**Therese M. Fellner**

**A Dissertation Presented in Partial Fulfillment  
of the Requirements for the Degree  
Doctor of Philosophy**

**ARIZONA STATE UNIVERSITY**

**August 2000**

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by

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## ABSTRACT

Research literature, interview transcripts, and historical documents were reviewed. Specifically, the status of American Indian and Alaskan Native student persistence and educational policy development between the Navajo Nation and Arizona State University was studied. University and tribal policy makers, in addition to other key personnel, were interviewed regarding the development of the intergovernmental agreement that resulted in the Native American Achievement Program (NAAP). Interview protocols focused on policy development, key actors, and reflection of policy intent in program implementation. Methods used in data analysis involved the application of the polis model – a conceptual framework that focuses on the community as the unit of analysis. The decision making process was examined according to goals, problems, and solutions of the intergovernmental agreement. Results indicate that the use of existing university structures facilitated policy development and program implementation. Established relationships between Arizona State University and the Navajo Nation, in addition to relationships between university departments, were also significant in the policy making process. Additionally, legal leverage as a sovereign nation and flexibility on behalf of the University and the Tribe were identified as contributing factors. Tribal scholarship disbursement as a hidden obstacle to American Indian/Alaskan Native persistence and the need for a more culturally sensitive approach to addressing student achievement were discussed. The significance of the study relates to descriptions of the policy development process, and to the identification of strategies for other tribes and universities interested in developing partnerships.

This work is dedicated to the many people who have taught me the valuable lessons I have learned throughout my life. My mom, Mary Ann, who not only gave me roots but also gave me wings. She raised me to be proud and confident and most importantly to have compassion. My dad, Phil, whose early death created a void but also made me a much stronger and spiritual woman. My brother, Andrew, who has always been my protector and my best friend. My partner, Paul, who gives me balance and with whom I look forward to spending a lifetime. And my numerous friends and colleagues, who continue to make me laugh and enrich my life. I would also be remiss in my contribution to the body of Indian Education literature and research without taking this opportunity to thank the Creator for his guidance and strength and Mother Earth for her continuous days of beauty.

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## CHAPTER I

### Introduction to the Study

#### Background of the Issue

Throughout the country, intergovernmental agreements between American Indian/Alaskan Native tribes and state entities are in the process of improving tribal and state relations. Education has been one of the many areas of focus for such intergovernmental agreements, with persistence rates of American Indian/Alaskan Native students as a central concern.

In 1990, the National Conference of State Legislatures (NCSL) Task Force on State-Tribal Relations was formed. Task Force members sought new approaches to state-tribal relations and wanted to publicize effective working relationships and agreements between American Indian/Alaskan Native tribes and state governments (Reed, 1995). These effective intergovernmental agreements addressed state roles in American Indian/Alaskan Native health, education, and welfare; state-tribal economic development partnerships; states and the Indian gaming Regulatory Act; taxes; natural resource allocation and management; and environmental regulation.

In 1992, the NCSL Task Force on State-Tribal Relations conducted a survey to identify areas for future research and assistance to partnerships and agreements between states and tribes. The goal of the survey was to gather input on key state-tribal concerns and the extent of state-tribal cooperation (Reed, 1985). State leaders cited economic development, gaming, sovereignty, education, and taxation as the most pressing issues. Tribal leaders cited sovereignty and economic development as the two most crucial

issues, closely followed by child welfare, education, gaming, and taxation.

Furthermore, tribal leaders noted that all of these topics are interrelated (Reed, 1985).

In regard to education, state and local governments are the primary educators of American Indian/Alaskan Native students. However, a definitive and workable doctrine on state-tribal relations is not found in any state or tribal constitution, or in the United States Constitution (White-Tail Feather, 1994).

The Navajo Nation and Arizona State University (ASU) have entered into numerous intergovernmental agreements over the past several years. In 1995, the Navajo School Administrator's Program was established to attract more Navajo students seeking a Master of Education degree to the Division of Educational Leadership and Policy Studies in the College of Education. The program was intended to provide support and academic counseling to the Navajo students.

In 1996, the Navajo Law Program was developed to increase the number of Navajo students seeking a Juris Doctor (JD) degree in the College of Law. Also in 1996, ASU implemented the Navajo Summer Institute, a two and one-half day residential summer institute for Navajo students. The Institute provides incoming Navajo tribal scholarship recipients with orientation, training, and academic support. The Diné Teacher Education Program, started in 1996, is a collaborative program between ASU and Diné Community College to prepare Navajo students.

Each of these intergovernmental agreements strengthens the foundation of state-tribal law. As evidenced in the highlights of the 1992 survey conducted by Reed (1985), intergovernmental agreements acknowledge both states and tribes as mutual sovereigns, sharing contiguous geographic areas and common citizens; written

cooperative agreements are supported by state and tribal officials; and the intricate history of tribal agreements with the federal and state governments must be understood in order to improve state-tribal relations.

### Context of the Problem

In 1972, the Title IV Indian Education Program was developed under federal legislation to meet the special needs of Indian students. This federal Title IV program enabled policy changes to be made and more appropriate educational programs to be developed on a local level (American Indian Professional Services, 1974). In 1973, the United States Commission of Civil Rights held hearings on the Navajo Nation and disclosed that most Navajo adults complete an average of five school years as compared to twelve years in the rest of the United States (Brandt, 1992). This report also held implications for American Indian/Alaskan Native students accessing and being successful in postsecondary education.

The Navajo Way from High School to College (1975) was published and distributed by DNA Community Legal Education in an effort to prepare Navajo college-bound seniors. Areas such as college selection, admission procedures and financial aid were described in detail.

In 1984, as a response to the need for clear statements of the Tribe's education policies, the Navajo Tribal Council adopted and incorporated into law comprehensive tribal education policies. These policies replaced prior statements of educational policy contained in the Navajo Tribal Code adopted in 1961. In this 1984 Code, the Division of Education is authorized and directed to establish cooperative agreements with other divisions and programs within the Navajo Tribal Government; negotiate cooperative

arrangements and intergovernmental agreements with local, state and federal agencies and governmental bodies; inquire into the educational situation of Navajo students in any school or educational program; determine the impact of educational programs on Navajo students; make recommendations in its reports for the improvement of Navajo education; and report, at least annually, to the Navajo Tribal Council on the state of Navajo education.

Additional responsibility for higher education was placed with the Education Committee of the Navajo Tribal Council in exercising oversight regarding the recruitment and operation of post-secondary education programs within the Navajo Nation (Navajo Tribal Education Policies, 1984).

The following year in 1985, the Chairman (President) of the Navajo Nation, Peterson Zah, submitted a statement of concerns and recommendations to the ASU President after a visit to the campus prompted by Navajo students at the university. The statement identified problems that the students were experiencing which had direct impact upon their retention at the university. Recommendations that reflected the cultural value of all American Indian/Alaskan Native students were offered in the spirit of mutual understanding and cooperation. Such recommendations included the establishment of an ASU Indian Advisory Council, development of a Native American Student Center, assignment of Native American counselors and advisors, assistance with various aspects of student financial aid, expansion of recruitment and retention programs for Native American students, and the facilitation of block housing assignments.

A year later in 1986, the ASU administration responded to the Navajo Nation and agreed to seek ways in which the education of Navajo citizens could be improved. The administration agreed to cooperate in developing activities to assist the Navajo Nation in economic development and other areas of mutual interest; designate one person to formulate agreements; and meet semi-annually to review progress, meeting once at ASU and once at tribal headquarters in Window Rock. This agreement was apparently never honored.

The final report for the Navajo Area Student Drop Out Study was submitted in July 1988 to the ASU President in an effort to provide up to date information on the extent and nature of the Navajo student high school dropout problem. The study identified the total number of Navajo students dropping out of high school, determined the causes of dropout, and made recommendations for preventive programs.

Through the financial resources of legislative House Bill 2108 and Arizona State University, the American Indian Institute was established to coordinate and complement recruitment and retention services for American Indian/Alaskan Native students. Services were provided to assist students in their adjustment to the university through academic and personal student support and services.

In 1995, 94 American Indian students enrolled in Arizona State University (ASU). A year later, only 54 percent returned. In 1993, the number was even lower at 46 percent. (Navajo Times, 12/23/97). Ten years earlier, tribal leaders, on behalf of the Navajo Nation, contacted ASU officials to address the retention and completion rates of Navajo and other American Indian/Alaskan Native students. At that time, tribal leaders



recognized that American Indian students were the least likely minority group on the ASU campus to succeed.

Beginning in the fall of 1996, a cohort of 43 Navajo students participated in the Native American Achievement Program (NAAP), a pilot partnership program developed as a result of an intergovernmental agreement between the Navajo Nation and ASU. NAAP requires that Navajo students participate in university support programs and subsequently receive monthly tribal scholarship disbursements based upon the student's participation in the identified programs throughout the semester.

The implementation of NAAP signified not only a change in both the university and tribal procedures of disbursing scholarships, but also a change in the support provided to Navajo students on the ASU campus.

During the fall 1997 semester, 75% of the original cohort of students returned to the ASU campus, along with a second cohort of 75 students enrolling as freshman. These Navajo scholars attended orientation activities and a Summer Bridge program, took core courses together, and participated in Freshman Year Experience, Campus Match, and tutoring programs. Students were put in contact with American Indian faculty and staff, and met with each of their instructors at least twice a semester (Navajo Times, 12/23/97).

Little attention, however, was directed toward policy development and the linkage between the original intentions of the intergovernmental agreement and the outcomes of program implementation. Hargrove (1981) suggests several propositions that ask how the efforts of contending parties shape and control programs that affect initial design and implementation.

This case study investigated the nature of the intergovernmental agreement between the Navajo Nation and Arizona State University as it related to policy development and the intended effect of the implementation of the Native American Achievement Program (NAAP). Interviews were conducted with all relevant university and tribal actors to identify the values and beliefs relevant to the partnership. Data from the NAAP was studied to compare implementation and original intent.

### Statement of the Problem

In 1994, conversations resumed between the Navajo Nation and ASU to address the problem of low persistence rates of Navajo students. These conversations resulted in an intergovernmental agreement, which has been unusually successful when compared to other efforts to improve American Indian/Alaskan Native persistence rates in higher education. This agreement also produced an implementation plan and provided both the tribe and the university with results indicating a 75% persistence rate with the first year cohort. However, there is little research that documents such intergovernmental agreements as they related to how these types of agreements were established, who the key actors in the process were, and the extent to which program implementation accomplished the original goals of the policymakers. This case study addressed this gap in knowledge.

### Purpose of the Study

The purpose of this study identified the development of the intergovernmental agreement between the Navajo Nation and ASU, and how it reflected the original intent of the tribal and university actors. Furthermore, this study examined relevant historical documents and oral history that contributed to the process. The period beginning in

1972 with the enactment of the Self-Determination Act and ending in 1996 with the implementation of the Native American Achievement Program provided the framework for the study.

A second purpose of this study was to include the American Indian/Alaskan Native oral tradition by using qualitative research strategies that rely on in-depth interviews with Navajo tribal members and educators. The objectives of qualitative research are to examine social realities, the construction of these realities, and the social relationships that connect people (Miller and Dingwall, 1997). These social realities and relationships were focused within the Navajo Nation and Arizona State University.

Specifically, this study was designed to address the following research questions:

1. How did the intergovernmental agreement between the Navajo Nation and Arizona State University (ASU), which established the Native American Achievement Program (NAAP), develop and who were the actors involved in the process?
2. What were the original goals of the actors and to what extent did the implementation of the Native American Achievement Program accomplish these goals?

### Significance of the Study

Since the overall retention rates of American Indian/Alaskan Native students enrolled in post-secondary educational institutions throughout the country is the lowest of any minority group, this study hoped to provide the following:

- Model process/value to other American Indian/Alaskan Native tribes. Since little research exists that focus on American Indian/Alaskan Native tribal education

policies and how these policies interact with post-secondary educational institutions, this study proposed some recommendations for future intergovernmental agreements between tribes and public universities.

- Demonstration of Tribal and University Collaboration. The need for partnerships between American Indian/Alaskan Native tribes and the postsecondary institutions in which their students enroll is addressed through the development of the Native American Achievement Program.
- Policy Process/Program Implementation. The low retention rates of Navajo students enrolled at Arizona State University called for both tribal and university actors to examine their respective educational policies and their effect on programmatic/service delivery to Navajo students. In doing so, the link between policy and programmatic change was given value and practical use in achieving the project's objectives.

## CHAPTER II

### Theoretical Orientation and Literature Review

The theoretical orientation for this study was based on political decision making within the framework of communities rather than within a market-based society. Given that both the campus community and tribal community are political entities themselves, this conceptual framework allowed the analysis to consider the context in which this intergovernmental agreement was established as well as the various aspects of the decision making process.

By using a mode of analysis that focused on a model of political communities, or polis, it went beyond standard policy literature that tended to rely on rational analysis, market-based concepts, sequential policy processes, and rules of order. The concept of society in a polis accepts politics as a creative and valuable feature of social existence (Stone, 1997). Tribal communities, as well as campus communities, are often governed by their political culture, which has an obvious impact on decision making in those communities. In the polis, politics are regarded as an essential and unavoidable influence in policy making.

The model of a political community also demonstrated that people live in a web of dependencies, loyalties, and associations where they envision and fight for public interest as well as their individual interests (Stone, 1997). Unlike the market-based policy analysis, individual preferences were acknowledged and contextualized within the communities in that they live and work.

In the polis, policy making does not take place in identifiable stages of a process as demonstrated in studies of public policy, but rather as reoccurring arguments and counterarguments (Stone, 1997). Recognizing this variance in policy making enabled the application of theory to construct an understanding of different political communities and how they engaged in policy making.

Unlike policy analysis that identifies rules and behavior leading to the best possible results or alternatives of an existing situation, decision making in the polis accounts for the analytical concepts, problem statements, and policy instruments as political claims themselves (Stone, 1997). Again, these conceptual thoughts provided the framework that recognized the political culture of communities and the political nature of decision making that occurred within these communities. In this case study, it related to the Navajo people as members of a sovereign nation and to the ASU campus community as part of a state-run public institution.

The model of a polis must also have a distinct membership that is often times regarded as a primary political issue. As Stone (1997) described, “membership definitions and rules determine who is allowed to participate in community activities, and who is governed by community rules and authority” (p. 19). Therefore, this theoretical orientation of decision making in the polis served this case study well in that membership in the political communities (i.e., tribal members and enrolled university students) were clearly defined and exclusive.

The concepts of society in a polis, as compared to a market-based model, are described in Table 1.

**Table 1**  
**Concepts of Society**

	<b>Market Model</b>	<b>Polis Model</b>
<b>Unit of Analysis</b>	<b>Individual</b>	<b>Community</b>
<b>Motivations</b>	<b>Self-interest</b>	<b>Public interest (as well as self interest)</b>
<b>Chief Conflict</b>	<b>Self-interest vs. self-interest</b>	<b>Self-interest vs. Public interest (common problems)</b>
<b>Source of people's ideas and preferences</b>	<b>Self-generation within the individual</b>	<b>Influences from the outside</b>
<b>Nature of collective activity</b>	<b>Competition</b>	<b>Cooperation and competition</b>
<b>Criteria for individual decision making</b>	<b>Maximizing self-interest, minimizing cost</b>	<b>Loyalty (to people, places, organizations, products), maximize self-interest, promote public interest</b>
<b>Building blocks of social action</b>	<b>Individuals</b>	<b>Groups and organizations</b>
<b>Nature of information</b>	<b>Accurate, complete, fully available</b>	<b>Ambiguous, interpretative, incomplete, strategically manipulated</b>
<b>How things work</b>	<b>Laws of matter (eg., material resources are finite and diminish with use)</b>	<b>Laws of passion (eg., human resources are renewable and expand with use)</b>
<b>Sources of change</b>	<b>Material exchange</b>  <b>Quest to maximize own welfare</b>	<b>Ideas, persuasions, alliances</b>  <b>Pursuit of power, pursuit of own welfare, pursuit of public interest</b>

Stone, Deborah (1997). Policy Paradox. The Art of Political Decision Making.

The research questions of this study are framed around the model of political communities and more specifically how goals, problems, and solutions of the intergovernmental agreement were established and contributed to the overall decision making process. Goals relate to the enduring values of the community life that give rise to controversy over particular policies: equity, efficiency, security, and liberty (Stone, 1997). Each of these goals was considered individually when examining the relevance

to the development of the intergovernmental agreement and the extent to which the original goals reflected the intent of the policy makers.

Problems refer to the disparity between the identified goals of the intergovernmental agreement and the current state of affairs. Problems were defined in terms of what causes them (“Causes”), who is lined up on each side (“Interests”), or what kind of choice they pose (“Decisions”) (Stone, 1997). Symbolic representations of numbers and symbols, both verbal and numeric, were identified as well.

Solutions involve assumptions that all policies involve deliberate attempts to change people’s behavior and are illustrated through creating incentives and penalties (“Inducements”), mandating rules (“Rules”), informing and persuading (“Facts”), stipulating rights and duties (“Rights”), and reorganizing authority (“Power”) (Stone, 1997). Again, each of these solutions was considered individually when examining the relevance to the development of the intergovernmental agreement.

#### National American Indian/Alaskan Native College Persistence

Limited research and literature exists that studied the issues of American Indian/Alaskan Native college persistence. Those researchers who focus on this issue tend to agree about those factors that influence retention for American Indian/Alaskan Native students. Demmert (1996) stated that many American Indian/Alaskan Native students are not adequately prepared to take advantage of postsecondary opportunities. In addition, approximately 35% of American Indian/Alaskan Native students leave high school early.

Nationally, American Indian/Alaskan Native students constitute less than 1% of undergraduate degrees conferred, as well as less than 1% of those who are enrolled in



college (Chronicle of Higher Education, 1998). Additional longitudinal studies of persistence and educational attainment of American Indian/Alaskan Native students demonstrated a significant problem. The highest educational attainment for 1980 American Indian/Alaskan Native high-school sophomores by 1992 was less than 7% receiving a bachelor's degree, and less than 1% receiving a master's degree.

Furthermore, the educational attainment of 1989-90 American Indian/Alaskan Native post-secondary students by Spring 1994 was 22% still enrolled, while 16% had attained a bachelor's degree (Chronicle of Higher Education, 1998).

According to Demmert (1996), many of the factors that affect the progress of American Indian/Alaskan Native families and individuals still center on social problems such as suicide, alcohol and substance abuse, family violence, and poverty. In addition, student and institution-related factors have been found to affect the progress of American Indian/Alaskan Native students.

Student related factors that influence persistence for American Indian/Alaskan Native students are presented in Garrod and Larimore (1997). These authors interviewed American Indian/Alaskan Native graduates from Dartmouth College about the factors they believed either positively or negatively influenced their own persistence at the institution. There were four common themes that surfaced during the students' reflections on what influenced their persistence. Namely, cultural differences, institutional racism, homesickness, and participation in available academic and student support services were identified as factors.

Demmert (1996) cited several examples of common barriers these students need to overcome. Such barriers were the limited opportunity to enhance language and

developmental skills; an unfriendly school climate; curriculum taught from a Western perspective; the lack of role models; the loss of native language ability; and high drop out rates.

Demmert (1996) also identified numerous institution-related factors that influenced the persistence of American Indian/Alaskan Native students. The author described the high costs associated with financing higher education and that tribal and federal monies were not sufficient to meet the demand. Hoover and Jacobs (1992) cited the value of university social organizations and clubs that engaged the student population in a sense of community. The institution was charged with the responsibility of developing and providing these opportunities.

Furthermore, Garrod and Larimore (1997) found that persistence was more likely to be affected when there was an overt commitment to American Indian/Alaskan Native students on the part of the institution. This commitment was evidenced in its student population, faculty, academics, community involvement, and student support services.

The Indian Nations at Risk Task Force conducted a study of the progress of Indian Education over a 20-year period. This study yielded numerous areas of progress for the American Indian/Alaskan Native communities. (1) Native parents have developed a forum for influencing programs; (2) state and local education agencies have acknowledged their responsibility; (3) advances have been made in parent-based early childhood education; (4) more acceptance of language and culture programs has occurred; (5) larger numbers of Native teachers and administrators are working in the school system; (6) Native educators are beginning to change the curriculum;

(7) improvements of self-image have been noted; and (8) tribal colleges and universities have become a viable option.

The Chronicle of Higher Education (1998) also completed an assessment of American Indian/Alaskan Native academic progress over a twenty-year period. From 1976 through 1990, American Indian/Alaskan Native students represented .7% of the nation's students enrolled in college. From 1990 through 1996, this number slightly increased to just less than 1%.

#### Arizona State University American Indian/Alaskan Native College Persistence

Student-related factors for minority persistence at Arizona State University (ASU) are reported in the 1990 study by Mayo, Melnick, and Wolf. The major student-related findings that improved the persistence of ASU minority students were goal commitment, institutional commitment, social relations, relationships with faculty members, finances, and academic and social support. This report showed that American Indian/Alaskan Native students have strong academic and goal commitments yet still are the least likely to persist at ASU.

This same report also showed that cultural backgrounds were not represented at the institution and recommended that student support programs be developed for the relative needs of each ethnic group in collaboration with university policies. The report emphasized minority recruitment programs as an institutionally related factor in persistence, and presented major findings of what the institution needed to address in order to improve minority persistence at ASU. The findings were (1) discrimination; (2) ethnic representation; (3) finances; (4) academic support programs; and (5) recruitment of minority students.

The status of minority students at ASU currently shows that American Indian/Alaskan Native students have the lowest grade point averages, and come from families with the lowest income and levels of education. Forty-eight per cent of American Indian/Alaskan Native students come from communities of less than 2,500; with another 23% of American Indian/Alaskan Native students coming from communities of 2,500-10,000. Furthermore, 46% of American Indian/Alaskan Native students enrolled at ASU come from segregated high schools where the majority of the students were Navajo or from another American Indian/Alaskan Native tribe.

#### Arizona State University Navajo College Persistence

In preparing the annual report on the NAAP pilot program for 1996-97, Belch (1997) examined data related to academic achievement (grade point average (GPA), earned credit hours) and persistence (registration for fall semester). The mean GPA was calculated for all ASU freshman who entered in Fall 1996 and returned for Spring 1997, the NAAP Fall 1996 cohort, all Fall 1996 returning American Indian/Alaskan Native freshman, and a Navajo Fall 1995 cohort.

The mean GPA for the NAAP Fall 1996 cohort for the spring semester was lower than the fall GPA. However, these same students achieved higher spring semester and cumulative GPAs than all Fall 1996 American Indian/Alaskan Native freshman. The NAAP Fall 1996 cohort also achieved higher GPAs in the spring semester and during the overall academic year than the Fall 1995 Navajo cohort. NAAP students also earned more credit hours in their first year than the 1995 Navajo cohort (Belch, 1997).

Belch (1998) provided a follow-up report on one-year persistence data for Fall 1995 Navajo students who received similar scholarship packages as the Fall 1996 NAAP cohort. Those who were retained in both groups had higher grade point averages and earned more cumulative hours than those who dropped out. Furthermore, members of the Fall 1996 NAAP cohort who were retained also had higher grade point averages and earned more cumulative hours than the Fall 1995 Navajo students.

Differences were observed in the gender ratio of the students who persisted in each cohort. The ratio of males to females persisting among the NAAP students was in direct proportion to the ratio as they entered the institution (Belch, 1998). However, more females than males persisted from the 1995 Navajo cohort, which was in contrast to the proportion to the ratio as they entered ASU.

In terms of choice of major, Belch also found that the students in the 1995 Navajo cohort who had not declared a major were less likely to return to ASU compared to those Navajo students who had declared a major. Conversely, NAAP students who had not declared a major were more likely to return to ASU compared to other NAAP students who had declared a major.

The Navajo Times (1997) newspaper reported the following persistence rates for the ASU campus:

- \* 1992: 46% persistence rates of American Indian/Alaskan Native students
- \* 1995: 54% persistence rates of American Indian/Alaskan Native students
- \* 1997: 75% retention rates of fall 1996 Navajo student cohort (NAAP)
- \* 1998: 54% retention rates of fall 1996 Navajo student cohort (NAAP)

## Summary

Native American tribes are in a unique position to establish partnerships with state universities, as compared to any other minority group. As sovereign nations, tribes have the opportunity to engage in intergovernmental agreements that support academic persistence and success for their students.

The Navajo Nation has tribal policy codes that encourage educational collaborations and have begun to identify strategies in concert with ASU to better serve the needs of Navajo students, the Navajo community, and the ASU campus community. These strategies begin with policy development and move to program implementation in an effort to address persistence rates of first year students.

Given the history of Native American involvement and success in higher education, the need and significance of collaborative policy development between tribes and state universities has been demonstrated through this case study.

## CHAPTER III

### Design of the Study

In this chapter, the research questions, type of study, data sources and methodology used in the data collection and analysis of the intergovernmental agreement policy development are described in detail.

#### Research Questions

1. How did the intergovernmental agreement between the Navajo Nation and Arizona State University which established the Native American Achievement Program (NAAP) develop and who were the actors involved in the process?
2. What were the original goals of the actors and to what extent did the implementation of the Native American Achievement Program accomplish these goals?

#### Type of Study

A case study approach was used to examine the intergovernmental agreement between Arizona State University and the Navajo Nation, which established the Native American Achievement Program (NAAP).

According to Miles and Huberman (1994), data needs to be gathered on the following areas:

- \* **Nature of the case.** Key university and tribal policy actors, relevance to higher education policy.
- \* **History of the case.** American Indian/Alaskan Native persistence, previous conversations and correspondence between the Navajo Nation and ASU.
- \* **Physical setting.** Navajo Nation, ASU.

**\* Other cases that may be relevant to this one.** Intergovernmental partnerships between American Indian/Alaskan Native tribes and local, state, or federal governments.

**\* Other contexts.** Educational institutions - community colleges, universities, tribal colleges.

**\* Through informants that may be relevant to the case.** Navajo Nation policy makers, university personnel, and student participants.

Yin (1994) cited case studies as the most preferred strategy when "how" and "why" questions are posed, when the investigator doesn't control the events, and when the focus was on a contemporary event that has some real-life relevance. The proposed case study met all of these criteria. Yin also stated that case studies have the strength to deal with a full variety of evidence (i.e., documents, artifacts, interviews, and observations), that must be triangulated for analysis.

Ragin and Becker (1992) further elaborated on the definitions of a case study by demonstrating that case studies put cases, not variables, center stage. This allowed attention to be drawn on the link between ideas and evidence.

Overall, case studies are approaches that allow analysts to examine the unit of analysis within its social context. Case studies facilitate theory building as to how phenomena unfold. The logic of the case study method is to demonstrate an argument that shows how general social factors take shape and produce results in specific settings (Wells, 1995).

The case study was a single-case study representing the development of the intergovernmental agreement and implementation of the ASU Native American



Achievement Program. Single-case studies are a common design and represent the critical case in testing a well-formulated theory, a unique or extreme event, or a setting that has been previously inaccessible to study (Yin, 1994). This research took the form of an explanatory case study which answers the "how" and "why" questions, in addition to dealing with the operational links that need to be traced over time, rather than just mere frequencies or incidences (Yin, 1994).

### Interview Protocol

The format of the interview protocol used for this case study consisted of the statement of the research questions; propositions (policy origin, policy intent, policy implementation, policy requirements, and policy outcomes), interview questions, and related probes. The interview protocol reflected the integration of relevant policy analysis literature.

### Interviews

The study consisted of a series of in-depth interviews with the Navajo Nation policy makers associated with the formulation and development of the intergovernmental agreement that established the Native American Achievement Program (NAAP). These tribal officials provided referrals of additional key actors in the policy process. Interviews were conducted in Window Rock, Arizona (tribal government headquarters) and in Washington, D.C. which facilitated subject participation. Arizona State University policy makers and other key actors were also interviewed to provide the university perspectives and interest in the intergovernmental agreement with the Navajo Nation. Again, these interviews led to additional referrals and provided the case study with comprehensive access to all persons identified as

involved in the intergovernmental agreement process and the implementation of the Native American Achievement Program.

Interviewing policy makers in elite settings required attention to several objectives. These were: (1) Interviewing people actively engaged in the policy making process so as to provide insights into, and details of, educational policy making not available in documentary form and thus not in the public domain; (2) Interviewing with the intention to clarify, confirm or adjust existing published accounts of the policy formulation; (3) Interviewing to assist the identification and understanding of the networks of individuals involved in contemporary policy making in education and the relative influence they exercised; and (4) Interviewing to explore the ideas and values of key actors involved in setting the policy in motion, influencing its substance, and the course of its progress (Fitz et al, 1994).

Interviews with former student participants from the original 1996 NAAP cohort were also conducted to gain the students' perceptions about the intergovernmental agreement.

### Historical Documents

In addition to the interview data collected in this study, historical documents were reviewed. These historical documents included a series of Memorandums of Agreement (MOA) between the Arizona Board of Regents for and on behalf of Arizona State University and The Navajo Nation, Division of Diné Education and Office of Navajo Nation Scholarship and Financial Assistance, beginning January 1997 through October 1998. These MOA specified the general provisions of the agreement(s), partners to the agreement, mandatory participation, statement of need, purpose of the

agreement, budget, evaluation, duration of the agreement(s), and other general items (i.e., cancellation, disputes, discrimination, appropriations, records, and notices).

Other historical documents included a 1985 Navajo Tribal Council statement of concerns and recommendations to the ASU President, written after an ASU visit by tribal council members requested by Navajo and other American Indian/Alaskan Native students enrolled at ASU; and a 1986 agreement between the Navajo Nation and Arizona State University which formalized a partnership of cooperation concerning mutual areas of interest and goals.

Other MOA between the Arizona Board of Regents for and on behalf of Arizona State University and The Navajo Nation, Division of Diné Education were used as additional documents demonstrating prior and concurrent intergovernmental collaboration focusing on the needs of Navajo students.

News releases and media-related documents were also used.

### Data Coding

Codes were assigned to the interview data and the historical documents collected from tribal and university policy makers. These codes were used to retrieve and organize the coding units, categorized and clustered in segments relating to the research questions of this study. The coding scheme, which described general domains rather than content specific domains (Lofland, 1971), provided the following framework for establishing the codes.

**\* Acts:** actions in a situation that is temporarily brief, consuming only a few seconds, minutes, or hours

\* **Activities:** actions in a setting of a more major duration - days, weeks, months - constituting significant elements of people's involvement

\* **Meanings:** the verbal productions of participants that define and direct action

\* **Participation:** people's holistic involvement in or adaptation to a situation or setting under study

\* **Relationships:** interrelationships among several persons considered simultaneously

\* **Settings:** the entire setting under study conceived as the unit of analysis

Pattern coding complemented the explanatory nature of this case study by identifying themes and grouping summaries of data segments. Sequential analysis was applied throughout the process of pattern coding, gathering more data on fewer, but progressively more, vital dimensions in the data set (Miles and Huberman, 1994). This type of analysis preserved the contextual nature of the data. Stone's (1997) theory of decision making within a political community was integrated into the explanatory framework, applying it to the pattern codes and segments of data. Codes were revised as needed.

As mentioned, categories of coding were facilitated by the theoretical orientation of decision making within political communities. These categories were as follows:

Goals: Goals are identified as the enduring values of community life that give rise to controversy over particular policies of equity, efficiency, security, and liberty. These values not only expressed goals, but also served as the standards used to evaluate existing situations and policy proposals (Stone, 1997). Tables 2-5 show the concepts of

equity, efficiency, security, and liberty as they appeared in the polis. Categories of coding were aligned with these concepts.

**Table 2**  
**Concepts of Equity in the Polis**

<b>Dimension</b>	<b>Issue</b>
<b>Recipients</b>	1. <b>Membership (the boundaries of community)</b>
	2. <b>Rank-based distribution (internal subdivisions of society)</b>
	3. <b>Group-based distribution (major internal cleavages of society)</b>
<b>Items</b>	4. <b>Boundaries of the item</b>
	5. <b>Value of the item</b>
<b>Process</b>	6. <b>Competition (opportunity as starting resources)</b>
	7. <b>Lottery (opportunity as statistical chance)</b>
	8. <b>Voting (opportunity as political participation)</b>

Stone (1997). *Policy Paradox. The Art of Political Decision Making.*

The concepts of equity were coded according to the rate of frequency in the interviews and the historical documents.

**Table 3**  
**Concepts of Efficiency in the Polis**

<b>Output</b>	1. <b>Who determines what is the correct output for a goal, or objective of a program?</b>
	2. <b>How should we value and compare multiple objectives?</b>
	3. <b>How do different objectives or outputs benefit different constituencies or groups?</b>
<b>Input</b>	4. <b>How should we count inputs (e.g., labor costs) that are simultaneously outputs to somebody else (e.g., jobs for local community)?</b>
	5. <b>How should we decide which of the many benefits/outputs of any input to count in the equation?</b>
	6. <b>How should we count the virtually unlimited opportunity costs of resources used in inputs?</b>

Stone (1997). *Policy Paradox. The Art of Political Decision Making.*

The concepts of efficiency were coded according to the rate of frequency in the interviews and in the historical documents.

**Table 4**  
**Concepts of Need (Security) in the Polis**

<b>Dimension</b>	<b>Issue</b>
1. Valuation of resources	In assessing needs, should we count only material use of resources or also symbolic meanings and satisfaction produced by resources?
2. Standard of comparison	Should we measure needs according to a fixed standard or a relative one (how people's resources compare to those other members of the community)?
3. Purposes of resources	Should we provide only resources that meet immediate, direct needs for survival or also resources that enable people to fulfill broader goals?
4. Time	Should society only secure people's current needs or also provide protection against future needs and risks of harm?
5. Unit of analysis	Should society only secure the needs of people as separate individuals or also peoples' relational needs (such as dignity, a sense of belonging, trust, and community)?

Stone (1997). Policy Paradox. The Art of Political Decision Making.

The concepts of security were coded according to the rate of frequency in the interviews and the historical documents.

**Table 5**  
**Concepts of Liberty in the Polis**

<ul style="list-style-type: none"> <li>▪ What harms to individuals should trigger government restraints on liberty?</li> </ul>
1. Material harms (e.g., bodily injury, loss of income, loss of property value, higher taxes)?
2. Elevated risk of injury or loss (as opposed to actual, immediate injury)?
3. Amenity harms (e.g., aesthetic, environmental, quality-of-life)?
4. Emotional and psychological harms (e.g., distress, anxiety, loss of self-esteem)?
5. Spiritual and moral harms (e.g., behavior that offends religious or moral beliefs)?
<ul style="list-style-type: none"> <li>▪ What harms to communities, organizations, and groups should trigger government restraints on liberty?</li> </ul>
6. Structural harms (actions or policies that reduce an organization or community's ability to function)?
7. Accumulative harms (activities that are harmful only if a lot of people do them)?
8. Harms to a group caused by harms to one of its members?
9. Harms to society or community caused by individual failure to undertake helpful actions?
<ul style="list-style-type: none"> <li>▪ Whose liberties should be curtailed?</li> </ul>
10. When the activities of several different people (groups, organizations) contribute to causing harms, whose activity should be restrained? Who should bear the burden of change?
11. When corporate actors cause harms, should their activities be restrained? In what ways?

Stone (1997). Policy Paradox. The Art of Political Decision Making.

The concepts of liberty were coded according to the rate of frequency in the interviews and the historical documents.

Problems: Problems related to the disparity between the goals of the intergovernmental agreement and the current state of affairs. They are defined in terms of symbols and numbers (both verbal and numeric language), causes (what caused the problems), interests (who is lined up on each side of the problem), and decisions (what kind of choices the problems posed) (Stone, 1997). Tables 6-10 show the concepts of

symbols, numbers, causes, interests, and decisions as they appeared in the polis and in problem definition. Categories of coding were aligned with these concepts.

**Table 6**  
**Symbolic Devices and Problem Definition in the Polis**

Stories	Narratives with heroes and villains, problems and solutions, tensions and resolutions. The most common are:
	Stories of decline, including the story of stymied progress and the story of progress-is-only-an-illusion.
	Stories of control, including the conspiracy story and the blame-the-victim story.
Synecdoche	A small part of a policy problem is used to represent the whole.
Metaphor	A likeness is asserted between one of a kind of policy problem and another.
Ambiguity	The ability of statements, events, and experiences to have more than one meaning.

Stone (1997). Policy Paradox. The Art of Political Decision Making.

Symbolic devices in problem definition were coded according to rate of frequency in the interviews and in the historical documents.

**Table 7**  
**Numerical Strategies and Problem Definition in the Polis**

1. People react to being counted and measured, and try to “look good” on the measure.
2. The process of counting something makes people notice it more, and record keeping stimulates reporting.
3. Counting can be used to stimulate public demands for change.
4. When measurement is explicitly used to evaluate performance, the people being evaluated try to manipulate their “scores.”
5. The power to measure is the power to control. Measures have a lot of discretion in their choice of what and how to measure.
6. Measuring creates alliances between the measurers and the measured.
7. Numbers don’t speak for themselves, and people try to control how others will interpret the numbers.

Stone (1997). Policy Paradox. The Art of Political Decision Making.

Numerical strategies in problem definition were coded according to rate of frequency in the interviews and the historical documents.



**Table 8**  
**Causal Strategies and Problem Definition in the Polis**

1. Show that the problem is caused by an accident of nature.
2. Show that a problem formerly interpreted as an accident is really the result of human agency.
3. Show that the effects of an action were secretly intended by the actor.
4. Show that the low-probability effects of an action were accepted as a calculated risk by the actor.
5. Show that the cause of the problem is so complex that only large-scale policy changes at the social level can alter the cause.

Stone (1997). Policy Paradox. The Art of Political Decision Making.

Causal strategies in problem definition were coded according to rate of frequency in the interviews and in the historical documents.

**Table 9**  
**Concepts of Interests in the Polis**

Subjective	1. Those phenomena, social arrangements, and policies that people perceive as affecting them.
	2. Actions or policies that affect people <i>and</i> that the affected people understand as affecting them.
Objective	1. Things that affect people, even if the affected people are not aware of the effects.
	2. The actions or policies that would serve people best, given the objective effects and consequences of those policies.
	3. The things or policies that meet people's essential human needs.
	4. The things or policies a person would want if he or she had knowledge about all the alternatives and were free to choose.
	5. The things or policies that would increase the well-being of an entire social class (class interest).

Stone (1997). Policy Paradox. The Art of Political Decision Making.

The concepts of interests were coded according to the rate of frequency in the interviews and the historical documents.

**Table 10**  
**Decision-Analysis Strategies and Problem Definition in the Polis**

1. State goals ambiguously, and possibly keep some goals secret or hidden.
2. Be prepared to shift goals and redefine goals as the political situation dictates.
3. Keep undesirable alternatives off the agenda by not mentioning them.
4. Make your preferred alternative appear to be the only feasible or possible one.
5. Focus on one part of the causal change and ignore others.
6. Do not appear to make a clear decision that could trigger strong opposition.
7. Select from the infinite range of consequences only those whose costs and benefits make your preferred course of action look "best".
8. Choose the course of action that hurts powerful constituents the least, but portray your decision as creating maximum social good for the broad public.

Stone (1997). Policy Paradox. The Art of Political Decision Making.

Decision-analysis strategies and problem definition in the polis were coded according to rate of frequency in the interviews and the historical documents.

**Solutions:** Solutions reflected the temporary resolutions of conflict and assumed that the intergovernmental agreement involved deliberate attempts to change student behavior. Solutions in the polis were defined in terms of Inducements (created incentives and penalties), Rules (mandated rules), Facts (informed and persuaded), Rights (stipulating rights and duties), and Powers (reorganized authority) (Stone, 1997). Tables 11-15 show the concepts of inducements, rules, facts, rights, and powers as they appeared in the polis. Categories of coding were aligned with these concepts.

**Table 11**  
**Concepts of Inducements in the Polis**

<b>Giver</b>	May be a collective entity with internal conflict and inconsistent decision making.
<b>Target</b>	May be collective entity with internal conflict and inconsistent decision making.
	May scramble time frame; actors within the entity may have different time frames, and their motivations may change over time.
<b>Inducements</b>	May have different meaning/value to target than giver intends; may have symbolic meanings in conflict with surface meanings.
<b>Rewards</b>	May create alliances (and collusion) between givers and targets.
	May create costs for the givers.
<b>Sanctions</b>	May create conflict between target and givers.
	May harden target's resistance.
	May be sabotaged by givers.
	May hurt the people one is trying to protect instead of altering the behavior of the targets.

Stone (1997). Policy Paradox. The Art of Political Decision Making.

The concepts of inducements in the polis were coded according to the rate of frequency in the interviews and the historical documents.

**Table 12**  
**Concepts of Rules in the Polis**

<b>1.</b>	Deciding how much discretion is necessary entails balancing competing values.
<b>2.</b>	Policy problems are too complex and varied to allow for perfectly detailed rules.
<b>3.</b>	Crisis moods and legislators' need to please different constituencies by writing ambiguous rules are important reasons why rules are often deliberately vague.
<b>4.</b>	It is almost impossible to write rules without pervasive incentives – incentives to comply in ways that frustrate the rule's intent.
<b>5.</b>	A rule that is flexible enough to accommodate all situations would have to be so vague that it would not be a rule.
<b>6.</b>	All rules draw lines, include and exclude, and create differences. All rules benefit some people and harm others.
<b>7.</b>	Enforcement is done by people who are subject to many influences and pressures besides their official responsibility for enforcing the rules.
<b>8.</b>	Many rules have built in perverse incentives for the rule enforcers.
<b>9.</b>	Because rules are never perfectly precise and because there are usually more violations than enforcers can handle, enforcers rely on rules of thumb.

Stone (1997). Policy Paradox. The Art of Political Decision Making.

The concepts of rules in the polis were coded according to the rate of frequency in the interviews and the historical documents.

Table 13  
Concepts of Persuasion (Facts) in the Polis

1. People use habit, simplifications, stereotypes, groups norms, as well as reason, in decision making.
2. Facts and information (even names) are interpretive and usually contested. Information is used to influence and manipulate.
3. Everyone tries to manipulate others beliefs and preferences. The government and dominant groups have more resources to influence others.

Stone (1997). Policy Paradox. The Art of Political Decision Making.

The concepts of persuasion (facts) in the polis were coded according to the rate of frequency in the interviews and the historical documents.

Table 14  
Concepts of Rights in the Polis

1. People get beliefs and ideas about rights from moral philosophy, media, and other people, as well as from official statements.
2. Official statements of rights are never perfectly clear; judges must interpret formal rules and they use norms and beliefs, as well as logic and reason.
3. Judges are influenced by their own experiences, beliefs about justice, and understandings of society.
4. Parties who are "repeat players" in courts have more power than those who use courts once or sporadically. Money helps.
5. Interest groups and organizations deliberately structure and manage disputes to increase their chances of winning.
6. Judges actively use rhetoric to increase voluntary compliance with their decisions.

Stone (1997). Policy Paradox. The Art of Political Decision Making.

The concepts of rights in the polis were coded according to the rate of frequency in the interviews and the historical documents.

Table 15  
Concepts of Powers in the Polis

1. Arguments about voter qualifications and systems of representation are strategies to change the distribution of power in policy making.
2. Arguments about size are strategies to empower some people at the expense of others.
3. Arguments about allocating authority among different units within a nation are strategies to redistribute power and resources among competing interests.

Stone (1997). Policy Paradox. The Art of Political Decision Making.

The concepts of powers in the polis were coded according to the rate of frequency in the interviews and the historical documents.

#### Committee for Research on Human Subjects

Approval from the Committee for Research on Human Subjects at Arizona State University was obtained. All those selected to be interviewed for this study completed Informed Consent forms prior to participation.

#### Definitions of Terms

**Indian Education:** generally refers to education designed for American Indian/Alaskan Natives, it can also mean education about American Indian/Alaskan Natives (Indian Education: Selected Programs and Practices, 1980).

**Elite settings:** Institutional locations where national policy is devised and translated into directives. Elite settings are considered to have a considerable advantage from the outset, suggesting that power is unequally distributed and differentially exercised (Fitz et al, 1994).

**Persistence:** Continuous enrollment, full or part-time (Astin, 1975).

**Retention:** The number of students enrolled in each credit course after the course census date and the number of students who successfully complete the course with an A-D grade at the end of the semester (Seidman, 1999).

**Navajo Nation:** Includes the Navajo Reservation and the Navajo people as a whole, considered as a distinct cultural, ethnic, geographical and political entity (Navajo Tribal Council, 1984).

**Navajo Tribe:** Means the government of the Navajo Nation, or signifies that some power or attribute of the Tribe as a government is intended (Navajo Tribal Council, 1984).

**Diné:** In the Navajo language, the usual self-denomination is Diné, meaning “the people” (Ortiz, 1983).

**Holistic:** This word defines the Indian traditional world, which mean parts fit into the whole, that motion is circular, and every living thing is related (Christensen, 1999).

#### Limitations of the Study

(1) The study was restricted to the Navajo Nation and Arizona State University.

(2) The duration of the study was limited to the time period of June 1999 to November 1999.

(3) The findings, conclusions, and implications of the study were limited to, and based upon, the analysis of the data obtained from the respondents, historical documents, and the Native American Achievement Program.

(4) This study focused on Navajo educational policies and its specific relationship with a university policy-making entity, Arizona State University.

## CHAPTER IV

### Results of the Study

Stone's Policy Paradox: The Art of Political Decision Making (1997) provided the framework of analysis for the development of the intergovernmental agreement between the Navajo Nation and Arizona State University. In addition, this framework was used to demonstrate the extent to which the implementation of the Native American Achievement Program accomplished the original goals of the policy makers.

The answers to the research questions of this policy process derived through the interviews are presented according to reoccurring areas of thought. These areas reflected the contributions of key actors and others associated with the process of developing the intergovernmental agreement. Newspaper articles and historical documents also supplemented the interviews in response to the case study questions.

Research Question One: How did the intergovernmental agreement between the Navajo Nation and Arizona State University (ASU) which established the Native American Achievement Program (NAAP) develop and who were the actors involved in the process?

#### Proposition One: Policy Origin

1. Persistence rates. An overwhelming majority of the interviewees noted a concern for the low persistence rates of American Indian/Alaskan Native students as a primary factor in the development of the intergovernmental agreement. ASU was noted as having had the challenge of retaining American Indian/Alaskan Native students, particularly during their first year of enrollment. Both ASU and the Navajo Nation had

mutual concerns regarding retention and how the two entities could possibly work together to address this need for students to have a better chance of staying in school and being successful. Furthermore, the Navajo Nation previously identified low persistence rates as a problem several decades earlier.

Supporting evidence from interview transcripts was as follows:

- “ASU has had a challenge of retaining Native American Students, especially in the first year... That was kind of the basis as we began the discussion with Navajo Nation about how do we work together to help these students be more successful...”
- “The agreement itself was necessary to continue on a legal and formal basis... and with the leadership of Peterson Zah in addressing the retention of Native American students, and in this case, specifically Navajo first year students at ASU.”
- “The intergovernmental agreement was developed out of concern from the Navajo Nation whose retention rate was really low. A lot of students who were in their first year at ASU receiving tribal scholarships had dropped or stopped out of the university before their first year was over. Overall, ASU’s retention of Native students was not very good.”
- “Our goal was to help... knowing that their students’ retention and progress toward graduation had not been strong.”
- “I think part of the goal was to get us here and keep us through the four years.”
- “There had to be another way of looking at the issue of retention with Native students, aside from just doing things over and over again and trying the same solutions.”



- **“The main focus is on the students because of the many dropouts or stopouts. There’s always a reason why students are not finishing at the university, so that was the initial part of the intergovernmental agreement.”**
  - **“...It was about developing a program or having some type of agreement where Navajo kids would have a better shot of staying in school...”**
  - **“We started talking about how we were going to approach improving retention of Native American students, particularly Navajo students.”**
  - **“It would be nice to say that ASU started these conversations, but I doubt it. I think that probably Navajo saw the failure, the low academic rate of retaining their students at all institutions, and started the conversations.”**
  - **“The main focus was probably to try and retain more students.... the numbers before were low and didn’t look that good....there was a low number of Native Americans at ASU even though we have a large population of Native Americans within the state.”**
  - **“I don’t think the Navajo Nation was happy with what their students were receiving at any of the three universities. I don’t think they were satisfied with the performance of their students.”**
- 2. Financial accountability and investment. Associated with the low persistence rates of Navajo students in particular, the Navajo Nation had a business-like need in creating a degree of accountability for the amount of tribal scholarship money that was disbursed on an annual basis. Both ASU and tribal policymakers believed that the disbursement of these scholarships was, in essence, making an investment in their students and their community. As an investment, a return was expected in the form of retention and**

graduation rates. Since 160 million dollars was spent on tribal scholarships over the past 25 years, and only six thousand undergraduate degrees were granted to Navajo Nation scholarship recipients, money was perceived as being wasted and subsequently contributed to the development of the intergovernmental agreement.

Supporting evidence from interview transcripts was as follows:

- “The intergovernmental agreement was necessary because it involved the transfer of funds from the Navajo Nation to a state entity that had certain provisions for the delivery of services to the students who were funded by the tribe.”
- “The tribe would eventually get a return on its investment for their scholarship dollars.”
- “Navajo welcomed the intergovernmental agreement because it was as opportunity to get a return on their investment. They’re investing money in their students.”
- They were funding students, not overly funding students, but funding students along the marginal lines to complete their education and so many of them were ending up back on the reservation not transferring and certainly not completing their degrees at ASU.”
- “We’ve spent 160 million dollars on scholarships since the inception of the scholarship program and only 6000 baccalaureate degrees to show for it.”
- “Since we’re sending millions of dollars along with the student to the university, and as long as they’re accepting our money and as long as they’re accepting our students, we would like the university to ensure that they’re going to take care of our students.”

- “They wanted more return on their investment...they wanted to see more students coming back and help the government and the local community.”
- I knew it was a problem back in the early 1970’s and 1980’s...we were just giving out money to them...the problem was that those monies never found their way to the university if it was given out from tribal headquarters.”

3. University responsibility and support for students. Related to the need for financial accountability was the perceived responsibility of ASU’s obligation to the Navajo Nation and its students due to the university’s acceptance of millions of dollars of tribal scholarship money every year. The tribe was not interested in supporting ASU any differently than it had in the past, but rather, wanted ASU to develop a program that provided the necessary academic, financial and social support associated with the transition from the reservation to the university. In addition, the Navajo Nation expected ASU to reallocate its internal resources and create the staff and scenario to bring this responsibility to fruition.

Supporting evidence from interview transcripts was as follows:

- “We really felt that we needed to do something more systematically.”
- “We were working on the agreement to achieve something...for the students to be counseled by the university to do better academically and personally.”
- “A lot of our students don’t have the skill to seek the kind of assistance that they need...rather than the students seeking the assistance, we wanted the people within the university to give our students a little more attention and ask them how they’re doing and where they need help.”
- “We felt that they needed some staff and counselors that will help these students.”

- **“It’s a contract saying that we’re giving you money to take care of our students and your job is to do these following things.”**
- **“There was a moral obligation, almost even an ethical obligation, for the university to be taking this money and not helping them be successful. There was a question of ethics and moral responsibility.”**
- **“In return for a commitment of funds to be delivered to the students to support them, the Navajo Nation would expect from ASU efforts at the academic and social levels to help their students be successful.”**
- **“We made the offer that we would be able to create the staff and the scenario to bring this about...to be able to reallocate resources within Student Affairs.”**
- **“... We wanted them to care for our children so they would graduate.”**

**4. Contractual and legal leverage. As a sovereign nation, Navajo policymakers were positioned to negotiate a contractual agreement that granted them leverage in making requests for their students upon the exchange of tribal scholarship money and the acceptance of their students at the university. Interviewees believed this put the tribe on a different playing field, so to speak, and allowed the Navajo Nation to establish the legal right to enact and fulfill the policy. This legal right created the opportunity to set boundaries, define goals, identify expected outcomes, and establish a timeline. Furthermore, in order for the Navajo Nation to incorporate such an agreement into tribal educational policies, there needed to be a legal document to do so.**

**Supporting evidence from interview transcripts was as follows:**

- **“It was the legal mechanics that were required to establish the program and to make sure the services and also the responsibilities to the students be met.”**

- **“It sets boundaries and defines goals and what ASU’s obligation responsibility is to the Navajo Nation now....no longer is it a free ride. ASU actually has to come up with something.”**
- **“I think the first thing that they worried about was that the intergovernmental agreement was not a contract. And we said, Yes, it is.”**
- **“The resolution was developed and sent through the SAS process, which is the Signature Authorization Sheet. It’s part of a code within the Navajo Nation government where you develop a resolution that has to be reviewed by different departments.”**
- **“In the contract itself, what we wanted to achieve was to have students mandated to do certain things...the Navajo Nation needed to say that to the students because they are the ones providing the money...”**
- **“...it turned out that an intergovernmental agreement was what they decided to do to formalize their concerns...we probably could have done without it...”**
- **“Anytime an agreement is that formal it helps people know what the parameters are, what’s considered, and you can check on the outcomes to see if both parties have lined up to the agreement within a specified amount of time.”**
- **“It was really a strong statement of sovereignty.”**

**5. Desire for institutional change. Another apparent factor in the development of the intergovernmental agreement was the willingness on the part of the university and the tribe to try a different approach in addressing the issue of persistence for American Indian/Alaskan Native students. Both ASU and the Navajo Nation operated with policies that were in effect for several decades. Discussions on how to work together**

and agree on a common denominator for long-term improvement in student persistence rates were noted as essential in the policy development process.

Supporting evidence from interview transcripts was as follows:

- “We began to talk about how each of us could commit to something that would make a long term improvement. Not only in the experience of the students who came but in the numbers of the students who would come.”
- “I had asked Bob Soza to work with staff members and determine a series of strategies that might help...interventions that might help with retention especially within the first year and with Native American students.”
- “We said, let’s completely change the way we do business... We passed policies stating that 20 percent of our monies every year would be contracted.”
- “Our role is changing here too. Before we were just the financial aid office. Now, we’re becoming the financial aid officers and the contract analysts.”
- “Because of this program, I do believe that we’re trying to make a difference very proactively.”
- “The other piece of it, I think, was with Bob Soza...having the insight to think out of the box in terms of the way things are normally done.”
- “I think, again, that this was something new to both entities and that the tribe has really never entered into a project like this....so, they themselves had to look at things they needed to do to respond to what we were learning here on campus in terms of having their counselors more available...to have them come and visit with each of the students as need arises...so, it involved more attention from the tribe...a

closer monitoring of their progress and of the record keeping at the university and the student's progress was also mobilized.”

- “ASU was willing to do things differently.”

6. Relationships. Prior relationships, both between and within ASU and the Navajo Nation, were identified as fundamental components of the policy development process. Relationships between ASU and the Navajo Nation were reflected through the respective financial aid and tribal scholarship offices, by the administrative position at ASU of a former Navajo Nation tribal president, and other collaborative, academic-based projects. On numerous occasions, the ASU president and other university administrators also enhanced relationships by traveling to Window Rock tribal headquarters to meet with both council and community members. An administrator within the Vice-President's Office further facilitated relationships established between the ASU departments for Student Affairs. The Navajo Nation Education Director had a positive working relationship with the tribal Education Committee and was supported by the tribal council.

Another noted factor was the informal nature of the settings and context for the discussions surrounding the development of the intergovernmental agreement. Conversations occurred between university and tribal policymakers over coffee, with no particular set agenda, and mostly at Navajo Nation tribal headquarters in Window Rock. The focus of these conversations was the interest on how the two entities could work together in the establishment of a better and more successful experience for Navajo students.

Supporting evidence from interview transcripts was as follows:

- “The leadership of Mr. Zah... knowing the inner workings of the Navajo Nation and the process that is involved in getting something like this established.”
- “Peterson Zah actually created the access and gathered the people...”
- So, by having him here as advisor to the president, definitely the numbers have increased and are probably a good time to establish this intergovernmental agreement between Navajo and ASU. He knows the Navajo Nation system and this is a good time to work it out.”
- “I don’t think that this would have happened if there hadn’t been someone like Mr. Zah in that role...someone who has a direct ear to the president and who could put mechanisms in place.”
- “The one thing Peterson Zah could do was work with the Navajo Nation government because his background was so heavy into the Navajo government and that was definitely where his strengths were.”
- “I’ve been involved with various discussions with Navajo since I first came ten years ago.”
- “Regis knew the history of the Navajo Nation scholarship recipient’s academic records here at ASU.”
- “Bob was the broker. He was the one who went around and got everyone to make the commitment on what they would do if he got the agreement done.”
- “It was an agreement we had made with Bob, and we knew Bob had made with Regis, and Regis had made probably with someone there...Kim and Marie were left to make it work, at least on the money side...Kim knew she had my support...Marie



knew she had Regis' support...they already had a very positive working relationship and this was just a continuation of that for them.”

- “Marie is our favorite....it’s only a love-love relationship with Marie.”
- “We have a very close working relationship with the financial aid office.”
- “We were the only real link because of how funding and scholarship money came through. We already had a really nice relationship...there was trust.”
- “It started very informally, over coffee, mostly up at Window Rock.”
- “My understanding of the agreement that was made between Navajo and ASU was done over coffee.”
- “We traveled to Window Rock to tell them that the financial aid people are willing to do this.”
- “...taking the trip to Navajo, up to Window Rock, and over coffee come up with and formalize this agreement.”
- “We flew up to Window Rock and met with the Education Committee.”
- “It says a different thing when the president of the university goes up and spends a day among the Navajo people and the students...”
- “That’s how I think this was able to become institutionalized is from the relationships among people.”

7. Nature of the problem. When asked to discuss the nature of the problem itself and what caused it, interviewees identified the transition from the rural reservation community to the urban university community as a primary concern. Three main subcategories of the transition surfaced as the major adjustment areas for Navajo

students. These included financial aid/tribal scholarships, culture, and academic preparation.

Financial aid was found to be a stumbling block for many students, both from the university's and the tribe's perspective. Examples of this gleaned from the interviews were that tribal scholarships were not always received prior to the beginning of classes; funding opportunities were unpredictable and inconsistent for recipients, although the amount of funding was constant with some noted variation as tribal leadership changed; continued problems with the processing of scholarship applications (paperwork) and the bureaucratic process; and separate application procedures for both the university and the tribe.

Supporting evidence from interview transcripts was as follows:

- “In the whole area of financial aid, which ironically is a major stumbling block for Native American students, we found out was the process and the red tape between the Navajo Nation and ASU...this agreement eliminated a major, major part of that where the process is streamlined, where the students know months and months before they come to the university what their financial aid package is going to be. And when they get here, they have access to the money. They don't have to wait two or three weeks after school starts.”
- “Before, students used to wait four to six weeks before finding out about their financial aid. They were already down here, couldn't get into the dorms, and sleeping in their cars.”
- “They were blowing their financial aid money early in the semester.”

- **“Lots of lost papers and a lot of work just to get a tribal scholarship...I think the Native American Achievement Program somewhat alleviates that because the students are given flexibility in their timeline with the scholarship office, if they’re in the program.”**
- **“There was a subset of issues related purely to student aid. The students would run out of aid or the students wouldn’t have a consistency in funding. They would be required to complete an application process by arbitrary dates set by the Nation.”**
- **“We experienced different things at times with students where as the leadership at the Nation changed, the funding levels with the students changed...it created, at times, very unpredictable and inconsistent opportunities for students.”**
- **“Some policies were inconsistent with university policies...a separate application process for both the university and the tribe.”**
- **“When you’re trying to help students get through a program as opposed to getting students through a semester, lack of predictability of funding...can create serious problems.”**
- **“The process was excruciating to maintain a tribal scholarship. It was my full time job to keep the scholarship. The bureaucratic process was horrendous.”**
- **“In my experience in working with the tribes, I know there’s always a problem with paperwork.”**
- **“If you put normal people through this process, nobody is going to want to stay in it. So, this is definitely one of the best things that could’ve been done to help students stay here...”**

- “Some students are only on tribal money, and if your money isn’t here when school starts it can put you in a bind.”
- “There’s a pot of money there and there are five requirements that you need to meet...whoever meets it first at the right time is the one who gets the money.”
- “If you were well aware and knew what was going on and knew the process to reapply, you had fewer problems or you had no problems. But if you didn’t reapply or applied late, regardless of how good a student you were, you didn’t get any money.”

Another subcategory of the nature of the problem was the discontinuity of culture for first-year Navajo students. For many students, this was their first time away from home. The fact that each was coming from a rural, reservation community to an urban, university community was also problematic. Furthermore, most students came from schools and communities within the Navajo Nation where they were the majority population as compared to one percent of the overall student body at ASU.

Interviewees discussed how students tried to live up to standards that did not match with those of their home community in their daily lives. Additional issues related to culture were the negative attitudes toward American Indian/Alaskan Native students at the institution, and the extent to which students dealt with these sentiments. The limited services available for American Indian/Alaskan Native students in the past, and the lack of value for American Indian/Alaskan Native parents in a formal way were also identified as problems.

Supporting evidence from interview transcripts was as follows:

- “It is such a change from daily life on Navajo to life on a very busy and large campus...finding a way to create, in a sense, a home here that allowed a transition between the life they knew in high school and the life they would know here, has been the most important part of it.”
- “They come from a more rural environment to an urban environment...they were going away from home to people that were not of their family...they were coming from a dominant, if not the only ethnic group to a place where they were definitely in a minority group.”
- “Where I came from, 90 percent of the people in my school were Navajo or Native Americans...when we come here, we find out right away the minute you step on campus that all of that is gone.”
- “You have institutions like ASU that have a lot of negative attitudes toward Native American students...our students have to deal with that...what do you do with an institution when all of those feelings are institutionalized?...how do you tackle that?...you can’t go around and tell everyone to be nice to the American Indian students...”
- “No consideration was given to what kind of environment the student was coming from in a reservation setting. Although a lot of the communities may be considered urban on the reservation, it is a different environment from a large city...”
- “The reservation is not like this place here. I know they have to go through a tremendous adjustment more than others do. Back on the reservation high school, they have a student body of 95 percent Native people, maybe even higher. Then, all

of a sudden you go from 95 percent Native population to a one percent Native population and you feel the difference.”

- “I really couldn’t find a Native American community on campus. I felt like the lone soldier going through and trying to make this work for me.”
- “The nature of the problem is that these kids are trying to live up to a standard that’s unlivable for them...They’re trying to live a mainstream life when they’re not mainstream. They’re trying to live up to standards and goals of other people, besides our own people...which don’t parallel those of the home community.”

Academic preparation was not identified as a key issue of transition when compared to the retention literature on American Indian/Alaskan Native students. More so, it was discussed in terms of academic support in budgeting resources and time as well as the adjustment to academic expectations and demands.

Supporting evidence from interview transcripts was as follows:

- “...the demands academically that are placed on these students is very different than their local high schools...a lot of times these students are first generation in college whose parents haven’t traveled down that path.”
- “It’s a change in the academic demands...students, interestingly, weren’t failing academically so much as feeling lost...”
- “The other problem was one of being prudent...to learn how to budget your resources and your time.”
- “I think what we’ve learned...was that students have expectations that are not realistic in terms of their majors and that’s what takes them out of their major.”

- "...we wanted to know what was going on with them and why they were falling behind...we found out that they just weren't ready."
- "So, we know that if a student has been accepted by a university, it's just a matter of helping that student through the adjustment. Maybe they need tutoring; maybe they need access to a computer."

8. **Key actors.** One of the highest levels of consistency throughout this study surfaced in the identification of key actors in the development of the intergovernmental agreement. Both ASU and the Navajo Nation felt that all principle players who could make decisions were involved in the development. Overwhelmingly, there were three people that were consistently identified as the primary actors in the policy process. Two were identified as ASU administrators, Special Advisor to the ASU President on American Indian Affairs and the Vice-President of Student Affairs. One was identified as a Navajo Nation administrator, the Director of Education. It should be noted that the Special Advisor to the ASU President also once held the office of Tribal Chairman with the Navajo Nation. Other key actors who were identified included the Navajo Nation Education Committee, ASU legal counsel, Navajo Nation Intergovernmental Committee, ASU Financial Aid Office, and select American Indian/Alaskan Native staff who contributed their experience and involvement with students.

Supporting evidence from interview transcripts was as follows:

- "From ASU it was Pete Zah and Bob Soza...from the tribe it was Regis Clauschee and the Navajo Education Committee. They were all involved..."

- “It was when Peterson Zah came here as Special Advisor on Native American Affairs that we really began serious conversations about an intergovernmental agreement that could relate to students.”
- “Bob sat down with the legal department and came up with the agreement we now have...took it up to the Navajo Nation to have Regis review it...it became an instrument that we could all agree on...then, Regis wanted to take it to the Education Committee and the Intergovernmental Committee of the Navajo Nation Council.”
- “Peterson Zah, of course, helped quite a bit...it would have to be reviewed by the Department of Justice within the Navajo Nation...the Legislative Council...the Navajo Nation’s President’s Office...the Finance Department...the Education Committee...the Intergovernmental Agreement Committee...the content, of course, is developed within the Division of Education...coming from Regis mainly...the program manager...”
- “From the tribe, Regis...from ASU...Bob Soza and Pete...and recently Marie Saltclah...”
- “I know that Mr. Soza was involved and Regis Clauschee. I believe Mr. Zah was involved.”
- “Peterson Zah was involved on the ASU end...Bob Soza was also integral in making this work...we worked with the Education Committee.”
- “I see Peterson Zah, Bob Soza, and Regis Clauschee as the three principal players...it was all the critical people who had the authority to make decisions...”



- “Peterson Zah, Bob Soza, ASU Financial Aid Office...Regis Clauschee and Marie Saltclah were the primary players...from the Navajo Nation.”
- “Regis Clauschee...Peterson Zah and Bob Soza...those three were the ones who pulled it all together.”

9. **Contributing factors.** For ASU, contributing factors to the development of the intergovernmental agreement were the participation and availability of American Indian/Alaskan Native staff members; the position of advisement on American Indian Affairs to the university president; the collaboration between Academic Affairs and Student Affairs departments; and the education and involvement of departments that worked together in the implementation of the intergovernmental agreement.

For the Navajo Nation, a solid and trustworthy relationship between the ASU and tribal financial aid/scholarship offices had already been established and had previously been the only ongoing link with the tribe itself. Tribal policymakers also noted the position of advisement on American Indian Affairs to the university president as a liaison and a single point of contact for the tribe.

Supporting evidence from interview transcripts was as follows:

- “If I wasn’t here (as a Native American staff), I’m not sure what the level of commitment would be from this office given that we’re asked to do so many things.”
- “We’ve had a variety of ties...having people here like Mr. Zah, Cal Seciwa, and others that students can go and talk with...”

- “I believe it started when Mr. Zah became Assistant to the President and one of the roles he was to play was to try and increase the retention of Native American students on campus.”
- “I think this is a great example of Student Affairs and Academic Affairs working closely to create a win-win situation. You don’t see that happening a lot.”
- “ I think this is a unique case where Student Affairs and Academic Affairs are really working hand in hand to help educate the students, keep them here, graduate them, and help them find out what their own success is.”

10. Timing. Thoughts on the influence of timing in the policy development process varied from insignificant to very significant in terms of climate, leadership, and interest.

Several interviewees stated that this type of an intergovernmental agreement was long overdue and that the Navajo Nation had previously approached the ASU administration with a similar interest and never received a response. Subsequently, neither additional requests nor discussions occurred until a position was created for a special advisor to the ASU President on American Indian Affairs. Likewise, historical documents demonstrated an original request to ASU from the Navajo Nation dated over a decade earlier, asking to address comparable issues represented in the current intergovernmental agreement. The person holding the Navajo Tribal Presidency at the time of the first formal request is the same person appointed over ten years later to the advisement position to the ASU President.

Additionally, interviewees felt that the climate was “ripe” for such an agreement and any earlier agreement would have been premature due to the unavailability of a full set of services for first-year Navajo students. The climate was described as appropriate

due to the chemistry of the leadership, both at ASU and the Navajo Nation, and the willingness of people in power to make decisions. References were made to all the characters being in place, and the presence of a window of opportunity for policy making as a result. Commitment from the ASU President was noted as playing an influential role in the timing of the intergovernmental agreement, as were additional administrative leadership positions at the university. Tribal leadership also was identified as a contributing factor to the timing of the intergovernmental agreement. This leadership body included the Navajo Tribal Council, the Tribal Council Education Committee and the Department of Education.

Supporting evidence from interview transcripts was as follows:

- “There was a window of opportunity there...we happened to end up at the same place at the same time.”
- “The timing of Mr. Zah being here...”
- “The timing of the agreement came at a critical point in Indian Education...especially ASU’s efforts to address retention...it was appropriate...the chemistry of the leadership and people in power in the right places of decision making authority was also timely.”
- A lot of it probably had to do with the numbers not getting any better at ASU, in terms of the Native American student population. Most likely, yes, that was probably one of the reasons Mr. Zah was hired.”
- “I would say it was maybe more of the climate being right for this agreement...what really helped was President Coor’s commitment to having a Presidential Advisor...”
- “...the high level support from President Coor was critical.”

- “...over the last 20 years, the retention hasn’t been so great with Native American students...I do believe that they wanted to do something before and finally put the idea into something real.”
  - “In terms of timing, the Education Committee had complete trust...”
  - “I think the people at ASU, like Mr. Zah, was there at an appropriate time...”
  - “Timing was OK. It was long overdue and had never happened in the history of the tribe itself.”
  - “I’m not sure about timing, but I think it was long overdue...it was the realization of an initiative that could be pursued...”
  - “In terms of timing, from the Navajo Nation, we wanted this thing to be done long ago. The university never really responded to what we were saying. Maybe they didn’t have the right people in place...we brought the issue to the university and they just let it die on campus years ago.”
  - “The atmosphere had to be perfect from the tribal side as well as from the university.”
  - “...for Lattie Coor to meet the parents of the kids...that is giving a greater message to the Navajo people about how serious you are about education. That was perfect timing.”
  - “I don’t think it came prematurely, because we weren’t ready to provide the full set of services here. Yet, I’m glad it wasn’t delayed beyond that because it gave us a chance to fully commit ourselves, both we and the Navajo officials.”
11. Assumptions. Assumptions made about the intergovernmental agreement by both sides were that the policy and its subsequent implementation would be successful in

improving retention rates for first-year Navajo students. Both parties also suggested the agreement represented a true partnership. The majority of individuals interviewed for this study articulated that throughout the development of the policy, both parties were contributing members and worked together as a team with common goals. The intergovernmental agreement was viewed as more than a transaction. Rather, it was seen as a commitment on paper and also in spirit.

Prior to the agreement, the assumption held by many of those interviewed was that ASU was not responding to the needs of American Indian/Alaskan Native students. Additionally with the enactment of this policy, those interviewed believed that ASU would be held accountable for the financial resources and the students they accepted from the Navajo Nation. Additional assumptions were that the agreement could be improved upon at any time. Moreover, interviewees believed that the changing composition of tribal governments posed a challenge that limited flexibility in policy development and implementation.

Supporting evidence from interview transcripts was as follows:

- “The assumption was that it was a true partnership...the assumption is that it’s not just an agreement on paper but also an agreement in spirit.”
- “Both parties knew and assumed that this would improve the situation...”
- “We assumed that we would have success.”
- “...that the students would get what they needed to make it through the four years, get a college degree, get on with their life and to come back to the Navajo Nation and support the tribe in whatever way they can.”
- “...that the Navajo Nation was real supportive of it.

- "...one of the greatest assumptions is that it could be done. That we could create this. That we could work together."
- "...that we would be partners...this was a 50-50 partnership."
- "...that ASU was going to do whatever they needed to do in order to improve the retention rates of first year Navajo students...and in return, with the Navajo Nation, was the assumption that we were working together as a team."
- "The assumptions that we made were that this would be difficult to do. The type of bureaucracy that exists within tribal government would be difficult to deal with...the changing players in tribal government would be a challenge."
- "We may not have as much flexibility as we hoped for..."
- "The assumption was that the university would respond to this intergovernmental agreement...prior to the agreement, the Navajo Nation may have assumed that ASU and other institutions were not responding adequately to the needs of the Indian students attending their respective institutions."

Research Question Two: What were the original goals of the actors and to what extent did the implementation of NAAP accomplish these goals?

Proposition Two: Policy Goals and Intent

1. Persistence rates. Similar to Proposition One, Policy Origin, improving persistence rates surfaced as one of the original goals of the policy makers and key actors in the intergovernmental agreement. The goal to increase persistence rates was the most widely voiced goal, although it varied in understanding from whether it applied to all American Indian/Alaskan Native students at the institution, or just the Navajo students receiving tribal scholarships. Furthermore, interviewees understandings were also

mixed according to whether the goal of increasing persistence rates was intended for first year students only, or for the complete student body of American Indian/Alaskan Native students.

Supporting evidence from interview transcripts was as follows:

- "...to improve the retention rates of Navajo students attending ASU...and ultimately...by their persistence and graduation at ASU."
- "The original goal was simple...to get as many of the original cohort of students...to complete their first year, be on campus at the end of their first year, and be back on campus at the start of their second year by the 21<sup>st</sup> day of class. In the simplest form, that was the goal."
- "To retain students. It's basically about retention."
- "To increase the retention rates of Navajo students in their first year..."
- "Retention and succeeding at a higher level to be an upperclassman...succeed at the undergraduate level."
- "Definitely to increase retention rates."
- "Definitely, overarching was to increase the retention rates of students."
- "The original intent was to figure out a way to encourage Navajo students in persistence."
- "...help us retain Native American students in their first year..."
- "I think the expectation was to increase the Native student retention..."

2. Service delivery and support of American Indian/Alaskan Native students. From the interviewee's perspective another goal, which actually supported the primary goal of persistence, was for the university to respond to the needs of American Indian/Alaskan

Native students and to take responsibility for counseling these students to do better both academically and personally. Again, variance in whether or not this was restricted to first year students or American Indian/Alaskan Native students in general existed. Specific goals of service delivery and support of students included the identification of strategies to help students learn the university processes.

Supporting evidence from interview transcripts was as follows:

- "...for ASU to serve them (Navajo first year students) better."
- "It's intended to be suitable for all Native American students, regardless of their tribal affiliation."
- "...more staffing to address this group of students in terms of identifying full-time and part-time staff and mobilizing American Indian graduate students...Navajo desired...that these students would be of their tribal membership."
- "...the development of personal relationships with the students. I think it's the program, the people that work in it...and I think it's the students."
- "To find a productive way to encourage and monitor progress for their students."
- "...by having students be more included in the university...they would learn the process and be able to absorb some of the things that would help them to be successful."
- "To have youngsters from Navajo succeed just as fully as any other student..."

3. Graduation rates. Although always mentioned in tandem with the goal of persistence, increased graduation rates were identified far less frequently as an original goal of the tribal and university policy makers. The goal of success was associated with ASU to having a better track record with American Indian/Alaskan Native



students. This goal was not readily identified solely in terms of improved graduation rates however.

Supporting evidence from interview transcripts was as follows:

- “The tribe and ASU together just had to do something differently to achieve the highest number of graduates, retention, and persistency.”
- “...improve retention and persistence and improve graduation rates of American Indians.”
- “...to bring the students here, keep them here, and get them graduated.”
- “...findings looked at the track record for ASU...students were failing.”
- “Navajo’s expectations were to obviously have more students headed for graduation.”

4. Enrollment of American Indian/Alaskan Native students. Similar to the goal of increased graduation rates, the recruitment and enrollment of American Indian/Alaskan Native students was also identified as an original goal, but to a lesser extent than persistence. In fact, this goal was viewed as one that was not articulated, but was viewed as more of an expected outcome of increasing persistence rates, increasing graduation rates, and delivering better services to students. In addition, this goal of increasing the number of students was identified as in the interest of ASU rather than that of the Navajo Nation.

Supporting evidence from interview transcripts was as follows:

- “...for ASU to have a better track record and increase their numbers.”
- “...probably a subgoal of recruiting more Navajo students to ASU.”

- “I think they wanted to increase the numbers of these (Navajo) students coming to ASU.”
- “I think they (ASU) were interested in increasing the numbers of the Native American student population at ASU.”

Additional goals identified by the interviewees included the desire to have students be more responsible, the interest of the Navajo Nation to get a return on their financial investment in students, and the hope of increasing the predictability and consistency of funding for Navajo students. It was also noted that students participating in the Native American Achievement Program were the least likely to have any knowledge about the original goals of the intergovernmental agreement.

5. Contributing factors. Several variables were listed as contributing to the accomplishment of the original goals of the intergovernmental agreement, both from the University’s perspective as well as from the perspective of the Navajo Nation.

From the tribe’s perspective, their issues with financial accountability created leverage with ASU to take responsibility in helping them manage their money. Furthermore, this leverage facilitated the University’s adaptation to Navajo students. The tribe had small successes with other educational partnerships with ASU, as well as a solid working relationship with financial aid staff that served as a critical link with the institution. Previous tribal rules and policies also needed to be reshaped and reformed to do what was necessary to accomplish the goals. From ASU’s perspective, the mobilization of Student Affairs was a contributing factor in the accomplishment of the original goals of the intergovernmental agreement.

Three contributing factors were also identified by both ASU and the tribe. First, staffing issues were identified as important; specifically American Indian/Alaskan Native staff who were employed in departments related to delivering the services specified in the intergovernmental agreement. Second, flexibility issues: an understanding that the goals of the intergovernmental agreement would be a long-range change; and leadership issues: the need for administrative support of the policy development and implementation.

Supporting evidence from interview transcripts was as follows:

- "...Navajo had some small success with some educational partnerships with ASU."
- "The link with ASU in setting up the continuation criteria was critical in achieving these goals."

#### Proposition Three: Policy Implementation

Policy implementation was examined through the relation between procedures and goal accomplishment; the understanding of the target population and its membership; the ideas of protocol, consensus, authority, and contending parties; and the background of tribal scholarship eligibility and disbursement.

1. Existing resources. The implementation procedures for the intergovernmental agreement were facilitated through the existing resources at ASU. Given the mobilization of Student Affairs and the inclusion of university departments in developing the intergovernmental agreement, interviewees stated that the implementation procedures supported the goals since the services already existed at the institution. Departments already agreed to the implementation procedures prior to formalizing the intergovernmental agreement, thus allowing for a more harmonious

transition in developing a focus for Navajo students within individual programs. The utilization of existing resources proved to be a key component in the movement toward accomplishing the goals of the intergovernmental agreement.

Supporting evidence from interview transcripts was as follows:

- “He allowed each unit to define, before they got into the agreement, what they were able to do. So, you were set up for success.”
- “The implementation procedures of the Native American Achievement Program (NAAP) totally parallel and support the goals...because NAAP is built on the resources that were already here at ASU.”
- “...the use of preexisting services.”
- “...the requirements of the NAAP program are already services that are here at ASU. They’re already here, available to help...”
- “...in a synergetic fashion to mobilize and then come together, bring together the various Student Affairs programs that were available for our students.”

2. Target population. Upon inquiry as to the intended policy recipients, there was a split understanding of whether or not the intergovernmental agreement provided for all first-year Navajo students or Navajo students who were receiving tribal scholarships. Tribal and university policy makers were the only interviewees who identified exactly the target population and how this population was selected. Most other interviewees believed that the Navajo Nation was responsible for the selection of students and that ASU’s responsibility for these students began after that point.

Supporting evidence from interview transcripts was as follows:

- “The target population is really for the first year experience...the student straight out of high school...that decision is entirely up to the Navajo Nation...”
- Navajo students who receive funding must participate in the program...the Navajo Nation does all the selection.”
- “Students apply and we run our list and match it up with Navajo’s list on who gets admitted.”
- “First time, first year freshman right out of high school.”
- “The majority of students are first time freshman who are totally ready for college without any deficiencies.”
- “The selection is really easy. If they get a Navajo scholarship and they’re coming to ASU, then they’re in the Achievement Program.”
- “My understanding is that anyone who is a Navajo scholarship recipient...are selected automatically to be a part of NAAP.”
- “The tribe selects the population.”
- “All students in their first year...if they accept a scholarship from the tribe, then they’re accepted to participate in the program.”
- “All of the students who have been admitted as entering freshman.”
- “All incoming freshman. They can be from Navajo Nation or from surrounding high schools, but all are incoming freshman.”

3. Protocol. No formal demonstration of protocol in the policy implementation phase of the intergovernmental agreement was apparent from any of the interviews. Informal procedures and the empowerment of staff were referenced as processes related to

protocol rather than any prescribed method of implementation. The signing of student contracts was cited as an example of formality on the Navajo Nation's end, however, this was not established as a matter of protocol prior to the development of the intergovernmental agreement, nor did all students sign a contract before enrolling at ASU.

Supporting evidence from interview transcripts was as follows:

- “Well, the first part of protocol was obviously just signing the contracts (students). How I’ve heard it done was that it was part of a packet sent to students, they signed it and returned it.”
- “There’s a mentality or a culture in our office to follow rules...we were used to people handing us responsibilities, regulations, requirements, and policies and saying here you go.”
- “As far as protocol, it was very informal. The protocol we used at the university was to empower someone to put this thing together.”

4. Consensus. The consensus among those involved in policy implementation was established as a component of the policy development process itself. As previously mentioned, the utilization of existing resources and the support of departments charged with delivering services formulated a consensus prior to the formal enactment of the intergovernmental agreement. According to interviewees, common concerns, flexibility, and open-mindedness enhanced the consensus of those involved, both within the university and the tribe. Consensus from both parties was also noted as an essential piece of policy and subsequent program implementation.

Supporting evidence from interview transcripts was as follows:

- “There was, I would say, a loose consensus. It was a work in progress.”
- “I think so. I think ASU’s staff was very willing to reach an understanding and to work with Bob in developing the program.”
- “Yes. We had meetings where we would brainstorm about different strategies that might work for Native American students...it was all a big collaboration.”
- “Well, when looking at the program from both sides, you would have to have something like that (consensus) otherwise this program wouldn’t exist.”
- “Unfortunately, yes, I would say that everyone agreed that this is what would be the best for the students.”
- “I think there was probably great consensus. Everyone knew that they had to give a little and take a little and just be flexible and open-minded. I think that was critical.”
- “I think there was certainly a consensus among people.”
- “I’m not really sure what happened on the tribal side...how they agreed on it...on this side, I believe there was a consensus to try this program out and put it together to give it an honest run and see if it would bare fruit.”
- “I think there was a consensus. I think we all shared the common denominator, which were the students. We all felt that we encouraged it as well from the Navajo Nation...”
- “From the tribe, I think the consensus was 100 percent. I’m not sure about the university...”

- “I think that a good part of it was that everyone was very interested in the success of the students and had been struggling with what happens when they start at a university...”

5. Authority. Levels of authority related to policy implementation were directly linked to the people who were identified as the key actors in the policy development process.

Two areas of critical decision making authority were described in the areas of programming and financial resources.

Supporting evidence from interview transcripts was as follows:

- “...I allow the individuals in charge of the program or service to make that determination with whomever they’re working.”
- “Basically from the beginning, it was Bob Soza from the Vice President of Student Affairs Office that was the supervisor of the whole project. Everyone really knew what was expected.”
- “From the Student Affairs standpoint...we worked with people in developing the program. We were given the authority to do that. We had the support of the Vice President’s Office.”
- “There are really only two critical areas of decision authority from the ASU perspective. One is programming and the other is funding resources to provide the services...most of the other things were done jointly between ASU staff and Navajo representatives.”

6. Contending parties. Most interviewees identified the influence of contending parties in the policy implementation within a team-based framework. ASU and the Navajo Nation were viewed as partners with common goals and shared contributions. As in the



levels of authority, interviewees recognized influential elements for the university and the tribe, however, these were not cited as factors in the shaping or controlling of the policy implementation, or more specifically the Native American Achievement Program.

However, interviewees offered suggestions as to how separate entities, the Navajo Nation in particular, shaped the implementation of the policy by including a cultural component gave the program a holistic perspective in working with Navajo students.

Supporting evidence from interview transcripts was as follows:

- “There was support of different areas. ASU was willing to do things differently.”
- “It’s a partnership. It’s collaboration. We have to work with what they’re able to provide. We don’t dictate to them (Navajo Nation) how they need to do their business.”
- “...each have their own ideas but based on the same concepts and seem to be collaborating well.”
- “From the university’s side, I think it was shaped and controlled through the Vice-President’s Office...on the Navajo Nation’s side, it came through Regis’ office.”
- “...in shaping the implementation, it’s a continual process...there needed to be flexibility among those in the middle of it to make it work...”
- “One example is how the Navajo tribe changed something within their funding policy...”

7. Tribal scholarships. The history of the disbursement of tribal scholarships and funding patterns appeared as an important consideration throughout this study, and in

this case, specifically in policy implementation. Interviewees noted several obstacles for students with the application process as well as with the continuity of funding. Such obstacles were identified as paperwork problems, late funding, funding level changes as tribal leadership changed, lengthy appeal processes, and inconsistency with university policies (see section on Nature of the Problem).

Interviewees believed that the implementation of the intergovernmental agreement addressed this obstacle for students not only teaching them how to budget their money, but also relieving them of the need to deal with the steps involved with applying for, receiving, and keeping tribal scholarships.

Supporting evidence from interview transcripts was as follows:

- “I noticed that when I was under the Native American Achievement Program, I was almost always able to get funded. Now that we’re on our own and we’re doing it ourselves, we’re back in the same pool as everyone else...we have to submit appeals and wait three to four weeks. It was never like that with NAAP.”
- “Before the agreement, they were treated like a regular student...whereas when they became a NAAP student, the funds were already available and all the financial aid officer did was post it and then they got the money. It was so quick and fast.”
- “One of the things with this is that we’re able to get the money in advance, so students have it in the beginning. Students not in this program would still run into the same problems if checks are cut to us late...it’s one of the problems hopefully we have overcome with NAAP.”
- “It’s now much, much easier for students going through NAAP.”

- “The disbursement program works to the students advantage even if you don’t see the immediate benefits.”
- “Now, Navajo sends just one check to ASU for students on scholarship and they get a disbursement once every 30 days.”
- “What the intergovernmental agreement did is basically say that students who participate in the program were clear for financial aid.”

#### Proposition Four: Policy Requirements

Intergovernmental agreement requirements were discussed in terms of content, communication, and goal accomplishment.

1. Content. Inquiry into policy requirements elicited much response and different degrees of certainty regarding content. The majority of those interviewed discussed the requirement of the student contract, the block grant type disbursement of tribal scholarship money to ASU, and the responsibility of ASU in delivering certain services and programs. However, content specifics of the student contract were not readily discernible and most interviewees were not in a position to offer any understanding of the content itself. Likewise, people had information about changes in the disbursement of tribal scholarships, but again there was little working knowledge of the process. General ideas about orientations, workshops, advising, and tutoring were discussed in terms of services and programs for students, but not everyone involved in the policy development and implementation were able to articulate a complete understanding of the policy requirements.

Supporting evidence from interview transcripts was as follows:

- “The requirements are that students participate in all program activities and that the tribe would give the university, or would disburse in a block grant fashion, the scholarship money for those students.”
- “For ASU to administer the Native American Achievement Program and to provide the resources for the students...the programs, the operations, and the staff.”
- “The requirements of the agreement, as I understand...Navajo comes up with the scholarships and ASU comes up with the program.”
- “The only thing that I understand about the specifics of the intergovernmental agreement is that Navajo will cut one check to cover the amount of scholarships...in return, ASU is going to track and monitor and closely watch over their students while they’re here for their first year...”
- “I do know the history behind why these requirements were put into place. It was based on research and work on what successful minority students do to stay on campus or to do well at the university...”
- “The students have to attend an orientation...meet with their NAAP counselor...meet with an academic advisor...their professors...attend tutoring.”
- “I think the specific requirements are mainly directed at the students to do certain activities, get certain grade point averages, and certain hours earned and so forth.”
- “We’ll pay the institution to prepare our youngsters.”
- “...students were responsible for obtaining their grades and doing their part as far as the academic performance is concerned...for Navajo to provide the money...and for ASU to actually mentor the program.”

- "...the other part was a money management plan...the purpose of it was to help students manage the money for their academic or college expenses only."
- "They send the scholarship money to us and in turn we are providing a number of services related to retention."

2. **Communication.** Communication about the requirements was examined in two parts: staff and students. As reflected in the section above on requirement content, staff lacked in overall knowledge, yet held a significant understanding of how the requirements pertained to their individual departments or areas of expertise. Most information about the intergovernmental agreement and the requirements were indirectly communicated through other staff also affiliated with the policy.

Students, too, experienced second-hand information and noted that requirements were not communicated to them prior to enrollment at ASU. Although the tribe reported that information was sent to students, not all students read, understood, signed, or returned contracts.

Supporting evidence from interview transcripts was as follows:

- "So, what I know of the agreement is second-hand knowledge..."
- "I just heard it talked about in general...how it started..."
- "They had meetings, general meeting and specific meetings, for activities or workshops that they were doing. They were reminded throughout the whole process as well as by the contract that they signed..."
- "On the practitioner's side or for those of use at the university level involved in implementing, I don't think we really had any idea...not everyone has to be involved in the decision making, but the communication is critical...I don't think

they communicated very well, both to the practitioners and the students. This is based on hearing students not really understanding everything they had to do...”

- “Very negatively. We really never talked, approached, or discussed the requirements holistically...”
- “Students go through an individual orientation.”
- “The first year, Navajo was supposed to inform the awardees of their scholarships going to ASU and they would have to participate in this program. But that didn’t happen...we had to backtrack and try and find these students to tell them...for Navajo, I think they’re still trying to figure out the best way to inform students ahead of time...”
- “The requirements were spelled out very specifically...in each student contract.”

3. Goal accomplishment. Interest in how the requirements allowed for the accomplishing of the original goals provided responses that indicated a very positive match between the two areas. Respondents stated that the requirements provided a framework that was consistent with the overall goal of persistence and how each requirement was tied to a particular objective. Studies showed that students using campus services persisted at a higher rate, and that the one-on-one advising was a key component of the program. Systematically, the requirements facilitated the coordination of ASU departments in focusing on American Indian/Alaskan Native student participation in their programs, which in turn supported the original goals of the university and tribal policy makers. Additional comments included an emphasis on the student’s responsibility in fulfilling the requirements as well as a need for consistency in monitoring requirement completion.

Supporting evidence from interview transcripts was as follows:

- “It was part of the overall goal of persistence and graduation, and each of the requirements really tied into that objective and goal.”
- “I think the requirements provided a framework...”
- “We have found that Native American students feel more comfortable working with someone that they know, that they trust and can relate to...the one-on-one interaction with our staff and the students, we feel, is the key component...”
- “I think it made the ASU programs and services that were involved be more coordinated to focus on Native students participating in these programs.”
- “I think they do if you’re talking about a student who’s going to abide by the requirements...the requirements aren’t sensitive to their particular needs...”
- “It was used as a model for the Maroon and Gold program.”
- “...with the goals helping students get connected and help with transition, I thought the requirements worked very well. But, there isn’t consistency.”
- “I think the requirements accomplish what the policy makers want.”
- “I think they contributed to the accomplishment of the goals.”
- “We learned that the student needed to do their side of it.”
- “I don’t know exactly what the intended goal was...but, the requirements most definitely helped retain me.”
- “It formalized the interaction of the two entities.”
- “I feel that the requirements help students a great deal that are struggling in an area academically...”

Also studied were the limitations to accomplishing the policy goals as a result of the set requirements. Although no limits, per se, were noted, there were several issues that arose as other points of consideration, such as student performance and student choice.

The issues of student performance and student choice were spurred by the question of how the policy requirements encouraged the outstanding students and the overachievers. This issue reoccurred in several interviews and raised concerns about limitations in terms of lost study time and independence for those students who did not need the structure and framework provided as a result of the requirements. Another concern related to the requirements was the limitation imposed on students that required them to “embrace an environment that has never embraced them.”

Supporting evidence from interview transcripts was as follows:

- “I know the first year there was a lot of paperwork...I could have been using that time to study.”
- “As far as the limitations go, students were not able to freelance with the coursework and maybe do something new. We kind of kept them on a tight trail. I think that was the negative part about it.”
- “I feel that if you have a student that is very self-motivated and would be an honor student at any level, then the program is probably not as effective for them.”
- “...how do you deal with the overachievers who feel the requirements stifle them?...the requirements can be stifling for those who are already acclimated...”
- “...is there a way to reward the outstanding student?...I don’t know if they considered that.”



- “I think the requirements fulfill the goals of the agreement if you had the right student or if you had a different set of students doing it. Not our Indian students.”
- “There’s nothing that I can think of that would limit it. I guess all you can do is work on whatever the problems are in order to improve them and meet the goals.”
- “It’s a mainstream institution. Service delivery doesn’t work the same for each kind of group or population. There are different ways you need to reach out...”

#### Proposition Five: Policy Outcomes

Policy outcomes were studied according to reflection of policy intent. Overall, program effects, influence of politics and bureaucracy, evidence of change, and the availability of resources describe categories that emerged through analysis of the data.

1. Reflection of policy intent. The vast majority of those interviewed for this study believed that the original intent of the policy makers was clearly met through the implementation of the Native American Achievement Program guided by the intergovernmental agreement. Additionally, a number of interviewees stated that NAAP had actually exceeded the original intent of the policy makers, gone beyond its purpose, and surpassed the expectation of persistence for American Indian/Alaskan Native students, both at the university and tribal levels. ASU officials reported the highest enrollment of American Indian/Alaskan Native students at ASU in addition to comparable persistence rates with other student populations at the institution. NAAP was seen as not only the result of a policy initiative, but also an opportunity for students to be successful.

Other comments related to the tribe's reflection of original intent was the realization that other things were just as important as persistence rates and that the Navajo Nation had learned from this.

Supporting evidence from interview transcripts was as follows:

- "I think it clearly reflects what was intended. I think that out of it came a lot of things that may have exceeded expectations."
- "We've asked ourselves the same question...I think the success of the program really won't be learned until four or five years later...when students should be graduating..."
- "I think the original intent was to try and have students be successful...This program, of course, can't take the total credit...this program allows the students the opportunity to be successful."
- "Most likely, it probably does. If you look at the policy, it could most likely be almost right on track."
- "I think on Navajo's end, the Achievement Program is doing well according to their intent or goal...on ASU's end, I don't think it accomplished any goals because ASU didn't realize what they were getting into..."
- "I think the early numbers show that it was definitely an improvement."
- "I think it's moving away from the original intent somewhat. I think people are getting caught up in the process of the system..."
- "I think it's gone beyond it...so, I think its success had proven itself in that it has been marketed to other tribes..."
- "I believe that each side got what they were looking for..."

- **“I think it’s right on. As a matter of fact, I think we’ve grown beyond the original intent and that there are other things now just as important as retention.”**

Three factors, which contributed to achieving the original intent of the policy through implementation, were cited. First, interviewees identified more resource availability for American Indian/Alaskan Native students at ASU than in previous years. These resources were described as necessary to support policy implementation, the growing number of American Indian/Alaskan Native students at ASU, and more social activity and cultural awareness. One-on-one relationships between students and staff who understand their perspective and background were identified as influential. Additionally, the partnership between ASU and the Navajo Nation modeled by the ASU President on his trips to Window Rock to meet with tribal officials and high school counselors also were noted as a contributing factor.

Supporting evidence from interview transcripts was as follows:

- **“I really think that people involved in servicing Native American students have to have it in their heart to do it...the sincerity and the passion to help Native students...to understand their perspectives and their backgrounds...”**
- **“I think it was important for the university to adapt to the students and not the other way around.”**
- **“...just the fact that there are more Native American student resources available to the students here at ASU, that has grown over the past ten years...the establishment of the American Indian Institute...Indian Studies...respective colleges have established specific programs to address those students...”**

- "...another contributing factor was the growing number of American Indian students attending ASU reached over 1,000 this academic year...the population has almost tripled in the ten years...more social activity and cultural awareness..."
2. Overall program effects. In addition to the increased persistence rates for Navajo first-year students, several other program effects were noted. For the most part, these effects were described as positive, producing more well-rounded students and support through one-on-one relationships and the development of friendships as a result of the cohort model. Other positive effects were the establishment of a model program for other tribes and universities, the trust and partnerships developed between the Navajo Nation and ASU, and a broadened understanding and awareness of Indian Education and American Indian/Alaskan Native student needs.

Supporting evidence from interview transcripts was as follows:

- "I think the effects of the program have been positive for the most part and any negative aspects, I believe, have been able to be worked out..."
- "The effects of the program are the improved retention rates of Native American students."
- "Obviously, persistence was an effect. I think it made ASU more aware of what they needed to commit for resources."
- "It produced higher retention rates."
- "I think that it definitely has a great effect on ASU...other institutions want to start similar programs for their Native students."

- **“I think it was positive. I think it built a bridge between ASU and the Navajo Nation and obviously increased the Navajo Nation’s trust, perhaps, in the university and its willingness to help their students.”**
- **“In the long term, I think the results are very positive regardless of some of the problems.”**
- **“I think that it probably produced far more well-rounded students at the Native American level that it has overall with the retention problems that they’ve had.”**
- **“I think that it really helped these students have an edge, even though it was a forced edge. They had one...”**
- **“Both positive and negative from the student’s viewpoint...some will say it’s good and that it helped them...some will say it takes away time from them doing other things...that they’re being forced to do something that they really don’t want to do.”**
- **“It’s dramatically changed what we’re doing...we had to completely shed all of our rules and processes...”**
- **“The Native American Achievement Program was an answer to much of the problems that we had in the past.”**
- **“I think about the friendships that I developed.”**
- **“I think it has served as an example to others...I think we’ve broadened an understanding that if you really pay attention to what you need, that students really can succeed in this environment.”**

**3. Politics and bureaucracy. Both the Navajo Nation and ASU policy makers spoke from different perspectives in discussing the effects of politics and bureaucracy upon the degree of implementation. The Navajo Nation revealed more politics in the**

development of the intergovernmental agreement, rather than in the implementation of the Native American Achievement Program. The politics and bureaucracy with the tribe was in regard to gaining approval from the Education Committee and the Tribal Council prior to the point of implementation. After the intergovernmental agreement was reached, the tribe transferred the responsibility of implementation to the university and allowed ASU to develop and implement the program that matched the policy's expectations.

Many interviewees stated that the bureaucracy at ASU was addressed during the policy development phase and was not a factor when it came time for the implementation of the program. On the other hand, some issues remained related to bureaucracy. Namely space availability and staffing were identified as ongoing challenges.

Supporting evidence from interview transcripts was as follows:

- "If anything is going to stifle the achievement of the students and to have a negative impact on what's happening, it's going to be the bureaucracy."
- "Just like anything else, of course, politics had an influence and affects the whole situation as well. The elected officials want certain initiatives and other workers have to make sure it goes through. So, yes, politics played a big role."
- "Well, the politics from our end was to get it by the Education Committee and the Administration."
- "Basically, everything in the contract is at ASU and the bureaucracy now is at ASU."

- “I see it happening but I don’t feel comfortable talking about it...there’s never a perfect model...my role is not to argue about the politics of the program...my role is to serve the young person...”
- “I don’t think it was a problem at all because both parties went into it so wanting this to happen.”
- “Actually, I think Bob pretty much removed most of the bureaucracy. We were the bureaucrats and he included us in the process.”
- “I think that the university bureaucratic system in regard to implementation, well, they should be glad that this program did as well as it did...”
- “Bureaucratically, the program has been moved around the institution...it’s been a struggle.”
- “Quite frankly, we didn’t give a lot of thought to policy and we didn’t give a lot of thought to protocol. What we wanted to do was make a difference.”
- “Policy wise, I think more policy consideration had to be addressed by Navajo...I think they had to really make some accommodations to what most of the time were really rigid standards of policies and procedures that the tribe has implemented to all its students.”

4. Evidence of change. Persistence rates were considered to be the primary evidence of change, both from the tribe and university’s perspective. In addition, other national standards of success, namely grade point averages and earned hours, were identified as indications of the effectiveness of the policy. Although these national standards were identified as evidence of change, several objections to these standards being applied to American Indian/Alaskan Native students were voiced. The objections related to the

exclusion of social and personal advances these first-year Navajo students may experience as a result of program participation. Furthermore, student achievement levels at the time of enrollment were not assessed in any way to support the use of national standards as an appropriate measurement of change.

Supporting evidence from interview transcripts was as follows:

- “The GPA ranking of each individual student and collectively...as well as the number of completed hours...those are really the two major areas that the university would think are the bottom line.”
- “Retention rates. Graduation rates. Pure and simple. Nothing else. They don’t look at the student. All they want to know is if our numbers beat other schools.”
- “Based on the intergovernmental agreement, the evidence for change ultimately would be the increase in the number of Navajo students who complete a baccalaureate degree. An interim measure would an increase in the retention rate of students...also, the evidence for change would include consistent funding for students from year to year.”
- “That’s a weak area of the program overall...we don’t know what the student levels are when they come in.”
- “I think what they’re using is retention numbers...I’m not sure what group they’re comparing to...”

5. **Availability of resources.** According to Navajo Nation policy makers, the availability of funds and resources for the education of their youth was a tribal priority. The tribe was committed to making the financial resources available upfront and believed strongly that necessary funds would always be there for its students. The tribe



also noted their constant advisement to the university administration regarding the commitment of resources.

The university, however, received mixed reviews on their commitment to both financial resources and personnel staffing. Some felt that ASU responded adequately, and that the resource allocation from the Vice President's Office was fair. Others felt that ASU needed to pay more attention to the need for resources. Both the tribe and the university agreed that there would be a continuous need for staff and personnel related resources.

Supporting evidence from interview transcripts was as follows:

- "I think the resources from the Navajo Nation will always be there...the Navajo tribe can not ignore its students and its youth. Resource and commitment from the university is something that we have to keep advising university officials that they should keep and continue..."
- "Funds were made available and the whole amount was disbursed to the ASU financial aid office and from there distributed to the students."
- "From our standpoint (Navajo Nation), it's a priority."
- "That's always something that's a challenge. If it's not in the budget, then the question was whether it was important enough to do."
- "In terms of the funding and the resources, it's critical that the (university) departments involved acknowledge the resources that go into supporting this program. From the tribe's perspective, I hope that they continue their funding as well...the resources in terms of graduate assistants are not enough."

- “In terms of funds and budget, we got a fair amount of what we asked for...as far as resources, it needs more resources and more attention...well, I guess a lot of attention, but it needs resources, especially human resources.”
- “Right now in terms of resources, it doesn’t seem that enough is fronted by the institution.”
- “Resources were allocated through the Vice-President’s office.”
- “To date, it has been positive. The university has responded adequately...”

All supporting evidence was extracted directly from the tape recorded interviews. Interviewees were given the opportunity to review and approve their own individual transcripts prior to the data coding process.

## CHAPTER V

### Conceptual Implications and Discussion of the Study

This study sought to address the policy process involved in an intergovernmental agreement between Arizona State University and the Navajo Nation. Using the model of the polis, the analysis of the political community began with how the policy process intersected with the conceptual framework using the community as the unit of analysis. This had distinct differences with that of the market model, which operated from an individual unit of analysis (see Table 1). Data gathered through the interviews were coded according to the concepts of society in the polis model. This was followed by an examination of the decision making process in the polis related to goals, problems, and solutions of the intergovernmental agreement.

#### Analysis of the Concepts of Society

The concepts of society were arranged accorded to different units of analyses. All units were coded using the values and characteristics of the polis model rather than the market-based model of society. The units of analyses were as follows:

- (1) Motivations
- (2) Source of people's ideas and preferences
- (3) Nature of collective activity
- (4) Criteria for individual decision making
- (5) Building blocks of social action
- (6) Nature of information
- (7) How things work, and

## **(8) Sources of change**

**Motivations.** Motivations in the polis model were defined as public interest, whether it was individual interests held in common, individual goals for the community, goals in which there was a consensus or goals that were good for a community as a whole.

Two dominant areas of motivation surfaced upon analysis and coding of the interview transcripts. These areas were the retention of American Indian/Alaskan Native students, and the issue of accountability.

1. **Retention of American Indian/Alaskan Native students.** This motivation related to several areas. First, the Navajo Nation had an interest in improving the retention rates of their first year students. Second, the history of Navajo student's persistence at ASU was not acceptable any longer. And third, there was a need for a return on the financial investment that they were making with their students. ASU shared the motivation of improving retention rates of American Indian/Alaskan Native students, but not necessarily Navajo students in particular. ASU also had an interest in recruiting more Native American/Alaskan Native students, inclusive of Navajo students.

Supporting evidence from interview transcripts was as follows:

- **"I think the result of the retention of freshman and the end result of getting a baccalaureate degree was very poor. Historically, only about half of the freshman became sophomores. That's how large the dropout was. We wanted to focus on activities for the freshman year to see if they could persist to the sophomore year."**

- “They were investing tremendous resources in their students....and unfortunately more than half of these students were, by Thanksgiving, back on the reservation with the money given to them by the Navajo Nation in their pocket with no intention of returning to the university...the council had begun to have discussions with the Tribal Education Department about how they could possibly do this in a better way.”
  - “They were dissatisfied with how much money the Nation had been spending to support students and the number of students who didn’t come back successfully to the reservation completing their degree.”
2. **Accountability.** The motivation of accountability came predominantly from the Navajo Nation, both for their own students as well as for the ASU administration. Navajo Nation policy makers looked for accountability from their students by their commitment to participate in retention programs and involvement with campus life at ASU. This spurred the need for the student contract. The motivation for accountability from ASU took the form of the delivery of services, and responsiveness to the needs of the Navajo students who were enrolling at ASU. A component of this was the issue of financial resources. More specifically, ASU was perceived as accepting tribal scholarships and not being accountable to the Navajo Nation for what was being done with the funds.

Supporting evidence from interview transcripts was as follows:

- “I think from the Navajo Nation’s perspective, they were seeing their money being wasted...it was about time to start figuring out how the institutions can serve students better.”

- “For students to participate in Campus Match...attend a Window Rock orientation and an on campus orientation...attend workshops...visit with their instructors and advisors...meet with NAAP staff...I think those are the actual requirements...”
- “In return for funding, students would be required to be involved with NAAP and attend various activities...I know that they included study skills, reading skills, some counseling issues, thing like that...personal issues.”

Source of people’s ideas and preferences.

As mentioned by Stone (1997), the gap between self-interest and public interest was bridged in the polis by such forces as influence, cooperation, and loyalty.

Influence, especially, was one of the central elements in politics and policy making.

The internal and external influences within the communities, both tribal and campus, are discussed below.

1. Leadership. The internal influences within the university were from two main areas: the President’s Office and the Vice President’s Office in Student Affairs. The influences from the President’s Office included the university President himself through his ongoing and public rapport and relationship with the Navajo Nation for over a decade. Furthermore, the ASU President appointed a special advisor for American Indian Affairs, another internal influence, as a member of the high-level university administration. This appointment, in addition to the visible signs of support and understanding, was interpreted as a strong university commitment. This influence was also apparent to university personnel (internal), and to tribal administrators, policy makers, and the Navajo community (external).

This internal influence provided a direct link to the university President. Furthermore, this influence was transported both internally (campus) and externally (American Indian/Alaskan Native communities). The influence was both real (decision making capacity) yet also symbolic at the same time regarding ASU's commitment to the academic success of American Indian/Alaskan Native students.

The final internal influence at the university was the Vice President of Student Affairs who worked with the relevant departments at ASU, and managed the consensus prior to the policy development stage of the intergovernmental agreement. This person was often referred to as the "broker" of the agreement and the one responsible for removing the bureaucracy of the process for university personnel. The reallocation of resources began and ended with this influential position and impacted the external influence to the Navajo Nation as well.

Supporting evidence from interview transcripts was as follows:

- "...all the characters that you would ever want were all in place, Bob Soza...Lattie Coor...Peterson Zah..."
- "Whenever Peterson Zah asks to do so, we go up and meet with tribal officials and speak to high school counselors and participate in their programs."
- "It might have happened still, but I don't think it could've received as much support if Mr. Zah wasn't there."
- "I guess the last one is one of a commitment from the university that had to go through the president."

The tribal leadership at the time was another influential factor in the policy development process. The Navajo Nation operated from the same policies for the

past 25 years, and spent 160 million dollars on tribal scholarships with only 6000 baccalaureate degrees as an end product. The Tribal Education Director felt full support from the Tribal Education Committee, which was an influential factor as the policy progressed through the signature authorization sheet (SAS) process. Given that tribal councils were often changing and considerably fluid, this influence and support was key to the policy process. External influence for the Navajo Nation's administration in this decision making was the appointment of a current tribal member and former tribal president as the special advisor to the ASU President.

Supporting evidence from interview transcripts was as follows:

- "In terms of the idea, it originated because of the success that we (Tribal Education Committee) were seeking for our students who were funded by the scholarship program."
  - "From the tribal side, we had Anita Tsinnajinnie and all the tribal officials who were there..."
  - "With the previous administration, we were given carte blanche and told to do what we needed to do."
2. History. The history of tribal money spent and the disproportionate number of baccalaureate degrees earned was also a considerable influence on the policy development process, particularly in the need for such an agreement. The Navajo Nation policy makers were interested in their community's financial resources and getting a return on their investment through the disbursement of scholarship money for their students.



Supporting evidence from interview transcripts was as follows:

- “I noticed the grades from the three main universities were always horrible.”
- “We didn’t have a large number of students continuing past the freshman year.”
- “Well, the Navajo Nation is making a big investment in their students...”

Nature of collective activity.

In the polis, cooperation is the norm and essential to power. The nature of collective activity involves seeking allies and is typically described as coalition, alliance, union, party, or support (Stone, 1997). In the intergovernmental agreement, cooperation was demonstrated through consensus building prior to the policy development, and through the approach of the university in creating the consensus itself.

Throughout the study, both the university and the tribe wanted and believed that the partnership would provide tangible benefits for each party. The support of high level ASU administration was noted as contributing to the amount and type of cooperation that was achieved between the university departments and with the Navajo Nation.

A factor in the cooperation between ASU departments was the identification of American Indian/Alaskan Native staff members and other personnel who were interested in working with this student population. Existing alliances, specifically in the areas of financial aid, enhanced the overall cooperation level. Departments experienced feelings of inclusion and involvement. This contributed to both Academic Affairs and Student Affairs working together in the development of the programmatic components of the intergovernmental agreement. Additional approaches that demonstrated

cooperation in collective activity included ASU policymakers traveling to Window Rock to engage in conversations with Navajo Nation policymakers, and the willingness of both parties to do things differently to address the persistence of Navajo students.

Supporting evidence from interview transcripts was as follows:

- “I think both parties were intent on having Navajo students come and stay.”
- “ASU and the Navajo Nation went into it with the assumption that it was going to be a team effort.”
- “From the university side, it had to involve the actual departments that would deliver those services and they had to plan again to cooperate with the Navajo Nation’s Education Committee to design a program.”
- “We traveled to the Navajo Nation...met with them for a day, basically just to say, Yes, we agree to do this.”

#### Criteria for individual decision-making.

The history of relationships, the presumption of loyalty and the idea of future obligations often characterized individual decision-making in the polis. Political alliances were thought to bind over time and breaking these alliances was considered risky and not taken lightly by those involved (Stone, 1997).

The respective administrations, both ASU’s and the Navajo Nation’s, played significant roles in influencing the criteria for individual decision-making used in developing the intergovernmental agreement. The history of their relationship to student persistence and needs in addition to rapport between the financial aid offices provided the data for this analysis.

The university's history with the Navajo Nation involved one of low student persistence at the institution, and the perception that ASU accepted a substantial amount of tribal scholarship money on an annual basis without meeting student needs. On the other hand, the history established by the Navajo Nation with the university (as with other American Indian/Alaskan Native tribes), was one of unpredictable and inconsistent funding for students receiving tribal scholarships.

Another pertinent example of the historical relationship was between the Navajo Nation Scholarship Office and the ASU Office of Student Financial Aid. Both entities identified a positive work relationship with one another and believed that it contributed to the opportunity for the development of a partnership. These primary historical influences surfaced as main criteria in the individual decision-making in both the origins of the policy and its development. This also related to the presumption of loyalty as a criterion in policy decision-making since it served as the only real and ongoing link between the tribe and the university. Trust was already formed and previous conversations that addressed student financial needs were taking place.

Supporting evidence from interview transcripts was as follows:

- "The majority of students were only making it through the first semester and weren't returning for the second semester."
- "We were always looking for ways to improve the predictability and consistency of funding."

- “Whoever had that responsibility in the Financial Aid Office developed a very close relationship with the people of the Navajo Nation...that was critical to how this would work.”

Additional presumptions of loyalty on behalf of the Navajo Nation were tied to administrative positions, namely ASU policy makers. The ASU President was a recognizable figure within the Navajo Nation and traveled to tribal headquarters in Window Rock on numerous occasions to meet with policymakers, community members, high school counselors, families and students.

A dual presumption of loyalty was identified regarding the position of the Special Advisor on American Indian Affairs. The campus community and the tribal community both regarded this position as one that had loyalty to and for ASU and the Navajo Nation, based upon past history as a tribal chairman and current history as an university presidential appointee. Both communities had confidence that each side was well represented and appropriately understood because of the nature of this position.

Presumptions of loyalty within ASU also originated through the Office of the Vice President for Student Affairs, given that one of the key policymakers was identified in this area as well. ASU staff and departments who participated in the policy development and implementation of the intergovernmental agreement felt their needs were taken into consideration and relied on key policymakers to make appropriate decisions.

Supporting evidence from interview transcripts was as follows:

- “We have people like Lattie Coor who understands the problem and supports us 100%...”

- “Peterson Zah was able to cut through the red tape, reason with people, and bring about some major changes in our working relationship with the Navajo Nation.”
- “The agreement was in each part something that someone had already agreed to do...Bob brought us along in creating the agreement...I guess I also assumed that he had university support...”

Building blocks of social action.

According to Stone, (1997), groups and organizations, rather than individuals, are the building blocks of the polis. Policy decisions are made by people in social roles and organizations who, when addressing people in social roles and organizations, use procedures that have been collectively approved (Stone, pp. 26-27). This concept of the polis was more widely evident in the Navajo Nation community than in the ASU community.

The process of the Signature Authorization Sheet (SAS) used by the Navajo Nation in the development of the intergovernmental agreement was one that strongly resembled the policy process in the polis. The SAS process was part of a code within the Navajo Nation government where a developed resolution has to be reviewed by different departments.

According to Stone (1997), groups were important in three ways. First, people belonged to institutions and organizations with opinions that are shaped by the organization itself. In this case, the groups that the people belonged to that were relevant to the policy process were the Department of Justice, the Legislative Council, the President's Office, the Finance Department, the Education Committee, and the Intergovernmental Agreement Committee.

Secondly, also identifiable in the polis were groups formed to achieve specific public purposes. The content for the intergovernmental agreement of this study was developed within the Division of Education. However, the administrative process began with the Department of Justice who was responsible for making sure that everything indicated in the resolution was appropriate. Next, the Legislative Council reviewed the resolution and checked it against other legislative items such as statutes and codes. The President's Office further reviewed the resolution and decided if it was within the stated mission and within the initiative the Navajo Nation was interested in implementing. Then, the Finance Department made the determination if the resolution was within the right amount of dollars. The Education Committee discussed the content of the resolution and voted on moving it to the Intergovernmental Agreement Committee. This committee was comprised of all the chairpersons of the other committees of the Navajo Nation Council.

Thirdly, Stone (1997) suggests that groups in the polis were important as they represented collective decision-making. This again was demonstrated through the SAS process with the Navajo Nation, with each committee making decisions as public bodies and through formal procedures.

Supporting evidence from interview transcripts was as follows:

- “There was more a view from the Navajo side because any type of intergovernmental agreement had to go before reviews of the respective committees.”
- “When the council is not in session, then the Intergovernmental Relations Committee is enacted...it went that far...”

- “The drafts were put together and went through their (Navajo Nation) process up there...”

Conversely, the policy development of the intergovernmental agreement at the university level was more reminiscent of the market model, with a small number of people involved in the decision-making process. Two primary actors were identified as the building blocks of social action; one as a broker between the university and tribal departments, and one as a liaison between the Navajo Nation and ASU policymakers. The policy implementation, however, reflected more of a team approach described in the polis.

Supporting evidence from interview transcripts was as follows:

- “There was a pretty small group of people that worked on this. I’m not sure how big a part anyone played besides Bob and Peterson Zah.”
- “It didn’t have as many review procedures before it was sent to the Arizona Board of Regents.”
- “It was very easy to implement something that you helped create.”
- “We never really met as a group.”

#### Nature of information.

The individual understandings of the origin of the intergovernmental agreement were as varied as the people interviewed for this case study. Stone (1997) discussed the incomplete nature of information in the polis as ambiguous, strategically manipulated, and highly open to individual interpretation.

For the ASU staff members involved and affected by the intergovernmental agreement, information on policy requirements, selection, protocol, and goals were all

gained through second-hand knowledge or subject to personal thoughts on the matter. Various interpretations were noted on overall policy requirements, yet staff members were well versed in their own areas of service delivery as they related to the agreement. Although first-hand knowledge was limited, most of the interviewees had thoughts that were strikingly parallel to the actual data collected from both the tribal and university policymakers. Protocol was only identifiable from the Navajo Nation's standpoint, both from university and tribal informants.

Students also expressed confusion over the requirements of the intergovernmental agreement and cited the lack of information regarding the student contract prior to enrollment at the institution. Unlike the market model, information on the intergovernmental agreement was not regarded as being accurate, complete, or fully available to both staff and students involved in the process. However, information in the polis was different than information in the market because it depended so much on interpretation (Stone, 1997, p.28).

Supporting evidence from interview transcripts was as follows:

- “What I know about the agreement, I haven't seen it personally to see exactly what the content is, but I know it exists because of what ASU and Navajo are saying...”
- “About the actual agreement, I can't tell you very much because I don't know the nuts and bolts of it...”
- “In terms of the formal parts of the agreement, I'm not as familiar with that. My role has been more of the practical application...”
- “So, what I know of the agreement is second-hand, through others...”



- “We’re still trying to figure out how to efficiently inform students because it’s so important that they know what they’re getting into...”
- “...there needed to be some clarification so that the students understood what they were going through, that this was a contract, and that these were the requirements. I don’t think they understood that.”
- “I only know what Peterson Zah and Bob Soza have talked about...”
- “I just heard it talked about in general...how it started.”

#### How things work.

Laws of passion that govern the polis, as compared to laws of matter in the market model, are demonstrated through the importance of precedence and symbolism. These laws discuss how political resources are enhanced through use, how the whole is greater than the sum of its parts, and to how the other speaks to things meaning more than one thing at once (Stone, 1997, p.31).

Precedence was identified as a factor in the development of the intergovernmental agreement through prior university and tribal arrangements. Such arrangements were evidenced in the interviews in addition to the historical documents used for data analysis. These arrangements took the form of degree requirements and educational offerings for purposes of conducting the Navajo School Administrators Program, the Navajo Law Program, the Navajo Nation Masters of Education, and the Navajo Summer Institute.

Supporting evidence from interview transcripts was as follows:

- “We, in fact, actually had a Master of Social Work degree that we were offering at Navajo...we’ve also had some very specific arrangements with Diné College in

Tsaille where Navajo as a second language at ASU is permitted...the tests are evaluated by Diné College faculty.”

- “At ASU, we did the School Administrator’s Program. That was at the graduate level and was very successful.”
- “They (Navajo) had some pretty good success with ASU on some very small projects.”

The concept of the whole as greater than the sum of its parts in the polis had greater impact on the Navajo Nation than on ASU. For the most part, ASU staff regarded the intergovernmental agreement as just that; an agreement between the Navajo Nation and ASU designed to improve the persistence rates at the institution, operating off more of a market-model frame of thought. According to Stone (1997, p.31), human actions change their meaning and impact when done in concert or quantity. For the Navajo Nation, this was demonstrated through the numerous visits made to the reservation by the ASU President on different occasions. The visits became a symbolic demonstration of the university’s commitment to the Navajo Community, producing more than one meaning at a single time.

#### Sources of change.

As described by Stone (1997, p.32), change occurs through the interaction of mutually defined ideas and alliances, whereas in the market-model, exchange and the desire to improve one’s own welfare drove change. The combination of ideas and persuasions contributed to the power in policy making and, in this case study, the intergovernmental agreement between the Navajo Nation and ASU in particular.

There were three main areas that represented sources of change in the development of the intergovernmental agreement in addition to its implementation. The first was the understanding of flexibility and how this facilitated change within both ASU and the Navajo Nation. ASU demonstrated an interest to do things differently and agreed to evolve and change to meet the needs of the students. The university saw the value in what they considered to be meeting the tribe half way, instead of expecting the tribal policy makers to search out the university. The Navajo Nation also demonstrated flexibility in their procedures and funding policies that had been established and followed for decades. Financial aid officers became contract analysts and there was an understanding between the tribe and the university that there wasn't a perfect model and that the intergovernmental agreement would be ever changing to continually meet student needs.

Supporting evidence from interview transcripts was as follows:

- "We had to change what we were doing in the past."
- "The universities have to meet the Indian tribes half way. The Indian tribes then also have to take a step toward the university."
- "We (Navajo) said we would do whatever is necessary to accomplish the results. And we've done that."
- "The Navajo Nation has shown tremendous flexibility...there's a working understanding that it's for the good of the students."
- "The people who were involved with this had to think, this has never been done before. Let's be flexible to how this can be done..."

The area of support was also a source of change in the development of the intergovernmental agreement described as the right people in the right place at the right time. Administratively, the support came from the top, namely the President of the university, the Special Advisor to the President on American Indian Affairs, and through a representative from the Vice President's Office in Student Affairs. There was a single point of contact that was established which contributed to the level of support. Staff members worked well with the Navajo Nation and its students through one-on-one relationships that also contributed to the overall support structure of the intergovernmental agreement. Support from the Navajo Nation was also identified through the Education Committee and Tribal Council.

Supporting evidence from interview transcripts was as follows:

- "If Lattie Coor didn't go up (Window Rock)...it would've been a different story."
- "I doubt that we would have been able to pull this off without Mr. Zah's help."
- "The one-on-one relationship that we build with the student really helps."
- "It's a cultural thing... the one-on-one is really the key."

Creativity was a significant source of change from both the perspectives of the university and the tribe. Informal meetings between ASU and Navajo Nation policy makers set the stage for new ideas and strategies to address the issue of persistence for Navajo students. The contract approach enabled the Navajo Nation to formalize concerns and to promote the use of the cohort model. Both the university and the tribe believed that they were making a difference proactively and developed a model of success for their students. A recommendation to ASU policy makers from the Navajo Nation was, "Don't be bureaucratic, be creative with your program."

Supporting evidence from interview transcripts was as follows:

- “We wanted to create a cohort model from the very beginning...students were more successful in a cohort environment...”
- “I think that they just had to try something new.”
- “I think it was a bold move, a step in the right direction.”
- “I think it was a matter of, if it’s not there then let’s create it.”
- “The one-on-one interaction, I think, is the main foundation and strength of the program... what holds it together.”

### Analysis of Goals

In the polis model, goals are described as rational attempts to attain objectives. In this case study, the goals of the policy makers were identified as attempts to improve and increase persistence rates, service delivery and support, graduation rates, and the enrollment of Native American/Alaskan Native students. These goals were examined according to the following values of equity, efficiency, security, and liberty as defined by Stone (1997).

Concept of equity. Table 2 demonstrated three dimensions of equity, namely the recipients, the items to be distributed, and the processes of distribution. The recipient dimension was characterized by three main issues, membership, rank-based distribution, and group-based distribution. There were three main questions answered in this analysis: (1) Who were the recipients and what were the many ways of defining them? (2) What was being distributed and what were the many ways of defining them? (3) What were the social processes by which distribution was determined? (Stone, p.52)

## RECIPIENT DIMENSION

Membership was readily identifiable as an issue in this case study. Those who counted as a member of the class of recipients were tribally enrolled first-year Navajo students who were eligible for financial aid and who had applied and been accepted to ASU. These boundaries defined the membership of those students who this policy was intended to serve.

Supporting evidence from interview transcripts was as follows:

- “If they received funding, they really didn’t have a choice. Both participate in the program and get funding, or not get the funding.”
- “First time freshman Navajo students...”
- “This program was intended to serve Navajo students who are on scholarship from their tribe.”

Rank-based distribution was not an evident issue for the recipients of intergovernmental agreement. Students who were in need of developmental coursework were still included in the membership; therefore the idea of academic rank and individual merit was not used to divide people into groups.

Supporting evidence from interview transcripts was as follows:

- “They all have to meet university and financial aid requirements too, in addition, to Navajo requirements.”
- “We had developmental students...we had regular students.”
- “The end result is that we have something now that works with both the better students and the regular, more marginal students.”

Group-based distribution had a similar influence as membership, since all those who shared the membership criterion were identified as a cohort group to participate in the intergovernmental agreement. This group-based distribution outweighed individual characteristics in determining who had the opportunity to participate in the Native American Achievement Program. As described in Stone (1997), group-based distributions assigned people to groups on the basis of simple demographic criteria and tended to follow major cleavages in society such as divisions of ethnicity, race, gender, or religion.

Supporting evidence from interview transcripts was as follows:

- "...concentrated on the Navajo students...looking at how a campus match cluster could be created for this population of students."
- "With the cohort model, we wanted to tie in certain activities throughout the whole academic term."
- "So they give a whole check for the whole year to ASU so we can put the students on the disbursement plan for the tribal scholarships."
- "It provided for a cohort of students up front."
- "The only way we could see it working was to have the students go as a cohort."

#### ITEM DIMENSION

The item to be distributed, tribal scholarships, had its boundaries redefined through the requirement of student participation in the Native American Achievement Program. Disbursement became part of a much larger process and was expanded to include numerous requirements.

Supporting evidence from interview transcripts was as follows:

- "...the reasons why students didn't succeed in college were the ones we wanted to eliminate. One was financial aid...what we did was send them money ahead of time...we wanted to encourage them by having multiple disbursements...so we could key in on certain activities for them to do..."
- "The real catch to the agreement was that for students to receive scholarship money, they had to sign an agreement saying that they will participate in the Native American Achievement Program."
- "The idea that if the Navajo Nation awards a student Navajo money to come to ASU, that students would be required by the scholarship to participate in a set of programs."

The value of the item to individual students, however, did not necessarily change. In fact, if it did change, it may have lost value since this membership or cohort of students was guaranteed funding for their first year. In comparison, other students were still required to go through the standard application process.

Supporting evidence from interview transcripts was as follows:

- "Funds were made available for incoming students with a flat rate of \$2000 per semester."
- "They knew by June or the later part of May that they were going to have money this coming fall. If you go through the normal process, sometimes you get it and sometimes you don't. It depends what goes on..."



## PROCESS DIMENSION

The social processes, which determined the distribution of the tribal scholarships, was reflected through one's political participation (i.e., tribal membership) more so than through a statistical chance (lottery process) or starting resources (competition process). As enrolled members of a sovereign nation, each of these students' eligibility and subsequent opportunity to be a recipient was related to their status as a tribal member.

Concepts of efficiency. Table 3 demonstrated two dimensions of efficiency, namely output and input. The output dimension was characterized by who determined the correct output for a goal, how multiple objectives were valued and compared, and how different constituencies benefited from different objectives. The input dimension was characterized by how inputs were counted when also outputs, how many benefits from inputs were counted, and how unlimited opportunity costs of resources were counted.

## OUTPUT DIMENSION

The key actors of ASU and the Navajo Nation were responsible for the determination of the correct output as identified in this case study. Other factors that determined what the correct outputs were for the intergovernmental agreement were related to protocol, consensus, levels of authority, and contending parties.

Supporting evidence from interview transcripts was as follows:

- "Mr. Zah, when he first came here...was charged to do several things by the president. One was to recruit Native American students, and the other was to retain them."

- “Again, if it was good for the students and if we could advance our own issues it was good for the office, which was ultimately good for the student.”
- “Everybody went to the table with the same mission in mind, even though they came from different perspectives...”

The comparison and value of multiple objectives were identified in the intergovernmental agreement through the rationale and intent of the university and tribal policy makers.

Supporting evidence from interview transcripts was as follows:

- “I think Navajo wanted to find a way to save them some money and serve the students better. I do think they have an interest in serving students better and I think ASU had an interest in serving students better.”

Benefits to different groups were captured in the accomplishment of goals and policy effects of the intergovernmental agreement.

Supporting evidence from interview transcripts was as follows:

- “Then, we could have ASU mandate certain things (as the administrators of the scholarship money) to the students and the Navajo Nation could also mandate certain things because they are the providers of the resources to the students.”
- “We worked it out in such a way where both entities were able to achieve the goals of the agreement which was for the students to maintain good grades and the students would be able to persist better.”
- “It was like everyone was getting something out of it.”

## INPUT DIMENSION

The counting of inputs that were simultaneously outputs were described using the identification of requirements for the intergovernmental agreement.

Supporting evidence from interview transcripts was as follows:

- “Clearly, the university had an agenda of retention. We had sort of a subagenda of making sure that students had enough money to continue their study within a semester and from year to year. We saw this as an opportunity to secure both.”

Deciding which outputs of the intergovernmental agreement to count were gained through examination of the policy goals, assumptions, and evidence of change.

Supporting evidence from interview transcripts was as follows:

- “...the bottom line, I guess from the tribe’s perspective, would be 48 hours, earned hours...and a GPA of no less than 2.5 to qualify them for continuance of Navajo scholarships.”
- “The number one goal would be to increase retention.”

The unlimited opportunity costs of resources used as inputs were not prevalent with the concept of efficiency in meeting the goals of the intergovernmental agreement. These opportunity costs were described as being overlooked by both ASU and the Navajo Nation when developing the policy.

Supporting evidence from interview transcripts was as follows:

- “...long range goals need to be incorporated into the intergovernmental agreement...the sense of community and giving back to the community.”
- “We can’t just focus on retention...we need to look at the academic achievement piece and how we can help students find a better fit.”

- “They don’t ask us what advances students made socially and humanly during the school year...they don’t look at that.”

Concepts of need. Table 4 demonstrates five dimensions of need, namely valuation of resources, standard of comparison, purposes of resources, time, and the unit of analysis. All dimensions served as alternative ways of conceptualizing needs in the polis.

### VALUATION OF RESOURCES

In assessing the needs related to the policy goals, both material use of resources and symbolic meanings were examined in the polis. According to Stone (1997, p.90), when the symbolic dimension of need is important, then security means protecting people’s identities as well as their existence.

The material use and the symbolic use of resources were identified as dimensions of needs when examining the development of the intergovernmental agreement.

Supporting evidence from interview transcripts was as follows:

- “The intergovernmental agreement was a way in which to try to have the university respond and be held accountable for the students that were coming to the institution, to the financial resources that the tribe was putting into their education.”
- “The reservation is in need of professionals; teachers, business people, attorneys, physicians, and nurses. For those reasons, we wanted the institutions of higher education to prepare our children...”

## STANDARD OF COMPARISON

The second dimension of need was described as direct versus instrumental, with instrumental need pertaining to what else was gained through the action (intergovernmental agreement) other than direct satisfaction. The development of the intergovernmental agreement cited both direct need (i.e., accountability and persistence) as well as instrumental need (i.e., relationships and return to the community).

Supporting evidence from interview transcripts was as follows:

- “The reason they wanted to do that was to keep the students in college more so than dropping out. That was the purpose of the contract.”
- “I think one of the things they certainly want to see is a higher success and retention rate.”
- “I think this program has helped students have a nice bond and a nice group that they’re very comfortable with.”
- “So their need was from more of a financial responsibility, accountability type of basis.”
- “It goes back to the initial need they had in terms of accountability of their resources...”
- “They had spent all this money and didn’t have people coming back to the reservation who were able to help them.”

## PURPOSE OF RESOURCES

Purposes of resources were identified according to absolute versus relative need. Absolute need was defined as a fixed, usually numerical point, whereas relative need was related to one’s place in the distribution. As described by Stone (1997, p. 91),

relative needs were typically defined in accordance with community standards, norms, and customs.

The concept of relative need was identified in the policy development between Arizona State University and the Navajo Nation through the use of both national and university standards.

Supporting evidence from interview transcripts was as follows:

- “I’ve seen graphs of success rates where the Asians and the Anglos were way up top, and then Hispanics and the African Americans, and then we would always be on the bottom.”
- “I think that at the time we were having discussions with Navajo, Native American freshman first time students could be as many as 25 percentage points below all other students in terms of retention during their first year.”
- “General ASU statistics show that students using campus services...tend to persist at a higher rate.”

#### TIME

Time, as the fourth dimension of need, focused on the protection of future needs as opposed to compensation for present or past lacks (Stone, 1997, p.94). Both protection and compensation were identified as points of consideration in the policy development process.

Supporting evidence from interview transcripts was as follows:

- “I wanted the parents, ASU, and the Navajo Nation to become closer and closer and to have these strong ties that we did not have in the past.”
- “There was really nothing in place for anybody to help these students as a whole.”

- “This was really the first time we were committed to work with the Native American community.”
- “They knew they needed trained professionals.”

#### UNIT OF ANALYSIS

The unit of analysis as the last identified dimension was characterized by physical or individual need versus communal need. Communal need as a goal of the intergovernmental agreement surfaced throughout this case study, while the consideration of physical or individual needs were often identified as lacking.

Supporting evidence from interview transcripts was as follows:

- “The way I see it, when you really come down to the student level, it was a situation where we as tribal leaders needed to respond to our constituencies, the students, their parents, and their families.”
- “In the Navajo culture, all of your activities revolve around the family affairs and family activities, whether it’s religious, educational, or just socializing... it all revolves around the family.”
- “...the demands put on them (Navajo Department of Education and Scholarship Office) by their council and the community.”
- “So you’re taking a kid from an unique environment and you’re making him do something that he’s not used to doing.”
- “We didn’t have a cultural component to begin with. All the other things, the social experience and the peers weren’t taken into consideration.”

Concepts of liberty. The dilemma of liberty surfaces in policy decisions around the question of when government can legitimately interfere with the choices and the

activities of citizens (Stone, 1997, p. 109). Table 5 demonstrates three dimensions of liberty, namely harms to individuals, harms to communities, and the curtailing of liberties.

Prior to the intergovernmental agreement, harms to individuals were described according to material harms (loss of tribal scholarship money), elevated risks of injury or loss (incompletion of bachelor degrees), amenity harms (availability and use of support services), emotional and psychological harms (racism on campus), and spiritual and moral harms (curriculum and program activities).

Supporting evidence from the interview transcripts was as follows:

- “They were taking money from these students, especially those on tribal scholarships, and not doing anything to be supportive and help students be successful.”
- “There were high casualties...a high dropout rate.”
- “Services were so limited and they didn’t really have anything at all. Really nothing for the Native American students.”
- “Whether we liked it or not, we still have a lot of racism up in the air. Maybe it’s because of the subtle attitudes on the part of the university, the faculty, and the personnel that the students felt when they enrolled.”
- “Snakes is the other thing. They are a really big taboo...we don’t study snakes or touch them or even dissect any toads...but you come here and you have to do it.”
- “We used standardized tools...we started last year with a value auction...I got rid of it because what it was proposing was that students had to buy into Eurocentric values...”



Because the polis is a community with some collective vision of public interest, the liberty of individuals is also limited by obligations to the community (Stone, 1997, p. 115). Harms to communities were identified as structural harms (students not completing degrees and going back to the reservation), accumulative harms (amount of scholarship money and the number of degrees earned), harm to a group that results from harm to an individual (institutional racism), and harms to the community caused by individual failure to take action (student success and persistence). These types of liberty issues pertained to questions of when the tribal government can legitimately interfere with individual liberty to maintain community order.

Supporting evidence from the interview transcripts was as follows:

- “We wanted them to come back as fully prepared to take on any kind of job responsibilities, because those are needed on the reservation.”
- “They talked about retention, student retention, and how much Navajo was investing and how much they were losing.”
- “When I interviewed the students on campus about why they were dropping out, it was because they were getting a lot of cold shoulders from ASU...here we are in the year 2000 and we still have that ugly word called racism in every corner.”
- “We needed to do something to take the lead in helping Native Americans make the transition to stay here and graduate.”

The curtailing of liberties occurred both within the tribal community and the campus community. The activities of the two entities that were identified as causing harm to the individual students in addition to the students as a whole were restructured. ASU and the Navajo Nation both bore the burden of change.

Supporting evidence from the interview transcripts was as follows:

- “This is what the kids need to do to get their money...”
- “Students would have to do certain pieces to get the money. The university’s part of it was the way they would administer the funds per the agreement.”
- “In order to get at least the first check, they have to meet the requirement of the program. And then, they have different requirements to get more disbursements. It’s like a carrot for students.”

Furthermore, Stone (1997) discussed the key point of liberty in the polis as a significant extent of an attribute of roles rather than of individuals.

### Analysis of Problems

In the polis model, problem definition was considered a strategic representation of the situation rather than just identifying goals and measuring the disparity.

Representations of a problem were therefore constructed to win the most people to one’s side and the most leverage over one’s opponent (Stone, 1997, p. 133). Policy problems were portrayed using symbols, numbers, causes, interests, and decisions.

Symbols. Stone (1997) described four aspects of symbolic representation that were especially important in the definition of policy problems. These aspects were narrative stories, synecdoches, metaphors, and ambiguity. Each of these was identified during the policy development process. Stories and metaphors surfaced more readily than the others did.

Supporting evidence from the interview transcripts was as follows:

- “They feel like they’re sending their family here, they’re not getting what they need, and they’re giving them all this money...if these kids are coming from the

reservation, they're coming to a large city really unprepared to deal with what happens at a large university in a large city."

- "I knew it was a problem because the students cashed their checks locally on the reservation and then spent some of their money, in many cases for legitimate reasons. By the time they enrolled at ASU, they were already financially behind to begin with."
- "To me, the problems that we face in higher education among the Native American people are like the Sahara Desert. ASU is going out to the Sahara Desert and pouring one cup of water out in the desert and hoping something will grow. That's what we're doing. Yes, for ASU we've achieved something but we need to be pouring buckets and barrels of water out in the desert."
- "He talked about the shepherd and his sheep. The shepherd knows that there is a lamb or a weaker sheep that needs his extra support, needs the food brought to them otherwise the rest of the sheep in the herd will keep that sheep from being successful. It is the shepherd who takes care of his sheep. And then he thanked them for being the shepherd for his people."
- "There's a word my mom talks about in Navajo that whenever you deal with the government or with the BIA, you never let go of your piece of paper. You hold it far enough for them to sign it but you never quite let go because it might get lost."
- "There weren't many people or programs focusing on the freshman year students to help them survive their first year."
- "The spirit of the agreement was to do what we can to help these students be successful."

Numbers. According to Stone (1997, p. 177), numbers in the polis were measures of human activities, made by human beings, and intended to influence human behavior. The numerical strategies used to define the problems identified in this case study were related to tribal scholarship disbursement and persistence rates.

Supporting evidence from the interview transcripts was as follows:

- “It was somewhere around a 49-50% retention of freshman students from year one to year two.”
- “As you know, nationally the average is about 56% for persistence from freshman to sophomore year.”
- “So, therefore they were spending their money on students that were coming back with credit hours, hopefully going to graduate, instead of giving all this money out and maybe 10% would come back with a degree.”
- “And not have them waste the \$2000 or \$4000 on the average that they give students whom don’t even make it through their first year at ASU.”

Causes. Stone (1997, p. 203) identified the ultimate test of political success of a causal story as whether it became the dominant belief and guiding assumption for policymakers. Furthermore, Stone stated that it was more likely to be successful if its proponents have visibility, access to the media and prominent positions; if it accords with widespread and deeply held cultural values; if it somehow captures or responds to a national mood; and if its implicit prescription entails no radical redistribution of power or wealth.

Supporting evidence from the interview transcripts was as follows:

- “It really revolved around the personal and cultural experiences and finding a way to connect their life at ASU with the life they knew in Navajo. That was the most important.”
- “The other problem was where the parents of the Indian kids were never really valued in a formal way.”
- “They talked about issues centering around transition and basic change from the rural community...”
- “The students face a greater temptation to use that money for other reasons...”
- “At no additional cost to the Navajo Nation, we would bring this about.”

Interests. The concepts of interest are related to the groups that have a stake in the issue or are affected by it (Stone, 1997, p. 210). For the purpose of analysis in this case study, interests were separated into subjective and objective categories.

Subjective interest were defined as those things that people believe affect them, whereas objective interests were defined as those effects that actually impinge on people (Stone, 1997, p. 211).

Supporting evidence from the interview transcripts was as follows:

- “The initial framework of the program was intended to have students be more engaged in their university experience during their first year, and that the university would be accountable to each individual student and try and meet each individual student’s needs.”

- "...to see if the tribe as an entity and the university as an entity could agree on a common denominator in terms of making it a lot easier for students to have access to scholarship services..."
- "Our agreement from the Navajo Nation is that we are going to send them our students, send them our children, and along with our children we would send them our money...to ensure they got the assistance."
- "This was because the education of our youth demanded that there be a change; demanded that we do things differently."

Decisions. Policy problems in the polis were characterized by how to make a decision that would attain given goals (Stone, 1997, p. 232). In this case study, several decision analysis strategies were used to define the problems. Such strategies included ambiguity, focus on specific parts of the causal change, and the portrayal of the decision making as the maximum social good.

Supporting evidence from the interview transcripts was as follows:

- "We began to explore with the Navajo Nation, ways that we could work with them in creating leverage...to get their students to participate in a set of programs that we already have strong data indications that basically say if students participate in these set of programs they have a greater opportunity to be more successful than students that don't."
- "We thought that a program such as this would help them get a little more attention."

- “We began to think about what the pieces were that were problematic and obviously these students needed some support. They needed financial, emotional, and academic support.”

### Analysis of Solutions

In the polis model, solutions were considered ongoing strategies for structuring relationships and coordinating behavior to achieve collective purposes (Stone, 1997, p. 259). Focus was on the forms of authority that government used to change behavior and policy. Identified strategies were inducements, rules, facts, rights, and powers.

Inducements. According to Stone (1997), the idea behind inducements was that knowledge of a threatened penalty or a promised reward motivated people to act differently than they might otherwise choose (p. 263). The inducements identified in this case study were the penalty of not receiving tribal funding for lack of participation in the Native American Achievement Program. The promise of reward included academic support and resources and the continuance of tribal funding.

Supporting evidence from the interview transcripts was as follows:

- “The idea of using financial aid as leverage to get students to participate in a set of programs is not new.”
- “Student agreements and contracts...that the students had to participate in the program and complete A, B, and C duties...counseling visitations, faculty visitations, advising visitation, utilization of some of the resources on campus, participating in a required college survival skills class, and the like...in the case of noncompliance by the students with any or all of the factors, withholding of their scholarship funds until arrangements are made to meet those requirements.”

- “The students had to follow through on their part in order to be able to get financial support that the tribe had sent to ASU.”

Rules. In the polis, formal rules are enforced and observed according to informal rules of thumb (Stone, 1997, p. 298). These rules were described as deriving from one’s own sense of social customs, peer norms, moral beliefs, and existing practices. Furthermore, rules of thumb must stay in the shadows to be effective (p. 301). Rational based rules as well as rules of thumb were identified in discussions about policy requirements.

Supporting evidence from the interview transcripts was as follows:

- “...If they decided not to go (to a workshop), they could talk to someone else and give them whatever their reasons were and be excused.”

Facts. Stone (1997, p. 310) described facts in the life of the polis as always under dispute, with the concept of persuasion used to manipulate others beliefs and preferences. In addition, real people with personal and institutional loyalties, cultural and social backgrounds, and enduring as well as more temporary interests (p. 312) created most information in the polis from a point of view.

Supporting evidence from the interview transcripts was as follows:

- “They had a discussion about their mutual concerns about Native student retention... a lot of the things led directly to what the literature said on Native attrition and retention rates.”
- “...the university sat here right in the middle of a metropolitan area expecting Indian Nations to come to them for too long. And it never happened. The Indian



Nations never came. The only way Indian Nations are going to have cooperation from all the entities is to have the universities make a step forward.”

Rights. In the polis, the concepts of rights often came from moral philosophy, media, other people, as well as official statements, which are open to interpretation. People who are seen as having more experience or knowledge in representing community rights also have more power. Rights are distinguished between legal and interpretative.

Because of the Navajo Nation disbursement of tribal funds to ASU, rights were identified in this case study as pertaining to student services and programs.

Supporting evidence from the interview transcripts was as follows:

- “...the Navajo Nation needed a legal entity, or rather a legal instrument, to incorporate it into their educational policies and procedures.”
- “...the legal counsels were the final parties to be involved in the wording of the actual agreement...to make sure it covered both legal departments and interpretations.”
- “In return, I think ASU expects a timely disbursements of the check, that lump sum check from Navajo.”

Powers. Policy solutions that involved the concepts of power included the restructuring of authority in order to solve problems (Stone, 1997, p. 352) Although it was not evident whether the “right people in the right place at the right time” was a result of the restructuring of authority, it was still worthwhile to note the powers involved in the policy development process.

Supporting evidence from the interview transcripts was as follows:

- “They had a very business-like need through their council, through their government, through their process.”
- “I think our ace in the hole in this thing was Peterson Zah...he gave the university almost an instant credibility, trust, and access that we didn’t have before.”

### Discussion

The analysis of the data using Stone’s (1997) model of the polis enabled the researcher to examine the community as the unit of analysis in policy making. This conceptual framework fit well with the study of tribal policy making in particular, as it recognized prominent characteristics of American Indian/Alaskan Native communities such as collective activity, membership, and history. The application of the polis model when studying the university as a community, however, did not come as easily. Although the university could be described as a campus community, organizationally, it operated similar to the market-based model of policy making. Exceptions were key actors and other personnel who were either American Indian/Alaskan Native or had some knowledge and understanding of Indian culture.

The consideration of existing structures, inclusive of financial, programmatic and personnel, all proved significant in the analysis of the intergovernmental agreement. The availability of these resources seemed to provide a foundation from which policy conversations began and subsequently contributed to the design and implementation of the Native American Achievement Program.

Relationships and their history were also evidenced as significant factors in the development of the intergovernmental agreement. This included established

relationships prior to the intergovernmental agreement between Arizona State University and the Navajo Nation, in addition to numerous established relationships among university departments. Furthermore, the rapport that existed between persons who held high level administrative positions with the university and the tribe were key factors in creating the climate for engagement in collective decision making.

The reflection of intent in policy making through program implementation was studied in terms of whether the perceived goals were accomplished. The majority of the respondents believed that the intended goal of persistence was indeed accomplished. However, questions and concerns arose in regard to the adequacy of that goal in assessing the effectiveness of the intergovernmental agreement. Considerations for cultural discontinuity, fit with academic major, and personal and spiritual growth for students were noted as lacking in the policy development as well as the program implementation. The measurement of policy intent through goal accomplishment using only enrollment and academic achievement as criterion prompted discussion among many people regarding the definition of success for American Indian/Alaskan Native students. The development of intergovernmental agreements in the future may be more appropriate to include measurements of success as defined by the Navajo Nation, rather than using standardized criterion.

Also indicated in this case study was the legal leverage that American Indian/Alaskan Native tribes have as sovereign nations to engage in contractual partnerships with public universities. Unlike any other underrepresented group in higher education, Indian communities have the opportunity to negotiate with universities through a government to government relationship. Given that this type of

association does not apply to other underrepresented populations, studying the effects of sovereignty could address future policy implications for the persistence of American Indian/Alaskan Native students.

Flexibility was identified as a notable factor in both the development of the intergovernmental agreement and the implementation of the Native American Achievement Program. The willingness on behalf of the university to engage in conversations with the Navajo Nation, not only off campus but also within the Navajo community, created a sense of commitment and trust that greatly contributed to the development of the intergovernmental agreement. The flexibility of ASU and the Navajo Nation in adapting financial aid procedures for the purpose of program implementation was identified as an additional influential factor in the policy making process.

Lastly, the nature and history of tribal scholarship disbursement was discussed as a hidden obstacle to the persistence of American Indian/Alaskan Native students. Although the intergovernmental agreement attempted to address this obstacle through policy requirements for first-year students, the obstacle resurfaced for students upon completion of the Native American Achievement Program. Consideration of this influential factor on the persistence and matriculation of American Indian/Alaskan Native students calls for attention and advisement in the policy development process.

#### Suggestions for further research

Recommendations for further study of intergovernmental agreements between American Indian/Alaskan Native tribes and public universities includes (1) research

projects that assess policy effectiveness, (2) research projects that apply other conceptual frameworks that more adequately examine the university community, (3) research projects that use longitudinal studies to follow the student cohorts participating in the Native American Achievement or like programs, (4) research projects using multiple-case sampling to compare and contrast other Arizona tribal intergovernmental agreements with ASU and/or Navajo intergovernmental agreements with other public universities, and (5) research projects that offer additional qualitative work to continue capturing and valuing the oral tradition of American Indian/Alaskan Native communities.

### Conclusion

This case study has shown that the development of the intergovernmental agreement between Arizona State University and the Navajo Nation can be examined by Stone's (1997) polis model of policy making. The use of case study methodology enabled the researcher to focus on a particular event that was unique to time and place, in addition to analyzing a specific component of policy study. The significance of the study was evident in the identification of contributing factors to the policy development between the Navajo Nation and Arizona State University. The results provided both public universities and Indian communities throughout the United States with strategies and points of consideration in developing policy when seeking to address the persistence of American Indian/Alaskan Native students in higher education. The suggestions for further research identify some of the ways in which case study methodology can contribute to the field of Indian Education.

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**Appendix A**  
**Informed Consent Form**

**(Informed Consent Form)**

---

{Date}

Dear {Name}:

I am a graduate student under the direction of Professor Mary Lee Smith in the Educational Leadership and Policy Studies Division in the College of Education at Arizona State University. I am conducting research to study the Intergovernmental Agreement between the Navajo Nation and Arizona State University as it relates to the implementation of the Native American Achievement Program (NAAP).

Your participation will involve one audiotaped face-to-face interview. Your participation in this study is voluntary. If you choose to not participate or withdraw from the study at any time, there will be no penalty. The results of the research study may be published, but your name will not be used. In order to maintain confidentiality of the records, subject codes will be assigned to all participants, information will be secured, and only Dr. Smith and myself will have access to the records.

Although there may be no direct benefit to you, the possible benefit of your participation is a better understanding of the intergovernmental agreement process between tribes and institutions of higher education, as well as how policy intent becomes transformed into program implementation.

If you have any questions concerning the research study, please call me at {home phone} or {work phone}, or Dr. Smith at {work phone}.

Sincerely,

Therese Fellner

---

I give consent to participate in the above study. I give consent for my interviews to be audiotaped for the above study.

---

Signature

---

Date

If you have any questions about your rights as a participant in this research, or if you feel you have been placed at risk, you can contact the Chair of the Human Subjects Institutional Review Board, through Karol Householder, at (602) 965-6788.

**Appendix B**  
**Interview Protocol**

**DISSERTATION: A CASE STUDY OF AN INTERGOVERNMENTAL  
AGREEMENT BETWEEN THE NAVAJO NATION AND  
ARIZONA STATE UNIVERSITY**

**Interview Protocol**

**Format for Protocol**

- Statement of Research Questions
- Propositions
- Interview Questions
- Probes

**Research Questions**

1. How did the intergovernmental agreement between the Navajo Nation and Arizona State University (ASU) which established the Native American Achievement Program (NAAP) develop and who were the actors involved in the process?
2. What were the original goals of the actors and to what extent did the implementation of NAAP accomplish these goals?

**Research Question One:** How did the intergovernmental agreement between the Navajo Nation and Arizona State University (ASU) which established the Native American Achievement Program (NAAP) develop and who were the actors involved in the process?

**Proposition One:** Policy Origin (Lindbloom and Woodhouse, 1993). Policy analysis begins with examination of how policy problems arise and first appear on the political agenda.

**Broad Question #1.** What can you tell me about the intergovernmental agreement between the Navajo Nation and Arizona State University (ASU)?

**Probes:**

- \_\_\_\_\_ 1. As far as you understand, how did the idea for this intergovernmental agreement come about? Explain. (Elmore, 1984).
- \_\_\_\_\_ 2. Prior to the intergovernmental agreement, what was considered to be the problem situation? Explain. (Dunn, 1994).
- \_\_\_\_\_ 3. What about the nature of the problem itself? What causes it? (Dunn, 1994).
- \_\_\_\_\_ 4. What was the rationale (justification) for establishing the intergovernmental agreement? Explain. (Schneider and Ingram, 1997).
- \_\_\_\_\_ 5. Who were the primary actors involved in developing this intergovernmental agreement? Explain. (Recesso, 1999).
- \_\_\_\_\_ 6. Were others involved in its development? Explain. (Recesso, 1999).

\_\_\_\_\_ 7. Were there factors that contributed to this agreement being developed? Explain. (Elmore, 1984).

\_\_\_\_\_ 8. Were there any additional contributing factors? Explain. (Elmore, 1984).

\_\_\_\_\_ 9. How did the timing of this intergovernmental agreement contribute to its development?

\_\_\_\_\_ 10. Were there any other reasons that they might have had for developing this agreement? Explain. (Elmore, 1984).

\_\_\_\_\_ 11. What was the protocol followed by the Navajo Nation/ASU in establishing the agreement?

\_\_\_\_\_ 12. Were there any other influences on the behavior of those involved in the intergovernmental agreement? (Elmore, 1984)

\_\_\_\_\_ 13. What assumptions were made about the intergovernmental agreement? Explain. (Schneider and Ingram, 1997).

**Research Question Two:** What were the original goals of the actors and to what extent did the implementation of NAAP accomplish these goals? (Elmore, 1984).

**Proposition Two:** Policy Intent (Elmore, 1984): Policy maker intent is used as the standard to measure the success or failure of a policy.

**Broad Question #2.** What can you tell me about the original goals of the agreement?

**Probes:**

\_\_\_\_\_ 14. What would you say was the intent of the actors involved? Explain. (Elmore, 1984).

\_\_\_\_\_ 15. What factors contributed to their achieving these goals? Explain. (Elmore, 1984).

\_\_\_\_\_ 16. Where there any additional factors? Explain. (Elmore, 1984).

\_\_\_\_\_ 17. To what extent were the implementation procedures used relevant for the accomplishing of these goals? Explain.

**Proposition Three:** Policy Implementation (Williams, 1982): The primary criterion for the worth of implementation studies is policy relevance.

**Broad Question #3.** To what extent did the implementation procedures used allow for the accomplishing of goals?

**Probes:**

\_\_\_\_\_ 18. For whom does it provide? How? Explain. (Elmore, 1984).

\_\_\_\_\_ 19. How was the target population selected? Explain. (Schneider and Ingram, 1997).

\_\_\_\_\_ 20. What was the protocol followed in implementing the agreement by the Navajo Nation? ASU?

\_\_\_\_\_ 21. To what extent is this unit capable of affecting the behavior that is needed to address the goals of the intergovernmental agreement? Explain. (Elmore, 1984).

\_\_\_\_\_ 22. To what extent was there a consensus among those involved in developing procedures for implementing the original goals? Explain. (Elmore, 1984).

\_\_\_\_\_ 23. Do different individuals have different levels of authority in relation to exercising discretion in developing and selecting implementation procedures? Explain. (Elmore, 1984).

\_\_\_\_\_ 24. How do contending parties shape and control the implementation of NAAP? Explain. (Elmore, 1984).

\_\_\_\_\_ 25. What has been the history of tribal scholarships and/or funding patterns?

\_\_\_\_\_ 26. How are tribal scholarships/financial aid disbursed for NAAP students? (Elmore, 1984).

\_\_\_\_\_ 27. What has been the history of tribal scholarships/funding patterns for Navajo student?

**Proposition Four:** Policy Requirements (Hargrove, 1981): The role of statutory language embodied in intergovernmental documents is the most reliable guide to policy intent.

**Broad Question #4.** What can you tell me about the specific requirements of the intergovernmental agreement?

**Probes:**

\_\_\_\_\_ 28. As far as you understand, were the specific requirements of the intergovernmental agreement identified? Explain. (Hargrove, 1981).

\_\_\_\_\_ 29. Were these requirements communicated to others? How? Explain. (Hargrove, 1981).

\_\_\_\_\_ 30. What factors contributed to meeting these requirements? Explain. (Hargrove, 1981).

\_\_\_\_\_ 31. To what extent did the requirements developed allow for the accomplishing of the original goals? Explain. (Hargrove, 1981).

\_\_\_\_\_ 32. To what extent did the requirements developed limit the accomplishing of the original goals? Explain. (Hargrove, 1981).

\_\_\_\_\_ 33. What could be done to improve the requirements of the agreement?

**Proposition Five:** Policy Outcomes (Elmore, 1984): Measured in terms of the original statement of intent.

**Broad Question #5.** What can you tell me about how the Native American Achievement Program reflects the original intent of policymakers?

**Probes:**

- \_\_\_\_\_ 34. To what extent has the performance of the task (i.e. NAAP) had the desired effects in relation to addressing the problem the policy was intended to resolve? (Elmore, 1984).
- \_\_\_\_\_ 35. How can you be certain? Is there tangible evidence? Explain. (Elmore, 1984).
- \_\_\_\_\_ 36. What factors contributed to achieving these effects? Limited? Explain. (Elmore, 1984).
- \_\_\_\_\_ 37. Have there been any changes since the intergovernmental agreement was established? Explain.

**Broad Question #6.** What can you tell me about the effects of the program in general?

**Probes:**

- \_\_\_\_\_ 38. What are the effects of policy and bureaucracy upon the degree of the implementation of NAAP? Explain. (Hargrove, 1981).
- \_\_\_\_\_ 39. How has the intergovernmental agreement been interpreted? Explain. (Recesso, 1999).
- \_\_\_\_\_ 40. To what extent were the implementing actions required by the intergovernmental agreement carried out? Explain. (Hargrove, 1981).
- \_\_\_\_\_ 41. What is considered to be evidence of change? Identify and describe. (Hargrove, 1981).
- \_\_\_\_\_ 42. What can you say about the availability of resources/funds? Explain. (Recesso, 1999).
- \_\_\_\_\_ 43. What could be done to improve the intergovernmental agreement?

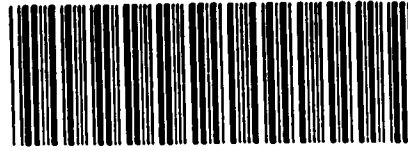
**Broad Question #7.** Do you have any questions related to this study that you would like to ask?

**Broad Question #8:** Is there anyone that you would refer me to talk to who has knowledge in this area?

## **Appendix C**

### **Intergovernmental Agreement and Resolutions of the Navajo Nation Council**





OFFICIAL RECORDS OF  
MARICOPA COUNTY RECORDER  
HELEN PURCELL

97-0005954 01/03/97 05:00

1088 1 OF 1

WHEN RECORDED/FILED  
PLEASE RETURN TO:

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Charles H. Traeger, III  
Associate General Counsel  
Arizona State University  
Box 872003  
Tempe, AZ 85287-2003

**AGREEMENT BETWEEN  
THE ARIZONA BOARD OF REGENTS  
FOR AND ON BEHALF OF  
ARIZONA STATE UNIVERSITY  
AND  
THE NAVAJO NATION  
DIVISION OF DINÉ EDUCATION  
AND OFFICE OF NAVAJO NATION SCHOLARSHIP  
AND FINANCIAL ASSISTANCE**

NO. <u>21258</u>
FILED WITH SECRETARY OF STATE
Date Filed <u>12/16/96</u>
<u>Gene R. Hull</u> Secretary of State
By <u>Vicky Greenwald</u>



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**THE  
NAVAJO  
NATION**

**ALBERT A. HALE  
PRESIDENT**

**THOMAS E. ATCITY  
VICE PRESIDENT**

**AGREEMENT BETWEEN  
THE ARIZONA BOARD OF REGENTS  
FOR AND ON BEHALF OF  
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DIVISION OF DINÉ EDUCATION  
AND OFFICE OF NAVAJO NATION SCHOLARSHIP  
AND FINANCIAL ASSISTANCE**

**GENERAL PROVISIONS:**

WHEREAS, Arizona Board of Regents for and on behalf of Arizona State University (hereinafter "ASU") is duly authorized to execute and administer agreements pursuant to A.R.S. §§15-1625 and 15-1626;

WHEREAS, Navajo Nation is duly authorized to execute and administer agreements pursuant to 2 N.N.C. §§222 and 223; and

WHEREAS, ASU and Navajo Nation are authorized by A.R.S. §11-951 et seq. and tribal law, respectively, to enter into agreements for the joint exercise of any power common to the contracting parties as to governmental functions necessary to the public health, safety, and welfare, and the proprietary functions of such public agencies.

**I. PARTNERS TO THE AGREEMENT:**

This Agreement establishes the Arizona State University Navajo Achievement Program between Arizona State University and the Navajo Nation.

The mission of the ASU Navajo Achievement Program is to develop a strong foundation for Navajo tribal scholarship recipients attending ASU that will foster both academic and personal success by providing student and academic support services within the ASU community.

**II. MANDATORY PARTICIPATION:**

The Navajo Nation in awarding scholarships will require as a condition of receipt of scholarship funds that all entering freshmen receiving financial assistance or scholarships from the Navajo Nation must participate in the Program.

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**III. STATEMENT OF NEED:**

The Navajo Nation and Arizona State University recognize the need to facilitate and coordinate a system within the higher education structure to assist Navajo students to gain access to higher education opportunities and to address retention of Navajo students in higher education in Arizona.

**IV. PURPOSE OF THE AGREEMENT:****1. GOALS:**

- A. ASU will assist with the transition of the Navajo scholarship recipients by creating an environment that emphasizes involvement, inclusion and identification with the ASU community.
- B. ASU will provide assistance by identifying accessible academic and personal development services for freshmen recipients of the Navajo Nation scholarship attending ASU.
- C. ASU will endeavor to enhance awareness of career development among these students.
- D. ASU will generally provide assistance to scholarship recipients to ease any difficulty in understanding the ASU system.
- E. ASU and the Navajo Nation will discuss, develop strategies and, to the extent permitted by law, advocate changes to improve the accessibility, retention and education opportunities for Navajo students at postsecondary institutions.

**2. ORGANIZATIONAL STRUCTURE:**

- A. Currently, there is on staff at ASU five professional who, as a part of their job responsibilities, provide support for American Indian students. These individuals have made personal contact with the scholarship recipients throughout the 1995-1996 academic year. They have implemented a quarterly newsletter and have held outreach programs at the American Indian Institute on relevant financial aid topics. ASU will endeavor to continue to provide direct personal support for the students receiving Navajo Nation Scholarships.
- B. Representatives from Arizona State University and the Navajo Nation will meet annually or as needed to discuss the program.

**3. AWARDING AND DISBURSEMENT:**

While the scholarships are awarded by the Navajo Nation, the Student Financial Assistance Office at ASU will disburse these scholarship funds on a monthly basis throughout the academic year, rather than one disbursement

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each semester. This disbursement procedure for scholarship funds is intended to provide a built-in budgeting mechanism for students.

The Navajo Nation shall forward to ASU no later than two weeks before the first day of instruction for the Fall semester and/or no later than two weeks following the calendar fiscal year beginning January 1 of any given year of ONNSFA, funds necessary for disbursement. Disbursements of Navajo Nation funds can be withheld and withdrawn by ASU for lack of participation by any freshman Navajo scholarship recipient. Any undisbursed funds shall be refunded to the Navajo Nation.

**4. PROGRAMS:**

The employees described in Section IV 2.A. above will participate in the Freshman Year Experience and the American Indian Institute and will assist students in applying for financial aid and employment opportunities, and discuss money management and help the students understand policies for continuing eligibility in the Program.

**5. EMPLOYMENT:**

The Student Employment Office at ASU would assist students with finding meaningful and supportive part-time on-campus employment. The employer would be encouraged to participate in sessions designed to increase awareness and sensitivity to the Navajo student's needs and to take appropriate measures, such as referrals to programs at ASU as the need arises to continue to support the student's academic endeavors.

**6. CONTINUING ELIGIBILITY:**

The Student Financial Assistance Office at ASU will track students' performance and participation in any required activities for maintaining eligibility for continued funding base as advised by the Navajo Nation.

**V. BUDGET:**

The Navajo Achievement Program will be offered to Navajo scholarship freshmen recipients at no cost.

**VI. EVALUATION:**

An annual report regarding the Program will be conducted at the conclusion of each academic year and the report shall be submitted to the Office of Navajo Nation Scholarship and Financial Assistance, P.O. Box 1870, Window Rock, Arizona 86515.

**VII. DURATION OF THE AGREEMENT:**

This Agreement shall become effective immediately upon filing with the Arizona Secretary of State and/or Maricopa County Recorder's Office. It shall remain enforced until

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the end of the academic year, or until each part mutually agrees to modify or dissolve their agreement upon thirty (30) days prior written notice. Unless 30 days prior written notice is given, this Agreement shall automatically renew for each succeeding academic year, up to 5 additional academic years.

**VII. GENERAL:**

**A. Cancellation for Conflict of Interest:**

The parties acknowledge that this Agreement may be canceled, without penalty to or further obligation of either party, if any person significantly involved in initiating, negotiating, securing, drafting or creating this Agreement on behalf of either party is, at any time while this or any extension of this Agreement is in effect, an employee or agent of any other party to this Agreement in any capacity, or a consultant to any other party of this Agreement with respect to the subject matter hereof.

**B. Disputes:**

All disputes over the subject matter of this Agreement or the performance thereof will be resolved in the Navajo Nation Courts and in accordance with the law of the Navajo Nation, except that Arizona State Law shall govern issues concerning the authority and power of ASU to perform its obligations hereunder.

**C. Nondiscrimination:**

The parties agree to comply with all applicable state, tribal, federal laws, rules, regulations and executive orders governing equal employment opportunity, immigration, nondiscrimination, affirmative action and Indian preference.

**D. Failure of Navajo Nation Council and Legislature to Appropriate:**

Pursuant to 2 N.N.C. §223, the availability of funds for the scholarships is contingent upon the availability of annual appropriations by the Navajo Nation Council. In addition, the parties agree that notwithstanding any provisions of this Agreement to the contrary, if performance under this Agreement by Arizona State University shall ever be dependent upon the appropriation of funds by the State Legislature of Arizona (the "the Legislature"), and if the Legislature should fail to appropriate the necessary funds for such performance, then, by written notice to the Navajo Nation, Arizona State University may cancel this Agreement and have no further duty or obligation to the Navajo Nation hereunder.

The Navajo Nation recognizes and understands that appropriation is a legislative act and is beyond the control of Arizona State University.

**E. Records:**

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In accordance with Section 35-214, Arizona Revised Statutes, the Navajo Nation agrees to retain all books, accounts, reports, files and other records of the Navajo Nation relating to this Agreement and make sure records are available at all reasonable times for inspection and audit by Arizona State University or the Auditor General of the State of Arizona, or their agents, during the term of and for a period of five (5) years after completion of this Agreement. Such records shall be provided at Arizona State University, Tempe, Arizona, or such location as designated by Arizona State University upon reasonable notice by the Navajo Nation.

**F. Notices:**

Any notices required or permitted to be given hereunder shall be deemed given upon the earlier of (a) actual receipt by the other party or (b) three (3) days after deposit into the United States Postal Service, postage prepaid, certified or registered mail, addressed to:

If to ASU: Christine Wilkinson  
Vice President for Student Affairs  
Arizona State University  
Box 872103  
Tempe, AZ 85287-2103

With a copy to: Robert Soza  
Assistant Vice President for Student Affairs  
Arizona State University  
Box 872103  
Tempe, AZ 85287-2103

If to the Navajo Nation: Regis Clauschee, Manager  
ONNSFA  
P.O. Box 1870  
Window Rock, AZ 86515

**APPROVAL:**

Therefore, We, the undersigned parties to this agreement, have duly considered the content herein and place our endorsing signatures herewith upon this \_\_\_\_\_ day of \_\_\_\_\_, 1996.

Arizona Board of Regents  
for and on behalf of  
Arizona State University:

By Christine Wilkinson Date: 12/10/96  
Christine Wilkinson  
Vice President for Student Affairs  
Arizona State University

The Navajo Nation

By Albert Hale Date: NOV 13 1996  
Albert Hale  
President  
The Navajo Nation

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In accordance with A.R.S. §11-952, this Agreement has been reviewed by the undersigned who has determined that this Agreement is in appropriate form and is within the power and authority granted to Arizona State University.

By Charles H. Traeger, III Date: 12/10/96  
 Office of General Counsel  
 Arizona State University  
 Charles H. Traeger, III  
 Associate General Counsel

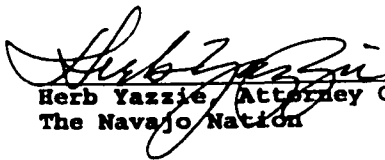
In accordance with Navajo Nation law, this Agreement has been reviewed by the undersigned who has determined that this Agreement is in appropriate form and is within the power and authority granted the Navajo Nation.

By \_\_\_\_\_ Date: \_\_\_\_\_  
 Herb Yazzie  
 Attorney General  
 The Navajo Nation

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Contract No. \_\_\_\_\_

THIS AGREEMENT HAS BEEN REVIEWED, THIS 20th DAY OF November 20, 1996, BY THE UNDERSIGNED WHO HAS DETERMINED THAT THIS AGREEMENT IS IN APPROPRIATE FORM AND WITHIN THE POWERS AND AUTHORITY GRANTED TO EACH RESPECTIVE PUBLIC BODY.

  
Herb Yazzie, Attorney General  
The Navajo Nation

11/20/96  
Date



IGRJM-147-96

**RESOLUTION OF THE  
INTERGOVERNMENTAL RELATIONS COMMITTEE  
OF THE NAVAJO NATION COUNCIL**

Approving the Memorandum of Agreement Between the  
Arizona Board of Regents For and On Behalf of Arizona  
State University and the Navajo Nation; and Further  
Authorizing the President of the Navajo Nation to  
Execute Said Memorandum of Agreement on Behalf  
of the Navajo Nation

**WHEREAS:**

1. Pursuant to 2 N.N.C. §§821 and 822, the Intergovernmental Relations Committee is established as a standing committee of the Navajo Nation Council to coordinate all federal, county and state programs with other standing committees and branches of the Navajo Nation government to provide the most efficient delivery of services to the Navajo Nation; and
2. Pursuant to 2 N.N.C. §824 (b) (6), the Intergovernmental Relations Committee of the Navajo Nation Council is empowered to authorize, review, approve and accept agreements, including contracts and grants, between the Navajo Nation and any federal, state or regional authority upon the recommendation of the standing committee which has oversight of the division, department or program which has applied for the agreement; and
3. Pursuant to Resolution GSCO-81-95, the Office of Navajo Nation Scholarship and Financial Assistance (ONNSFA) is established and continued to provide financial assistance to eligible Navajo students to pursue their educational goals; and
4. The Navajo Nation, ONNSFA, and Arizona State University wish to enter into a Memorandum of Understanding (MOU), attached hereto and incorporated herein as Exhibit "A"; and
5. By Resolution ECMY-60-96, attached hereto and incorporated herein as Exhibit "B", the Education Committee of the Navajo Nation Council has supported the MOA and has recommended approval to the Intergovernmental Relations Committee of the Navajo Nation Council; and
6. The Intergovernmental Relations Committee of the Navajo Nation Council agrees that the Memorandum of Understanding will be beneficial to the Navajo Nation and that it is in the best interest of the Navajo Nation.

IGRJM-147-96

**NOW THEREFORE BE IT RESOLVED THAT:**

1. The Intergovernmental Relations Committee of the Navajo Nation Council hereby approves the Memorandum of Understanding between the Arizona Board of Regents for and on behalf of Arizona State University and the Navajo Nation.

2. The Intergovernmental Relations Committee of the Navajo Nation Council further authorizes the President of the Navajo Nation to execute said Memorandum of Agreement on behalf of the Navajo Nation.

**CERTIFICATION**

I hereby certify that the foregoing resolution was duly considered by the Intergovernmental Relations Committee of the Navajo Nation Council at a duly called meeting at Window Rock, Navajo Nation (Arizona), at which a quorum was present and that same was passed by a vote of 5 in favor, 2 opposed and 0 abstained, this 17th day of June, 1996.



Kelsey A. Begaye, Chairperson  
Intergovernmental Relations Committee

Motion: Kenneth L. Begay  
Second: Albert Tom

# EXHIBIT B

ECMY-60-96

## RESOLUTION OF THE EDUCATION COMMITTEE OF THE NAVAJO NATION COUNCIL

Supporting and Recommending that the Intergovernmental Relations Committee of the Navajo Nation Council Authorize and Accept the Memorandum of Agreement Between the Arizona Board of Regents For and On Behalf of Arizona State University and the Navajo Nation; and Further Requesting the Intergovernmental Relations Committee of the Navajo Nation Council to Authorize the President of the Navajo Nation to Execute Said Memorandum of Agreement on Behalf of the Navajo Nation

### WHEREAS:

1. Pursuant to 2 N.N.C. §§481 and 484(B)(4), the Education Committee is established and continued as a standing committee of the Navajo Nation Council and is the oversight committee of the Division of Dine' Education; and
2. Pursuant to Resolution GSCO-81-95, the Office of Navajo Nation Scholarship and Financial Assistance (ONNSFA) is established and continued to provide financial assistance to eligible Navajo students to pursue their educational goals; and
3. The ONNSFA on behalf of the Navajo Nation wishes to enter into a Memorandum of Agreement with Arizona State University (attached as Exhibit "A"); and
4. The Education Committee of the Navajo Nation Council agrees that the Memorandum of Agreement will benefit the Navajo Nation and that it is in the best interest of the Navajo Nation.

### NOW THEREFORE BE IT RESOLVED THAT:


1. The Education Committee of the Navajo Nation Council hereby recommends that the Intergovernmental Relations Committee of the Navajo Nation Council authorize and accept the Memorandum of Agreement between the Arizona Board of Regents for and on behalf of Arizona State University and the Navajo Nation.
2. The Education Committee of the Navajo Nation Council further requests the Intergovernmental Relations Committee of the Navajo Nation Council to recommend to the President of the Navajo Nation to execute said Memorandum of Agreement on behalf of the Navajo Nation.

### CERTIFICATION

I hereby certify that the foregoing resolution was duly considered by the Education Committee of the Navajo Nation Council at a duly called meeting at Rough Rock, Navajo Nation (Arizona), at

ECHY-60-96

which a quorum was present and that same was passed by a vote of 6 in favor, 0 opposed and 0 abstained, this 24th day of May, 1996.

  
Leonard Chee, Chairperson  
Education Committee

Motion: Elmer Clark  
Second: Andy Ayze

## BIOGRAPHICAL SKETCH

Therese Fellner was born and raised in Racine, Wisconsin and is the youngest of five children. Due to her father's death when she was three-years of age, Therese grew up in a single-parent home with two brothers and two sisters. Upon graduation from high school, Therese moved to Saint Paul, Minnesota where she attended the University of Minnesota-Twin Cities campus. She graduated magna cum laude with a Bachelor of Arts degree in Child Psychology. It was during her undergraduate studies at the Institute of Child Development when she first became involved in applied research activities. Projects targeted preschool-aged children and included such topics as competition and cooperation, math and science achievement, and language acquisition. Also at this time, Therese held internships working with autistic children through Minneapolis Children's Medical Center and with children and their families through the Domestic Abuse Project in Minneapolis, in addition to volunteering for the Minnesota Committee on the Prevention of Child Abuse. After finishing her undergraduate degree, Therese accepted a position with the University of Minnesota-Twin Cities campus as an Admissions Counselor, and enrolled in a graduate degree program at the university. Her thesis focused on child witnesses to domestic violence and educational failure. She graduated with a Master of Arts degree in Educational Administration with a school and community emphasis and began employment with the University of Minnesota-Duluth campus as an Admissions Counselor responsible for minority recruitment. It was at this time that Therese formed relationships and friendships with American Indian communities and discovered her love for the people and for the work. Therese relocated to Phoenix, Arizona and accepted a position with Arizona State University West as an Assessment Coordinator for a federally funded TRIO grant. Responsible for developing retention strategies for first-generation, disabled, and low-income students, Therese was nationally recognized for the implementation of a Faculty Mentoring program at the university. She participated on a joint institutional planning committee for the Retention in Education of Today's American Indian Nations and was asked to become the advisor for the Native American Student Organization on campus. While also in Phoenix, Therese developed educational curriculum for Phoenix Youth at Risk, counseled women and children at local domestic violence shelters, and consulted with Parent Anonymous of Central Arizona regarding their methods of program evaluation. Therese was accepted into the Educational Leadership and Policy Studies Ph.D. program at Arizona State University and chose public policy as a specialty area. Although a non-Indian, Therese was interested in contributing to the study of Indian Education and worked with her friends and colleagues in establishing a dissertation topic. It was through her relationships with people over the years that enabled her to research the intergovernmental agreement between the Navajo Nation and Arizona State University as a policy study. Recently, Therese returned home to be with her family in Racine and accepted an academic position with the University of Wisconsin-Parkside as a Community Research Coordinator. Her primary responsibilities include developing research-based partnerships between university faculty and students with schools, non-profit agencies, city governments, and businesses in the local communities. She also serves as Vice-President of the George Bray Center, a community-based organization providing inner city neighborhood residents with education, advocacy, and counseling.