FIRST-GENERATION FILIPINO AMERICAN PERCEPTIONS OF
PURSUING THE AMERICAN DREAM THROUGH HIGHER EDUCATION

BY

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ABSTRACT

The American Dream, coined by writer and historian James Truslow Adams (as cited in Nakate, 2018), is the idea of opportunities for fulfilling dreams through hard work. Most people in the United States believe higher education is key for their families to contribute to society (Association of American Colleges and Universities, 2017). To attain the American Dream, many first-generation Filipino American students and graduates have encountered barriers and accumulated excessive student loan debt. The purpose of this qualitative phenomenology theory study was to explore first-generation Filipino American graduates’ challenges and barriers of pursuing higher education through the idea of the American Dream. The target population of this study was first-generation Filipino Americans who had graduated with a bachelor’s degree in the last 5 years, took out student loans to complete their degrees, and were born with U.S. citizenship or received U.S. citizenship before the age of five. The research method was qualitative, the design was phenomenology, and data were collected through individual interviews using purposive sampling. This study was guided by the following theories: servant leadership theory, transformational leadership theory, and supporting theories which included socioeconomic status, social identity theory, Asian American racial development theory, Pilipino American identity development theory, and the model minority myth. The researcher analyzed and interpreted the data from interview transcripts using Colaizzi’s (1978) seven-step process. The researcher provided a detailed explanation of the context of the values and beliefs of first-generation Filipino American students and graduates around educational beliefs, the American Dream, and challenges in higher education. Data from this study show it is important to create opportunities for improvement to
expand college readiness to first-generation students in high school curriculum. The programs offered should provide more resources to first-generation students on college preparation, impact of financial aid, and career exploration, so first-generation students can feel like they are more prepared to enter college and succeed, creating a legacy for their families. Recommendations for future research include (a) further study of high school students, (b) further study of second-generation Filipino American students, (c) longitudinal studies, (d) expansion to other minority groups, (e) generational definitions of socioeconomic status, and (f) redefining the Model Minority Myth (MMM).
DEDICATION

I dedicate this dissertation to my late father, Elmer Laguesma Carrancho, who brought his family to the United States in pursuit of the American Dream. Thank you, Dad, for your sacrifices and giving us the opportunity to have an education. We love you for your tough love and words of wisdom to pursue our own dreams.

Dad, this doctorate degree is dedicated to you.

Rest in Peace (3-24-16).
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ACKNOWLEDGMENTS

It all began when a large boat from Molokai, Hawaii, arrived in the beautiful islands of the Philippines to recruit sugar plantation workers. My great-grandfather, Andres Laguesma, and then, decades later, my grandfather, Aurelio Carrancho, left their families behind to head toward their American Dreams. My grandfather Aurelio Carrancho later earned enough money to bring the rest of his family to Hawaii. My great-grandfather, Aniceto Carrancho, traveled to Butte, Montana, to work in the mining industry but was later killed when he stepped on a land mine.

During my journey to write this dissertation, there were so many sleepless nights, confusing thoughts, moments without motivation, and questions about whether or not I would finish. I am so blessed to have my family, colleagues, and friends who was always supportive of this journey. I could have not completed this dissertation on my own.

My parents always dreamt of a bright future for their children and promised to give us a good education. I am proud to say that I am a first-generation Filipino American student and graduate who earned my bachelor of arts degree in American ethnic studies from the University of Washington and master of education degree from Argosy University. I was the first to graduate with undergraduate and graduate degrees in my family. My late father and guardian angel, Elmer L. Carrancho, was my mentor and encouraged my sister and me to finish high school and go to college to fulfill his idea of the American Dream. My dad’s last words to me were “I want you to become the first Dr. Carrancho.” He is my motivation, my inspiration, and I am going to be the first Dr. Carrancho to continue to make my dad and family proud.
I often think about my family’s journeys and what they have encountered, which has given me the strength to pursue my dreams. The stories of my family all share a common theme: pursuing the American Dream. The American Dream is embedded in the minds of most immigrants, especially my family who emigrated from the Philippines. My parents gave me a life full of opportunities to achieve success and prosperity through hard work, determination, and initiative. When I reminisce about the journeys of what my family encountered, one word comes to mind: sacrifice. Their sacrifice meant leaving their families behind or even working in a dangerous industry just to get toward that dream. Their stories created an inspiring fuel in me to earn an education and to pursue my dreams. I’ve learned that each struggle pushes you to do better, and each situation molded me into the person I am today. The stories I carry with me each day of my ancestors’ struggles keep me going to reach my dreams. It is hard, but perseverance and dedication lead to accomplishment. My family has given me the power and strength to uplift my own dreams and to motivate others to do the same.

I want to thank my chair, Dr. Stacey Malaret, for her support during my doctoral journey. Dr. Malaret helped me gather my thoughts on a topic that means a lot to me, was available nights and weekends, gave me support to work through my thoughts, helped me understand how to fix challenging edits, and gave me encouraging words when I felt I could not move forward.

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continue my education. To this day, I still remember her exact words of criticism toward my writing and how it affected my confidence in my everyday work. During this journey, I was afraid of failing for that same exact reason, but Dr. Krone proved me wrong. I thank you for your support and encouraging words during this writing journey. I learned a lot from you, and you are a part of my success and helped me become a better writer.

I want to thank my committee members, Dr. Niesha Douglas, Dr. Benjamin Gaines, and Dr. Mary Dereshiwyk and the participants in my study. Initially, I thought I could not complete this dissertation, but my support group help me through it. I am so grateful and honored that I persisted my way through this doctoral journey.
CHAPTER 1: INTRODUCTION TO THE STUDY

Clark (2003), author of *Immigrants and the American Dream*, stated, “The American Dream is an impressive ideology, luring people to America and thence to local opportunities in one or another place or region” (p. 10). On their website, the Center for First-Generation Student Success (2019) defined the term *first-generation* as “the possibility that a student may lack the critical cultural capital necessary for college success because their parents did not attend college” (p. 1). *Second generation* refers to students whose parents or guardians earned at least a baccalaureate degree (Pike & Kuh, 2005). Terenzini et al. (1996) found first-generation students have had lower educational aspirations than second-generation students. Second-generation students become acculturated with U.S. culture and are able to manage the challenges of college (Terenzini et al., 1994). According to Warburton et al. (2001), there is a 15% gap between the 3-year persistence rates of first- and second-generation students (73% and 88%, respectively).

The attainment of higher education is influenced by cultural and educational differences and accruing excessive student loan debt. Li et al. (2016) found cultural differences between various degree programs are viewed differently through a social identity versus socioeconomic (SES) lens. The U.S. Department of Education (2018) showed 30% of all incoming, first-year students identify as first generation. Data have indicated first-generation students often are academically skilled and contribute in many ways to a campus community; however, navigating the complex web of college policies, procedures, and expectations can be a challenge (U.S. Department of Education, 2018).
First-generation students are at greater risk of not completing higher education programs because of such challenges (Choy, 2001).

The American Dream is embedded in the minds of many first-generation students and immigrant families who want to live a life of equal opportunity to achieve success and prosperity through hard work, determination, and initiative (Cullen, 2003). Each ethnic group has tendencies based on cultural influences, such as emotional rewards, reputations from degrees, and cost of time and effort, which can be seen from different cultural perspectives. One such group is first-generation Filipino American students and graduates.

The American Dream ideology has been an encouraging factor in Filipino culture and has inspired many first-generation Filipino Americans to pursue an education (Regullano, 2014). Due to Filipino educational values, many first-generation Filipino American students and graduates strive to make their parents’ dreams come true by pursuing higher education. However, there are many obstacles pre- and post-college (Havlik et al., 2017).

Abbaiti and Braone (2017) found many first-generation Filipino American students and graduates have been impacted by student loan debt and may not understand the financial risks that would impact their futures. First-generation students of all backgrounds are more likely to be behind on payments than borrowers whose parents attended college (The Institute for College Access & Success, 2019). Student loan debt carries long-term financial consequences and influences other financial decisions, such as home buying (U.S. Department of Education, 2018).
In this study, the researcher provides findings related to first-generation Filipino American students, the American Dream, and approaches to reduce disparities that pertain to first-generation Filipino American students and graduates. The researcher explored challenges in higher education to understand the experiences of first-generation students and graduates who have completed higher education degrees to pursue the American Dream.

**Study and Historical Background**

Many immigrants perceive the American Dream to be an ideological symbol of success, freedom, and opportunities for better lives for their families. Adams (1933) described the American Dream as:

> The American Dream that has lured tens of millions of all nations to our shores in the past century has not been a dream of merely material plenty, though that has doubles counted heavily. It has been much more than that. It has been a dream of being able to grow to fullest development as man and woman, unhampered by the barriers which had slowly been erected in older civilizations, unrepressed by social orders which had developed for the benefit of classes rather than for the pure human being of any and every level. And that dream has been realized more fully in actual life here than anywhere else, though very imperfectly even among ourselves. (p. 318)

The American Dream reflects the value of each individual’s opportunity to pursue happiness and to achieve better lives for themselves and their families. Many ethnic groups have historically encountered barriers, such as limited resources, racial discrimination, and stereotypes, in the pursuit of the American Dream. The researcher used historical background to acquire a deep understanding of (a) the Filipino population, (b) first-generation students, (c) student development, and (d) persistence.

The Filipino community has been one of the fastest growing immigrant populations in the United States. In the early 21st century, Filipinos became the third

First-generation students are less likely than their peers to live on campus, develop relationships with faculty members, and perceive faculty as being concerned about their development; they also work more hours off campus (Richardson & Skinner, 1992; Terenzini et al., 1996). Chapter 2 includes an exploration of challenges and obstacles first-generation Filipino Americans face, including (a) demographics of first-generation students; (b) enrollment and degree attainment; (c) challenges such as student debt and stereotypes of the model minority myth (MMM); (d) Asian American Native American Pacific Islander (AANAPISI) institutions, (e) undocumented students; and (f) TRIO: Upward Bound, Talent Search, and Student Support Service programs.

There are many types of research about Asian American student development and other ethnic communities; however, little research has been published on Filipino American students. Chapter 2 includes an explanation of the various student development and leadership theories, including (a) servant leadership, (b) transformational leadership, (c) social identity theory, and (d) Asian American racial development theory.

Exploration of first-generation Filipino American students’ and graduates’ experiences can inform challenges, barriers, and resiliency in pursuing the American Dream. Most Filipino immigrant families who live in the United States share a commonality of the pursuit of The American Dream. Chapter 2 includes an explanation of related concepts, including resilience and persistence.
**Problem Statement**

There are 3.2 million Filipinos in the United States, making this population the second largest Asian American ethnic group in the United States (Buenavista, 2010). Poon (2014) found race and the social context of immigrant adaption can affect the occupational trajectories of Asian Americans of immigrants in the United States, regardless of their educational achievement and SES. Minority groups have different interpretations and lived experiences of the value of education and its relation to the American Dream.

Abbaiti and Brone (2017) found students’ expectations about the profitability of the investment in higher education, expectations concerning costs, economic returns, and changes of success of higher education are vast. The authors found perceived university cost is often unrealistic in that students believe they can be guaranteed a high return on investment from a higher education degree. Abbaiti and Brone found information barriers are not equally distributed among social ethnic groups, and first-generation Filipino American students may be overly optimistic about gaining high-paying jobs through higher education, overestimating the return on their investment in higher education.

**Audience**

This study benefits communities interested in diverse student communities (i.e., higher education administrators and first-generation Filipino American students and graduates). There is limited literature on Filipino American students, and this research adds to that body of knowledge. This study provides shared experiences and perspectives to first-generation Filipino American students.
Theoretical Frameworks

Servant and transformational leadership theories were chosen for this study. Tang et al. (2016) conducted a case study that showed how servant leadership could enhance aspirations, goal setting, and encouragement with leaders. The researchers explained servant leaders enable growth and see possibilities for their followers. Servant and transformational leadership theory characteristics may arise in the first-generation Filipino American graduate population.

Servant Leadership

In a study about servant leadership, Liden et al. (2014) stated servant leadership is based on the premise that the best leaders can motivate followers and have little focus on satisfying their own needs, prioritizing the fulfillment of their team. Servant leadership is the ability to serve others before meeting one's own needs, and first-generation Filipino American students may have this quality based on lived experiences. The Greenleaf Center for Servant Leadership (2019) has defined servant leadership as

The servant-leader is servant first. . . . It begins with the natural feeling that one wants to serve, to serve first. Then conscious choice brings on to aspire to lead. That person is sharply different from one who is leader first, perhaps because of the need to assuage an unusual power drive or acquire material possessions. The leader-first and the servant-first are two extreme types. Between them there are shadings and blends that are part of the infinite variety of human nature. (p. 1)

First-generation Filipino American graduates are more concerned with others than themselves; they are humble; and their humility stimulates strong relationships, encouraging their team to become fully engaged in their work (Liden et al. 2014).

Transformational Leadership

First-generation Filipino American graduates empower family to pursue education by developing transformational leadership skills. Matzler et al. (2015) showed it is
valuable to create self-confidence by empowering others to self-evaluate their skills to understand areas of improvement as professionals. Downton (1973) developed transformational leadership theory. Northouse (2016) defined transformational leadership as

Transformational leadership is a process that changes and transform people. It is concerned with emotions, values, ethnics, standards, and long-term goals. It includes assessing followers’ motives, satisfying their needs, and treating them as full human beings. Transformational leadership involves an exceptional form of influence that moves followers to accomplish more than what is usually expected of them. It is a process that often incorporates charismatic and visionary leadership. (p. 161)

First-generation Filipino American students are often motivated, independent, and goal-oriented with the help of a mentor or family member (Nadal, 2004).

**Specific Leadership Problem**

Through this study, individuals interested in diverse student communities, such as higher education administrators and teaching faculty, can become more aware of the cultural narrative that impacts Filipino Americans. First-generation Filipino American students and graduates can learn challenges and barriers that contribute to the success of the American Dream through higher education.

**Purpose of the Study**

First-generation students encounter many challenges (Choy, 2001). First-generation Filipino American students are an example of a minority group impacted by obstacles when pursuing the American Dream. Many Filipinos pursue their perceptions of the American Dream, but there have been limited studies to show experiences, sacrifices, challenges, and barriers that make their dreams become a reality. The purpose of this qualitative, phenomenology theory study is to explore the lived experiences of first-generation Filipino Americans who have graduated with bachelor’s degrees and their
challenges in pursuing higher education and the American Dream. This study is an exploration of challenges, including the impact of student loan debt and beliefs about the worth of the financial investment of education in pursuing the American Dream. Using semistructured interviews, the researcher explored the lived experiences of first-generation Filipino Americans graduates pursuing the American Dream.

**Methodology and Design Overview**

Qualitative methodology is used when a problem or issue needs to be explored and a complex understanding of the problem is necessary. When using a qualitative approach, exploring the target phenomenon is best managed when data are obtained through in-person interactions (Creswell, 2014). Qualitative interviews were chosen to examine first-generation Filipino American graduates’ lived experiences in pursuing the American Dream through education.

According to Colaizzi (1978), phenomenology can be used to understand the lived experiences of a particular group. The phenomenological approach included an exploration of challenges and barriers of postgraduation life and the value of education in attaining the American Dream. The research design included an investigation into how the phenomenon is experienced (Moustakas, 1994) and yielded a description of participants’ experiences of the phenomenon.

In a phenomenological design, the researcher often seeks answers to the following two questions: “What are the perceptions/experiences of this phenomenon? and What are the setting and conditions in and under which the experience of this phenomenon occurs?” (Creswell, 2014, p. 1). These questions led to the main research question
guiding this study: What are the lived experiences of first-generation Filipino American graduates using higher education to pursue the American Dream?

Colaizzi (1978) stated in using a phenomenological methodology, the researcher should (a) acquire a sense of each participant interview, (b) extract significant statements, (c) formulate meaning, (d) organize formulated meanings into clusters and themes, (e) exhaustively describe the investigated phenomena, (f) represent the fundamental structure of the phenomena, and (g) return transcripts to participants. According to Creswell (2014), the seven-step process creates trustworthiness because it establishes (a) credibility, (b) transferability, (c) confirmability, and (d) dependability.

**Population and Sample**

According to the Migration Policy Institute (2020), there are an estimated 2,809,791 Filipinos in the United States. The U.S. Department of Education (2018) showed 30% of all incoming first-year students are first-generation. Filipino students are 18.2% of Asian students who are considered first-generation students (Duffin, 2019). This study includes participants who identified as first-generation Filipino American students, received a bachelor’s degree or higher, and had student loan debt (see Figure 1).
Figure 1

First-Generation Students in the United States by Ethnicity and Race 2019


Purposive sampling was used to identify individuals who met the criteria the researcher required in this study. The main objective of a purposive sample is to produce a sample that can be assumed to be representative of the target population (Creswell, 2014). Purposive sampling is often accomplished by applying expert knowledge of the population to select a nonrandom sample to represent a cross-section of the population (Lavarkas, 2008).

First-generation, Filipino American graduates were the target population for the study to better understand their lived experiences of the American Dream. According to Lee and Mueller (2014), first-generation students’ understanding of student loan debt is limited compared to students whose parents have earned college degrees, and first-
generation students rely on student loans for higher education. Selected participants had to meet the following criteria to participate in this study:

- Is a first-generation Filipino American
- Obtained a bachelor’s degree in the last 5 years
- Took out student loans to complete their higher education degree
- Was born with U.S. citizenship or received U.S. citizenship before the age of 5.

The criterion of obtaining a bachelor’s degree in last 5 years allowed exploration of current lived experiences in relation to the American Dream. The research design included an investigation into how the phenomenon is experienced (Moustakas, 1994) and yielded a description of participants’ experiences of the phenomenon.

Twenty-four participants were interviewed for this study. Sixteen participants met the criteria. These participants were not related to the researcher and were located through the snowball method to find participants. Each participant was contacted via email and sent consent forms. After consent forms were signed and completed, the researcher coordinated a time to speak via Facebook Messenger Video or FaceTime. Facebook Messenger Video is a mobile messaging app used for instant messaging, with features to video chat with a Facebook friend. FaceTime is a calling feature on iPhones to video chat with a contact. Most participants used FaceTime, and the quality of the recordings was excellent. The interviews took about 2 weeks to complete, with back-to-back interviews completed during the late evening hours and weekends. The researcher made sure participants’ schedules were accommodated due to work hours and other commitments.
Instrument

Castillo-Montoya (2016) stated interview protocol refinement includes a four-phase process for systematically developing and refining an interview protocol. The four-phase process includes: “(1) ensuring interview questions align with research questions; (2) constructing an inquiry-based conversation; (3) receiving feedback on interview protocols and; (4) piloting the interview protocol” (Castillo-Montoya, 2016, p. 811). Each of the phases helps the researcher develop a research instrument that is appropriate for the participants and aligns with the research question (Jones et al., 2014).

Phase 1: Ensuring Interview Questions Align With Research Questions

In Phase 1, the researcher aligned the interview questions and research questions to increase the utility of the questions in the research process (Castillo-Montoya, 2016). Once the researcher began the interview process, the researcher helped participants explain their experiences by carefully listening and following up with questions.

According to Seidman (2013):

The purpose of in-depth interviewing is not to get answers to questions. . . . At the root of in-depth interviewing is an interest in understanding the lived experiences of other people and the meaning they make of that experience. . . . At the heart of interviewing research is an interest in other individuals’ stories because they are of worth. (p. 9)

Phase 2: Constructing an Inquiry-Based Conversation

M. Patton (2015) stated a researcher’s protocol is an instrument of inquiry to ask questions for specific information related to the propose of the study. Phase 2 had a focus on the following: “(a) interview questions written differently from the research questions; (b) an organization following social rules of ordinary conversation; (c) a variety of questions and; (d) a script with likely follow-up and prompt questions” (Castillo-Montoya, 2016, p. 813).
**Phase 3: Receiving Feedback on the Interview Protocol**

Feedback can provide the researcher with information about how well participants understand the interview questions and whether their understanding is close to what the researcher intends or expects (M. Patton, 2015). Appendix A includes the checklist for close reading of the interview protocol.

**Phase 4: Piloting the Interview Protocol**

Merriam (2009) stated the best way to understand whether the order of the questions in the interview protocol works is to try them in a mock interview. During Phase 4, the researcher piloted the refined interview protocol with individuals who mirrored the characteristics of the target population (Maxwell, 2013). During the pilot interviews, the researcher took notes of opportunities for improvement of the interview protocol.

**Research Questions**

The overarching research question guiding this study was: What are the lived experiences of first-generation Filipino American students that pertain to the American Dream and value of pursuing higher education? The full protocol of interview and research questions is located in Appendix A.

**Limitations**

Creswell (2014) defined limitations as variables the researcher cannot control, and limitations that are uncontrollable mean a lack of adequate information. Atieno (2009) described the limitations of qualitative research:

The aim of qualitative analysis is a complete, detailed description. No attempt is made to assign frequencies to the linguistic features which are identified in the data, and rare phenomena receives (or should receive) the same amount of attention as more frequent phenomena. Qualitative analysis follows for fine
distinctions to be drawn because it is not necessary to shoehorn the data into a finite number of classifications. (Atieno, 2009, p. 17)

The researcher transcribed interviews and analyzed the data, formulating themes and conceptual categories to limit variables the research cannot control.

The researcher was not aware of participants’ families’ stories, as the researcher did not obtain a full description of their histories. Interviewees may not have been comfortable sharing their or their families’ full experiences. The researcher may have had bias in sharing aspects of identity with participants, but this sharing also built rapport and trust and may have resulted in a better understanding of participants’ experiences.

Creswell (2014) suggested bracketing of the researcher’s personal experiences, which may be difficult for the researcher because of the variety of interpretations of the data includes the assumptions the researcher brings to the topic. The researcher of this study identifies as a first-generation Filipino American, earned a bachelor’s degree and a master’s degree, and, at the time of the study, had student debt. Because the researcher met the criteria for participants, Creswell (2014) stated the researcher’s presence may create bias, as not all people are equally articulate and perceptive. Moustakas’ (1994) transcendental phenomenological approach helped the researcher to put aside biases and experiences to view the study phenomenon as if for the first time. During the participant interviews, the researcher used the interview protocol to listen and understand participants’ lived experiences. The researcher used the *epoche* process to set aside judgements and feelings about the participants’ responses (Moustakas, 1994).

The study included college graduates who met the stated criteria and excluded other minoritized students. Hycner (1985) stated due to the exclusion of some participants and the small sample, results may not be generalized. However, the study can
provide phenomenological information in general, and students who did not meet the criteria might see applicability to their own lived experiences. The sample size can be perceived as a limitation; however, due to the type of phenomenological research used, many researchers may find that qualitative research may be transferable to similar groups when approached with careful consideration (Hycner, 1985).

**Delimitations**

Delimitations are boundaries set by the researcher to control the scope of the study (Creswell, 2014). Delimiting factors include the choice of objectives, research questions, variables of interest, theoretical perspectives, and the population. The first delimitation is the choice of the problem of the study; the researcher formulated the research topic of this study. The second delimitation was the criteria for participation, such as levels of education, immigration statuses, and accumulation of student loan debt. The researcher developed interview questions for participants to share their lived experience. The third delimitation is the geographic region (Leedy & Ormrod, 2010); there was no set criterion of where participants lived.

**Definition of Terms**

Definitions may have different meanings for readers and participants, so the following definitions are provided for their use in this study.

*American* generally refers to persons or things related to the United States of America; among native English speakers, this usage is almost universal, with any other use of the term requiring specification (Wilson, 1993).

The Center for First-Generation Student Success (2019) defined *first-generation immigrant and first-generation student* as “a native-born citizen or resident of a country
whose parents are foreign-born, or a foreign-born citizen whose parents immigrated when that person was very young, that is, the first native-born generation” (p. 1).

First-generation students are “categorized as those who are the first in the family to attend college. It implies the possibility that a student may lack critical cultural capital necessary for college success because their parents did not attend college” (p. 1).

The Migration Policy Institute (2020) defined first-generation immigrant children as “any foreign-born child with at least one foreign-born parent” (p. 1).

The U.S. Department of Immigration (2019) defined immigrant as a person who migrates to another country, usually for permanent residence. Immigrants are motivated to leave their countries of citizenship, or habitual residence, for a variety of reasons. Such reasons may include a desire for economic prosperity, to change one's quality of life, better job opportunities, family reunification, retirement, climate or environmentally induced migration, exile, escape from prejudice, conflict or natural disaster. (p. 1)

Pike & Kuh (2005) defined second generation students as “students whose parents or guardians earned at least one baccalaureate degree” (p. 278).

The Migration Policy Institute (2020) defined second-generation immigrant children as “any U.S. born child with at least one foreign-born parent” (p. 1).

Tajfel and Turner (1979) defined social identity as a person’s sense of who they are based on their group membership. Tajfel and Turner proposed groups (e.g., social class, family, football team) provided a sense of belonging and were a valuable source of pride and self-esteem. Social identity gives individuals a sense of belonging to the social world. Tajfel and Turner proposed there are three mental processes involved in the evaluation of others: (a) social categorization, (b) social identification, and (c) social comparison. Social categorization is defined as categorizing objects to understand and identify the social environment. For example, society categorizes ethnic groups into
specific categories that tell us what these people are. *Social identification* is defined as adopting an identity to represent a group that individuals feel they belong to. The last is a *social comparison*, occurring once individuals have categorized themselves into a group in contrast to other groups.

L. D. Patton et al. (2016) defined *SES* as object dimensions such as household income, occupational status, and educational status. Socioeconomic status represents the perception of the American Dream that a certain individual must meet to be able to feel that the American Dream is accomplished.

Wagley and Harris (1958) stated a *minority group* is distinguished by five characteristics: (a) unequal treatment and less power over their lives, (b) distinguishing physical or cultural traits like skin color or language, (c) involuntary membership in the group, (d) awareness of subordination, and (e) high rate of in-group marriage.

Bernard (1991) defined *resilience* as students’ abilities to overcome adversity and succeed academically despite difficult circumstances.

Arnold (1999) defined *persistence* as students’ continued behavior in a higher education institution, which leads to the completion of a degree.

**Summary**

First-generation Filipino American students play an important role in learning about minoritized groups that may have the opportunity to pursue the American Dream. It is important to ensure these students continue to understand the impact of the historical background of Filipinos and the obstacles of the value of education and excessive student loans and how it relates to the American Dream. This study informs the experience of
immigrant Filipino and first-generation Filipino American students and graduates on the importance of education and awareness of challenges in pursuing the American Dream.
CHAPTER 2: LITERATURE REVIEW

This chapter is a review of literature relating to first-generation Filipino American students pursuing higher education and the American Dream. This chapter begins with the history of Filipino migration to the United States. Further, this chapter includes a definition of the American Dream, minorities’ experiences of and challenges with the American Dream, an exploration of the MMM, a summary of key theories, and a conceptual framework of barriers to the American Dream.

Filipino Migration to the United States

This section is a description of how Filipinos have perceived the attainment of opportunities through the historical migration and the impacts of migration. According to F. Cordova (1983), Filipinos came to the United States in four waves: (a) before 1906, (b) 1906-1945, (c) 1945-1965, and (d) after 1965. The remaining subsections of Chapter 2 includes Filipino communities in Hawaii, California, Alaska and Washington State.

First Wave

According to Welch (2014), in the early 1700s, Filipino sailors escaped Spanish ships to establish the fishing village of Saint Malo in what would become the state of Louisiana. Saint Malo flourished from the 18th century to the early 20th century, before being destroyed by a hurricane in 1915 (Welch, 2014).

After 1763, Filipinos, such as mariners, adventurers, and domestics (i.e., those in childcare, household maids, or hired help to upkeep homes and yards), migrated to the West Coast of the continent, the Hawaiian islands, and the territory that would become Alaska, to expand opportunities in fishing and whaling industries (Stanford School of Medicine, 2019). The Manila Men, later called Taglas (from Tagalog, the main spoken
language of the Philippines), constituted a large Catholic population in Louisiana and influenced the community by celebrating monthly Filipino-themed nights in the city of New Orleans.

After the United States took possession of the Philippines in 1898, many Filipino men migrated to the United States to seek employment as laborers in fields and canneries. Although there were many factors that influenced Filipino migration to the United States, the idea of the American Dream promised educational opportunities for Filipinos (Fresco, 1999).

**Pre- and Post-World War II**

In 1928 I came to the United States, land of opportunity, where I planned to work my way through college, I graduated from high school. My desire to pursue a higher education was during a poor time because of the Depression.

*– Ted Abuan, Cannery Workers’ and Farm Laborers’ Union, 1933-1939*

When World War II began, Filipinos, eager to show support, rushed to join the military. In 1942, President Franklin D. Roosevelt (1882-1945) granted U.S. citizenship to enlistees, resulting in many new Filipino American citizens. Filipinos also showed their support by buying $107,925 worth of war bonds (Mejia-Giudici, 1998). According to Mejia-Giudici (1998), post-World War II saw the rise of Filipino communities, with the arrivals of new war brides, military families, immigrants, exchange students, and workers. Culminating in the second wave of immigration, the War Brides Act of 1945 permitted Filipino veterans to bring their wives and children to the United States (Mejia-Giudici, 1998). Aside from World War II veterans, there was also a steady growth in the number of Filipino-born men engaged in active duty military service during the Vietnam War, Korean War, and postwar era (Terrazas & Batalova, 2008).
1900-1965

The U.S. colonization of the Philippines, from 1900 to 1934, had a tremendous impact on Philippine immigration (Stanford School of Medicine, 2019). Filipinos became U.S. nationals and were given the opportunity to live legally in the United States under the protection of the Philippine Immigration Act of 1940. Filipinos had the right to travel to the United States even after immigration laws, such as the Tydings-McDuffle Act of 1934.

The Pensionados were a special group of privileged, elite young men who came to the United States in the early 1900s as government-sponsored scholars. The scholarship program was intended to educate these young men about the U.S. government system so that they would return to the Philippines to administer their own government in a similar fashion. After attaining their degrees, most Filipinos went back to the Philippines, but some remained in the United States and blended in with Filipino communities (Stanford School of Medicine, 2019).

1965-1990

Filipino American communities became more diverse from 1965 to 1990, due to the immigration of highly educated professionals, mostly in the healthcare field (i.e., nurses, doctors, and medical technologists). Some professionals who were not successful in obtaining professional licenses accepted lower status employment in healthcare and in other areas; others started small businesses. In the mid-1970s, economic and political refugees from the Marcos regime (1966-1986) under the leadership of Ferdinand Marcos, who was a Philippine lawyer and politician, immigrated to the U.S. The Marcos regime
established an authoritarian regime that came under criticism for corruption and suppression of democratic processes (*Encyclopedia Britannica*, 2020).

During the Marcos regime, short-stay visitors (i.e., overseas contract workers, students, people in business, and tourists) added to the sociocultural, educational, economic, and political diversity of the community. Filipinos with short-term visas became a labor pool for low-paying or unpopular jobs, such as nursing assistants, orderlies, or clerks in long-term care services (e.g., nursing homes, home care, live-in childcare, or elderly caregivers). Some retired, professional Filipinos who joined their families sought these types of employment or became surrogate parents for their preschool and school-age grandchildren (*Stanford School of Medicine*, 2019).

**1990-Present**

The 1990 amendment to the Immigration and Naturalization Act (INA) brought an influx of aging Filipino World War II veterans who were given U.S. citizenship because of an unfulfilled promise to grant them citizenship for fighting in World War II (Mejia-Giudici, 1998). Many of these veterans migrated to the West Coast, and a large number have lived in California. According to the Stanford School of Medicine (2019), Filipinos were allowed to immigrate but were not given service-related benefits and were without health benefits. Access to non-Veteran Administration services and protracted advocacy for their well-being has been an ongoing issue. The effects of acculturation on intergenerational Filipino families contributed to the heterogeneity of this population, particularly in values, health beliefs, health practices, and attitudes toward health care and social services.
Compared to the early 1900s, the number of Filipino immigrants has dramatically increased, making Filipinos the second largest immigrant group in the United States after Mexican immigrants. Many elderly Filipino immigrants who migrated to the United States had limited professional backgrounds and were less likely to find job opportunities in the U.S. labor market. The jobs they did find were usually minimum-wage positions without benefits and/or service-oriented jobs (e.g., babysitting, care of the disabled, or care of the elderly) with private-wage arrangements that did not require deductions for income taxes. These older adults are one of the minorities in the United States who have depended and relied on government assistance. The family values of reunification, interdependence, social cohesiveness, and collectivism persisted in Filipino American communities despite the existence of SES and healthcare disparities and racism (F. Cordova, 1983).

Many Filipino men worked as farmers in California in the San Joaquin Valley, Salinas, and Sacramento (Migration Policy Institute, 2020). Some became factory workers in the Alaskan fishing and cannery industries, while others took low-paying custodian, busboy, and domestic service jobs (Stanford School of Medicine, 2019).

According to Batalova & Zong (2018), there are more than four million Filipinos in the United States (see Table 1). The data show Filipinos are an emerging population not just in Asian American communities but throughout the United States (Batalova & Zong, 2018).

**Filipino Communities in the United States**

Alaska, Hawaii, California and Washington State are prominent locations of Filipino history (see Table 1). These states represent a significant impact of the beginning
migration of Filipinos to the United States and Filipino communities have emerged and increased over the years.

Table 1

Filipinos in the United States

<table>
<thead>
<tr>
<th>State</th>
<th>Total number of Filipinos</th>
</tr>
</thead>
<tbody>
<tr>
<td>California</td>
<td>1,651,933</td>
</tr>
<tr>
<td>Hawaii</td>
<td>367,364</td>
</tr>
<tr>
<td>Texas</td>
<td>194,427</td>
</tr>
<tr>
<td>Washington State</td>
<td>178,300</td>
</tr>
<tr>
<td>Nevada</td>
<td>169,462</td>
</tr>
<tr>
<td>Illinois</td>
<td>159,385</td>
</tr>
<tr>
<td>New York</td>
<td>144,436</td>
</tr>
<tr>
<td>Florida</td>
<td>143,481</td>
</tr>
<tr>
<td>New Jersey</td>
<td>129,514</td>
</tr>
<tr>
<td>Virginia</td>
<td>108,128</td>
</tr>
<tr>
<td>Maryland</td>
<td>71,858</td>
</tr>
<tr>
<td>Arizona</td>
<td>70,333</td>
</tr>
<tr>
<td>Alaska</td>
<td>19,394</td>
</tr>
</tbody>
</table>


Alaska

Many Filipinos migrated to Alaska during a call for migration workers. According to Tai (2019), Filipinos or Alaskeros (Filipinos who live in Alaska) settled in the territory that would become Alaska in the late 1700s and have been living in that area for more than 200 years. Filipinos make up the largest immigrant minority in Alaska (approximately 30,000), and some have married local Alaskans (Tai, 2019).

Hawaii

The 6,000 post-World War II labor recruits were known as Sakadas: plantation workers contracted to work in the sugar and pineapple fields of Hawaii. For many Japanese immigrants, most of whom had worked their own family farms back home, the relentless toil and impersonal scale of industrial agriculture was unbearable, and thousands fled to the mainland United States before their contracts were complete (U.S.
Library of Congress, 2019). The Sakada system launched the second wave of Filipino immigrants in 1906. By the beginning of the 1930s, Filipinos had become the backbone of the sugar industry and had replaced the Japanese as the largest ethnic work force on the plantations (Buenaventura, 1996). In 1946, the Hawaiian Sugar Planter’s Association (HSPA) initiated a plan to recruit mass labor from the Philippines for Hawaii’s plantations (Buenaventura, 1996). The HSPA plan brought in 6,000 Filipino immigrant workers, accompanied by their families.

**California**

California was a popular state for Filipino migration in the rise of the agricultural economy. From 2008-2018, Batalova and Zong (2018) stated Filipinos have been the largest Asian minority in California, with an estimate of 1.5 million people and about 55% of Filipinos born in the Philippines, and the Filipino community represents the highest number of all immigrants who acquired permanent residence in the last 10 years. As agricultural laborers, Filipinos pick and wash asparagus and a variety of fruits, such as peaches, melons, grapes, pears, apricots, apples, and citrus fruits. Others have engaged in rice harvesting, beet hoeing and topping, tomato and lettuce harvesting, and other jobs classifiable as ranch labor. Stockton, Salinas, and Watsonville have absorbed much of the Filipino population, but a huge number of Filipinos have also worked as agricultural farm hands in other counties in California (The Philippine History Site, 2001).

According to the Philippines History site (2001), due to the rise of California’s agricultural economy, Filipinos arrived in California in large numbers starting in the 1920s. Filipinos worked as seasonal employees and were encouraged to move from farm to farm based on the agricultural economy needs. Filipinos who arrived in California
were mostly students sent by the Philippine government to study under the pensionado system. Many Filipinos who came to California were Sakadas who broke their 3-year contract with the HSPA in Hawaii. In 1920, there were 5,693 Filipinos living in the United States, including 3,300 in California. By 1930, 45,208 Filipinos were living in the United States, with 30,000 toiling in California and approximately 4,000 more arriving yearly (Philippines History site, 2001).

**Washington State**

Filipinos have immigrated to Washington State since the 19th century. In 1910, the census recorded 17 Filipino residents in Washington State (Mejia-Giudici, 1998). In 1883, the first known Filipino in Seattle worked at a lumber mill on Bainbridge Island. In 1909, the first Filipino war bride arrived in the Igorotte Village, which was located in the Alaska-Yukon-Pacific Exposition (D. Cordova, 2009).

According to F. Cordova (1983), by 1912, 209 Filipino students had graduated from U.S. college or university programs. The University of Washington enrolled the highest number of Filipinos of any institution in the United States (F. Cordova, 1983). In the Philippines, word spread of job opportunities in Washington State. By 1924, there were enough Filipino students enrolled at the University of Washington to support a newspaper publication, called *The Seattle Colonist* (Mejia-Giudici, 1998).

By 1930, 3,480 Filipinos lived in Washington State, including 1,600 in Seattle. This number included a diverse cross-section of society, including professionals, businessmen, students, families, and a number of second-generation Filipinos. Filipino musical performers, such as Seattle’s Moonlight Serenaders, traveled up and down the
West Coast. Filipinos frequented taxi dance halls and held popular boxing matches (Mejia-Giudici, 1998).

According to F. Cordova (1983), in 1946, President Harry S. Truman signed the Filipino Naturalization Bill, enabling Filipinos to become citizens. In the same year, on July 4, the Philippines gained its independence. To celebrate the Philippine independence, Filipinos in Seattle began an annual tradition of picnics at Pinoy Point in Seward Park (D. Cordova, 2009).

In 1990, there was an estimated population of 30,000 Filipinos because Seattle was the closest mainland U.S. port to the Far East. In the same year, in Seattle, the U.S. government hired 40 Filipinos to work aboard the steamship Burnside to lay cable in the Pacific (Mejia-Giudici, 1998). Many Filipinos who migrated to the United States during the 1900s decided to apply for U.S. citizenship to live in the United States. The current immigration policy in the United States has been more challenging based on a variety of U.S. immigration policies.

**Immigration to the United States**

The American Immigration Council (2016) stated the INA, the law governing immigration policy, provides for an annual worldwide limit of 675,000 permanent immigrants to the United States, with certain exceptions for close family members. Immigrants are categorized under different facets of the immigration laws; the categories include (a) family-based immigration, (b) employment-based immigration, and (c) humanitarian immigration. Data show most Filipinos who migrate to the United States apply for visas based on immediate relatives who sponsor their family members (see Figure 2). Minority groups born outside of the United States experience the American
Dream differently than U.S.-born citizens because of the limited access to equal opportunities and resources (Ruth, 2018).

**Figure 2**

*Filipino Immigrants in the United States 2015*

Source. (Migration Policy Institute, 2020).

According to the Apply for a U.S. Visa website (2019), a citizen of a foreign country who wishes to enter the United States must first obtain a visa, either a nonimmigrant visa for temporary stay or an immigrant visa for permanent residence. Citizens of qualified countries may be able to visit the United States without a visa under the Visa Waiver Program (VWP). All travelers coming to the United States under the VWP must obtain authorization through the Electronic System for Travel Authorization (ESTA) system prior to initiating travel to the United States. The ESTA is an automated system that determines the eligibility of visitors to travel to the United States under the VWP. Authorization via ESTA does not determine whether a traveler is admissible to the United States. U.S. Customs and Border Protection officers determine admissibility
upon a traveler’s arrival. The ESTA application collects biographic information and requires answers about VWP eligibility questions. ESTA applications may be submitted at any time prior to travel, though it is recommended that travelers apply as soon as they begin preparing travel plans and prior to purchasing airline tickets (Apply for a U.S. Visa, 2019).

The VWP enables nationals of certain countries to travel to the United States for tourism or business for stays of 90 days or less without obtaining a visa. Not all countries participate in the VWP, and not all travelers from VWP countries are eligible to use the program (Apply for a U.S. Visa, 2019). If individuals do not apply for the VWP or are traveling to study, work, participate in an exchange program, or any other purpose that does not fall under a B visa purpose of travel, individuals need a nonimmigrant visa. A visa does not guarantee entry to the United States. A visa indicates a U.S. consular officer has determined that an individual is eligible to apply for entry to the United States for a specific purpose (Apply for a U.S. Visa, 2019).

A nonimmigrant visa is used by tourists, businesspeople, students, or specialty workers who wish to stay for a particular period of time in the United States to accomplish specific purposes. According to U.S. visa laws and regulations, most nonimmigrant visa applicants must demonstrate to the consular officer that they have strong ties to their country of residence and must show that they intend to depart the United States after their temporary stay (Apply for a U.S. Visa, 2019).

Immigrant visas are for people who plan to live permanently in the United States. The immigrant visa permits application for admission to the United States as a legal permanent resident and is a potential step toward acquiring U.S. citizenship. Most
immigrant visa applications begin when a qualified family member who is a U.S. citizen or legal permanent resident submits a petition on behalf of the intending immigrant to the U.S. Citizenship and Immigration Service (USCIS, 2019) in the United States or at a U.S. Embassy or Consulate abroad. It is also possible for a U.S. employer to file a petition for a foreign national whom the employer wishes to hire for an eligible permanent position (Apply for a U.S. Visa, 2019).

**Types of U.S. Visas**

According to the USCIS (2019), there are seven types of visas to enter the United States: (a) Form I-130 (Petition for Alien Relative), (b) Form I-131A (Application for Travel Document), (c) Form I-360 (Petition Filing, Widow(er)s of Deceased U.S. Citizens), (d) Form I-407 (Record of Abandonment of Lawful Permanent Resident [LPR] Status), (e) Form I-730 (Refugee/Asylee Relative Petition), (f) Form N-400 (Application for Naturalization), and (g) Filipino World War II Veterans Parole Programs. The I-130 Petition for Alien Relative visa is described as an individual who resides in the United States and a U.S. citizen or LPR of the United States who needs to establish a relationship to an eligible relative who wishes to immigrate to the United States (USCIS, 2019). The I-131A form is an application-for-travel document that is an LPR, including LPR with conditions, and applies for a travel document (carrier documentation) that allows the individual to board an airline or other transportation carrier without the airline or transportation carrier being penalized (USCIS, 2019). Form I-360 (Petition Filing, Widow(er)s of Deceased U.S. Citizens) applies to the following individuals:

- Amerasian (having one U.S.-born and Asian-born parent and born after December 31, 1950 and before October 23, 1982,
• Widow(er) of a U.S. citizen,
• Self-petitioning spouse or child of an abusive U.S. citizen or LPR,
• Self-petitioning parent of an abusive U.S. citizen, or
• Special immigrant.

A special immigrant is defined as one of the following:

• Religious worker,
• Panama Canal Company employee, Canal Zone government employee, or U.S. government in the Canal Zone employee,
• Physician,
• International Organization or NATO-6 employee or family member,
• Juvenile-declared dependent of a juvenile court,
• U.S. armed forces member,
• Afghan or Iraqi national who worked for or on behalf of the U.S. government as a translator,
• Iraqi national who worked for or on behalf of the U.S. government in Iraq,
• Afghan national who worked for or on behalf of the U.S. government or the International Security Assistance Force in Afghanistan, or
• “Broadcasters” (USCIS, 2019, p. 1)

The I-407 form, Record of Abandonment of LPR Status, is described as an individual who is voluntarily abandoning the status as an LPR of the United States (USCIS, 2019). The I-730 form (Refugee/Asylee Relative Petition) is an individual who has been admitted to the United States as a principal refugee or was granted status in the United States as a principal asylee in the previous 2 years. Applicants can file Form I-730 to
request follow-to-join benefits with a spouse and unmarried children under 21 years of age only. In some cases, the USCIS (2019) may grant a waiver of the 2-year filing deadline for humanitarian reasons. The N-400 form, Application for Naturalization, is for an individual who is a member of the U.S. military stationed overseas (USCIS, 2019). The Filipino World War II Veterans Parole, which was effective on June 8, 2016, allowed certain Filipino World War II veterans and their spouses who are U.S. citizens and LPRs to request parole for certain family members. If approved for parole, family members would be able to reunite in the United States before their immigrant visas were available (USCIS, 2019).

**Past Immigration Policies**

According to the Stanford School of Medicine (2019), the U.S. colonization of the Philippines from 1900 to 1934 had a tremendous impact on Filipino immigration. Filipinos became U.S. nationals and were given the opportunity to live legally in the United States under the protection of immigration policies. The demand for labor on Hawaiian plantations and California farmlands attracted thousands of Filipino immigrants, who came mostly from the provinces of Ilocos and Cebu, to replace the Japanese workforce. Many Filipino immigrants came to Hawaii as U.S. Nationals (Stanford School of Medicine, 2019).

**Asian Exclusion Act of 1924**

According to Mejia-Giudici (1998), the Asian Exclusion Act of 1924 impacted the immigration of many Chinese and Japanese people to the United States. The Asian Exclusion Act of 1924 limited the number of immigrants allowed entry to the United States through a national origins quota that completely excluded Chinese and Japanese
immigrants. The act, however, did not affect Filipinos because the Philippines was a territory of the United States. Filipinos had a unique status of *nationals*, rather than *aliens* (Mejia-Giudici, 1998). Filipinos were not required to carry a passport and could enter the country without restrictions.

**The Tydings-McDuffle Act and Filipino Immigration**

The Tydings-McDuffle Act of 1934 was created to provide for the complete independence of the Philippine Islands. The Philippine Independence Act established the independence for the Filipino people, to obtain sovereignty status. The Tydings-McDuffle Act of 1934 has been described as:

> An Act to provide for the complete Independence of the Philippine Islands, to provide for the adoption of a constitution and a form of government for the Philippine Islands, and for other purposes. The most prominent and much discussed costs for obtaining independence have been the provisions dealing with tax-exemptions on U.S. properties in the Philippines, Philippine trade concessions and the taxing of Philippine goods entering the U.S. and the U.S. rights to maintain military and other reservations and armed forces in the Philippines. (Buenaventura, 1996, p. 1)

The Philippines fought for many years to become independent, and the Tydings-McDuffle Act was a historical achievement to create the complete independence of the Philippine Islands; however, the provisions of the act made it a challenge for Filipinos to enter the United States.

The HSPA anticipated negative consequences of the Tydings-McDuffle Act and successfully lobbied for Hawaii’s exemption from the Asian Exclusion Act of 1924. The Tydings-McDuffle Act Section 8a(1) said:

> [The Asian Exclusion Act of 1924] shall not apply to a person coming or seeking to come to the Territory of Hawaii who does not apply for and secure an immigration or passport visa, but such immigration shall be determined by the Department of the Interior on the basis of the needs of industries in the Territory of Hawaii. (Buenaventura, 1996, p. 74)
Section 8a(2) has stipulated:

Citizens of the Philippine Islands who are not citizens of the United States shall not be admitted to the continental United States from the Territory of Hawaii (whether entering such Territory before or after the effective date of this section) unless they belong to a class declared to be nonimmigrants by Section 3 of the Immigration Act of 1924 or to a class declared to be nonquota immigrants under the provision of Section 4 of such Act . . . or unless they were admitted to such Territory under an immigration visa. The Secretary of Labor shall by regulations provide a method for such exclusions and for the admission of such excepted classes. (Buenaventura, 1996, p. 76)

Lastly, in 1945, the HSPA decided “on the basis of the needs of industries in the Territory of Hawaii” (Buenaventura, 1996, p. 76), HSPA needed to recruit 6,000 male workers from the Philippines before the country became independent, on July 4, 1946 (Buenaventura, 1996). When Congress passed the Tydings-Mcduffle Act in 1935, Filipinos in the United States were no longer U.S. nationals who could come to the United States without restrictions. Filipinos who migrated to the United States were now aliens, and the new immigration quota was 50 Filipinos per year, under the diversity quota.

**Filipino Repatriation Act of 1935**

In 1935, the Filipino Repatriation Act passed. The act called for the government to pressure Filipinos to return to the Philippines by offering them free passages. By the time the repatriation program was declared unconstitutional in 1940, 2,190 Filipinos had returned to the Philippines. By that year, the Filipino population in Washington State had dipped to 2,222 from 3,480 the decade before (Mejia-Giudici, 1998).

**The Philippine Immigration Act of 1940**

The Philippine Immigration Act of 1940 is a law that established a Bureau of Immigration of the Philippines implementing the visa policy of the Philippines. The law contained several categories of people to be excluded from the Philippines. The common
grounds for exclusion were those likely to become a public charge, people who had been convicted of a crime involving moral turpitude, and people not properly documented (Official Gazette, 1940).

**The 1965 Immigration and Nationality Act**

The 1965 Immigration and Nationality Act, which liberalized immigration laws, made it possible to sponsor other family members such as minor children, spouses, unmarried and married adult sons and daughters, and parents of adult U.S. citizens. Similarly, a high proportion of international students were enrolled in U.S. universities (Chishti et al., 2015).

**Nationality Act**

In 1965, the U.S. Congress amended the Nationality Act, lifting national quotas. Independent nations outside the Western Hemisphere were allowed to send up to 20,000 immigrants to the United States per year. The huge influx of Filipinos marked the end of the third wave of migration (Mejia-Giudici, 1998).

**United States Immigration Reform**

One of President Donald J. Trump’s agenda items in 2018 was to cut down on legal immigration and to strengthen the U.S. Department of Homeland Security to enforce immigration laws (USCIS, 2019). According to the USCIS (2019), there are five major changes to the immigration regulations and policy that will take effect with legal immigrants with visas and green cards in the United States: (a) new deportation guidelines, (b) denial of applications without warnings, (c) changes in the medical exam record for U.S. residency, (d) proof of joint residence in martial unions for citizenship application, and (e) interview waivers for green cards through marriage. The USCIS
(2019) has instituted some new rules that will take effect in 2020. The new rules include:
(a) failing to admit you are an immigrant on your tax returns or failing to report some of
your income could get you deported; (b) men between the ages of 18 and 25 who hold a
green card must register with the U.S. Selective Service, because failure to do so could
lead to deportation; and (c) an extended overseas vacation could cost someone their green
card - it could be considered “abandonment” of the green card (USCIS, 2019).

Deportations from the United States are rising, and in 2018, the United States settled the
smallest number of refugees since formal creation of the refugee resettlement program in
1980 (Zong et al., 2019).

Deferred Action for Childhood

On June 15, 2012, the Secretary of Homeland Security announced certain people
who came to the United States as children and met several guidelines may request
consideration of deferred action for a period of 2 years, subject to renewal, which is
called Deferred Action for Childhood Act (DACA). DACA-eligible individuals are
eligible for work authorization. Deferred action is a use of prosecutorial discretion to
defer removal action against an individual for a certain period of time. Deferred action
does not provide lawful status (USCIS, 2019)

Current State of Filipinos in the United States

The demographics of Filipinos in the United States is an essential factor in
understanding the historical context of the prevailing trends of Filipinos’ education,
occupations, and income that relates to this study. Filipinos U.S. citizens ages 25 or older
have much higher education compared to native-born Filipinos. About half of Filipino
immigrants have a bachelor’s degree. The majority of Filipinos living in the United States
are employed in management, business, science, and arts occupations with a median household income of $87,000 compared to an average of $54,000 for other immigrant families (Batalova & Zong, 2018). The average household income in the United States is $61,372 (Migration Policy Institute, 2020). Many Filipino families who have migrated to the United States value and pursue higher education (Deruy, 2017). Data have shown Filipino families have higher household incomes because of the value of pursuing an education for the betterment of their families. From the onset of United States colonial rule, with its heavy emphasis on mass public education, Filipinos have internalized the U.S. ideal of a democratic society in which individuals could get ahead through attainment of a good education (Dolan, 1991).

**What is the American Dream?**

French historian Alexis de Tocqueville (1835/2000) wrote *Democracy in America*, in which he discussed U.S. society in the 19th century and created a compelling vision that has drawn millions of immigrants to the United States. As a central symbol in U.S. culture, the American Dream represents a distilled version of fundamental U.S. values and represents a central ideology of people who live in the United States. The American Dream continues to represent U.S. values by influencing the promise of upward social mobility and the ideas of nondiscrimination and fairness (Sardoč, 2017). Erisman and Looney (2007) stated the American Dream is impossible to attain without some college education, and many immigrants face significant barriers to gain access and to succeed in higher education.

The term *the American Dream* was created in 1931 by James Truslow Adams. Adams defined the American Dream as the potential for life to be richer, better, fuller for
everyone, with opportunities dependent upon each person’s abilities and achievement (Combs, 2015). An alternate definition was created years later by author Thomas Clayton Wolfe, who added material success and wealth aspirations to the dream (Combs, 2015). The American Dream includes opportunities based on other U.S. values, such as freedom and equality (Hanson & White, 2011). A central characteristic of the American Dream is the belief that with hard work and perseverance, success, opportunity, and achievement are guaranteed (Cohen-Marks & Stout, 2011; Hanson & Zogby, 2010; Hauhart, 2015). In addition, opportunities are attained through a person’s ambition and abilities (Akom, 2008).

The Declaration of Independence protects the rights of all citizens to contribute to society and the belief that each citizen can improve their lives (Amadea, 2019). According to Amadea (2019), the American Dream represents a distilled version of fundamental U.S. values and a central ideology of people who live in the United States. The American Dream continues to represent U.S. values by influencing the promise of upward social mobility and the ideas of nondiscrimination and fairness (Sardoč, 2017).

**Minorities’ Perceptions of the American Dream**

The American Dream is often linked with the life and educational experiences of immigrants in the United States. The ideology of a meritocracy and the perceived role of education as a means for SES ascension are integral to understanding why the ideology of the American Dream is still relevant to immigrants who migrate to the United States.

**African Americans**

African Americans arrived in the United States between 1500 and the end of the slave trade in the 1860s, and at least 12 million Africans were forcibly taken to the

According to Johnson (2014), the American Dream is based on a person’s point of view and their own personal goals in life, but questions arise about how the American Dream can be achieved if every human being does not have equal opportunities: Racism must end and everyone must be viewed as equals for the American Dream to exist. African Americans have faced the hardships of racism in pursuit of the American Dream (Johnson, 2014). Many activists have fought to end racism and create equal opportunity; however, though African Americans have gained equal rights, they experience injustice and disadvantages compared to experiences of White people. In a study about how discrimination impacts the American Dream for African Americans, Armstrong et al. (2019) stated African Americans are affected by discrimination and often believe they will never achieve the American Dream. The authors found African Americans who had reported successfully fulfilling the American Dream were more likely to have higher life satisfaction, more successful careers, higher income, and higher education levels compared to African Americans who said they were affected by discrimination. According to Wolters (2015), even though a majority of African Americans face challenges to the American Dream, African Americans are minorities who were forced to
move to the United States rather than coming to the United States willingly, like other minoritized populations discussed in this chapter.

**Caribbean Americans**

During the Civil War, thousands of Caribbean immigrants were legally employed to work on sugar cane plantations in Florida under the W2 workers’ program (Spring, 2019). In 2017, approximately 4.4 million Caribbean immigrants resided in the United States, accounting for 10% of the nation’s 44.5 million immigrants. With the exception of Jamaica, all Caribbean nations were under direct U.S. political control at some point, which created incentives and opportunities for the nationals of these islands to migrate to the United States (Zong & Batalova, 2019).

The Civil War ended in 1865, which spawned the abolition of slavery (Spring, 2019). The Civil War influenced Caribbean-Americans to immigrate with the hope of achieving the American Dream. A famous individual of Caribbean descent, such as Malcolm X, thrived in American Society and contributed enormously to the American Dream and invited more Caribbeans to enter the United States (Spring, 2019).

**Latinx/Hispanics**

Latinos were among the first immigrants to arrive in the United States (Torres, 2013). Before the English came to the America in 1609, there was Spanish presence in the southwest in what would become Texas and New Mexico (Torres, 2013). Latinx individuals are Latin American descendants from Brazil, Mexico, Colombia, Argentina, and other Latin countries (Sosa, 2016). The first significant influx of Latino immigrants to the United States occurred during the California Gold Rush and after the U.S. and
Mexico modern boundary was established at the end of the U.S. Mexican War in 1846 – 48 (Gutierrez, 2020).

According to Markelz (2014), Latinx perceptions of the American Dream is meaningless if they lose their Latin soul in the process. Latinx people may feel the American Dream is hard to reach because of the belief that their own culture will integrate with U.S. culture (Lopez et al., 2018). Lopez et al. (2018) stated half of Latinx people (51%) believed they had achieved the American Dream, and 74% said achieving the American Dream is difficult. Chinese communities also face challenges, which will be discussed in the following section.

**Chinese Immigrants**

Chinese immigration began in 1849 after the California Gold Rush and the passage of the Chinese Exclusion Act of 1882 (Chinese Immigration to America, 2014). The Chinese Exclusion Act of 1882 has been defined as:

Chinese Immigration to America by unskilled workers was 'temporarily' halted by the 1882 Chinese Exclusion Act. The law allowed “exempt” classes to enter the United States such as merchants, diplomats, teachers and students. The Chinese Exclusion Act was only intended to cover a period of 10 years later, but additional laws were passed extending the period of exclusion. (Chinese Immigration to America 2014, p. 1)

Chinese immigrants arrived in the United States in hopes of securing money to send back to their families in China, as they perceived the United States as a symbol of monetary prosperity (Chinese Immigration to America, 2014). According to Chinese Immigration to America (2014) the first port of Chinese immigration was located in San Francisco, California. The Chinese principles of freedom, choice, and opportunity informed perceptions of the American Dream and migration to the United States (Echeverria-Estradam & Batalova, 2020).
First-Generation Students in Higher Education

The Postsecondary National Policy Institute (2019) found first-generation undergraduate students who were enrolled in predominantly non-White institutions and from low-income backgrounds faced financial challenges and academic and social barriers when navigating college-entry processes because of the lack of college experiences from parents. Researchers have found significant differences in first-generation students in enrollment, degree attainment, and finances between students whose parents had a bachelor’s degree or higher and those who had not earned bachelor’s degrees or higher (Postsecondary National Policy Institute, 2019).

Because of first-generation students’ challenges, many institutions have chosen to develop federal programs, such as TRIO. TRIO refers to three programs: Upward Bound, Talent Search, and Student Support Service, which serves Deferred Action for Childhood Arrivals (DACA) recipients, low-income students, veterans, and students with disabilities. These programs have been identified to support first-generation student success in higher education.

Demographics of First-Generation Students

Based from the U.S. Department of Education (2018) data from the 2011-2012 academic year, the median age for first-generation students was 24, compared to the median age of 21 for students whose parents had at least a bachelor’s degree. About 34% of first-generation students were over age 30, compared to 17% of students whose parents had at least a bachelor’s degree. Among students considered independent for financial aid purposes, 60% of first-generation students had dependents, compared to 45% of students whose parents had at least a bachelor’s degree U.S. Department of Education (2018).
Minority students were more likely than White students to be first-generation students, while 42% of Black students and 48% of Hispanic students were first-generation students, compared to 28% of White students. English was not a first language for nearly 20% of first-generation students U.S. Department of Education (2018).

**Enrollment and Degree Attainment Data**

According to Cataldi et al. (2016), first-generation students have been more likely to attend 2-year schools than other students: “Forty-eight percent of first-generation students enrolled in a 2-year school, compared with 32% of students whose parents had at least a bachelor’s degree. Only 25% of first-generation students attended 4-year institutions” (p. 4). According to the Postsecondary National Policy Institute (2018), first-generation students have been more than seven times more likely to earn bachelor’s degrees if they start in 4-year institutions as opposed to 2-year institutions. The Postsecondary National Policy Institute (2019) gave statistics on first-generation students enrolled in higher education in for-profit schools: First-generation students were more likely to enroll in for-profit schools. While 19% of first-generation students enrolled in for-profit schools, compared to 8% of students whose parents had at least a bachelor’s degree. Nearly 50% of all first-generation students enrolled in for-profit schools were first-generation students.

In addition, The Postsecondary National Policy Institute (2019) stated statistics on attendance for first-generation students: first-generation students were more likely to attend college part time than their peers. Forty-eight percent of first-generation students attended college part time, compared to 38% of students whose parents had at least a bachelor’s degree.
Lastly, The Postsecondary National Policy Institute (2019) shared statistics on the type of learning of first-generation students. First-generation students enrolled in distance education at a higher rate than their peers. Eight percent of first-generation students enrolled in distance learning, while 5% of their peers whose parents had at least a bachelor’s degree enrolled in distanced learning.

According Cataldi et al. (2016), first-generation students have been less likely to complete their college degrees in 6 years than their peers whose parents had at least some college experience (50% first-generation versus 64% non-first generation). First-generation students have shown a high risk of not completing higher education because first-generation students also experience challenges (Cataldi et al., 2016), which are presented in the following section.

Challenges

According to Cataldi et al. (2016), first-generation students have demonstrated lower rates of college readiness in key academic areas compared to their non-first-generation peers. First-generation students who demonstrate lower rates in college readiness are at a higher risk of failing out of college than their peers, and 36% of first-generation students in their first or second year of undergraduate education reported taking remedial classes after high school, compared to 28% of their peers whose parents had at least a bachelor’s degree (Cataldi et al., 2016). First-generation students had a lower median household income and more unmet financial needs, compared to students whose parents attended college. The median family income for first-generation freshmen at 2- and 4-year institutions was $37,565, compared to $99,635 for non-first-generation freshmen (Cataldi et al., 2016).
**Student Debt**

Immigrant parents have high expectations of their children to pursue higher education, although most immigrant families are not adequately prepared financially to pay for their children’s educations (Baum & Flores, 2011). According to Stiglitz (2013), families are willing to take out student loans for their children to earn a U.S. education to pursue the American Dream. Asian and Latino immigrant parents are less than likely to save financially for college than White, U.S.-born parents (Donero & Humphries, 2016).

According to Lee and Mueller (2014), first-generation students’ understanding of student loan debt is limited compared to students whose parents have earned college degrees, and first-generation students rely on student loans for higher education. Kuhl et al. (2014) stated the rising cost of tuition and fees at public colleges and universities and the access to student loans for students of color enrolled in for-profit schools have made a big impact on the amount of debt first-generation students and their families have taken on to finance higher education. Recent research has underscored the disproportionate impact of student debt on communities of color (Canchola & Frotman, 2016; see Figure 3).
For 2006, student debt totaled $517 billion, and there are more than 44 million borrowers who now owe $1.5 trillion in student loans (Ducoff, 2019). According to Canchola and Frotman (2016), communities of color have been impacted by the financial student loan crisis. Canchola and Frotman said the financial student loan crisis has continued to make it hard for communities of color to save and pay for college without having to take on large sums of debt.

According to a study by the Postsecondary National Policy Institute (2019), the mean amount of unmet financial need for low-income, first-generation students is nearly $6,000 (before loans), which represents almost half of the low-income median annual income of $12,100. According to Canchola and Frotman (2016), first-generation students work and borrow more than their peers, with negative consequences for college
completion. Canchola and Frotman said 27% of first-generation students come from households making $20,000 or less, compared to 6% of non-first-generation freshmen’s households. First-generation students borrow from the federal government at increasing rates to pay for education.

According to Canchola and Fortman, borrowers of color are more likely to experience delinquency or default and borrowers of color continue to face economic barriers that cause at loan defaults at higher rates. About 46% of first-generation borrowers attended institutions in the bottom quartile in default rate measurements, and it is particularly common for students to leave school before completing a degree (Canchola and Fortman, 2016). The 46% raises concerns, for borrowers of color may not be getting the correct information about repayment options or may encounter challenges in understanding the repayment options to enroll in payment plans. Canchola and Fortman stated wealth gaps between African-American and Latino households and White households have steadily increased. The economic barriers for borrowers of color make it hard for families to save and pay for college without having to take out large amounts of loans.

Figure 4 shows relevant data of first-generation students by place of origin to show the percentages of a completion of a higher education degree. Students of color who earned a higher education degree by place of origin are from India, followed by China, Cuba, and the Philippines. According to Figure 4, male immigrants from Africa arrive with 14.4 years of education, which exceeds the 13.8 years of schooling of the average non-Hispanic White man in the United States. Other groups arrive with much less education and persist in the American education system (Hechinger Report, 2018).
Figure 4

*Average Education of First- and Second-Generation Adult Males, Ages 25-59, by Place of Origin*

![Average education of first- and second-generation adult males, ages 25-59, by place of origin](image)


Figure 5 shows data of first-generation students in the United States by ethnicity. The figure shows an overview of the percentage of students who identify as first-generation, Latino students who are at the highest at 57.3%, Black first-generation students at 27%, and Asian American and Pacific Islander first-generation students who are at 18.2% (Duffin, 2019).
**Figure 5**

*First-Generation Students in the United States by Ethnicity and Race in 2016*

![Bar chart showing percentage of first-generation students by ethnicity and race in 2016.](chart.png)


**Model Minority Myth**

The MMM was first popularized 30 years ago in mainstream U.S. media. The term *model minority* first appeared in a 1966 *New York Times* article called, “Success: Story Japanese American Style” (as cited in Lowery, 2007). The article was a countermovement to the Civil Rights movement, an attempt to maintain the status quo by presenting social inequalities as innate, cultural problems rather than racial injustice (Thai, 2017). The MMM has been associated historically with an ethnically diverse group of people and implies there are lazy, underachieving “others” (Thai, 2017). Success
stories of Asian Americans have been used to help maintain an investment in meritocracy and the idea of the American Dream (Thai, 2017).

The MMM generally defines Asian Americans, including Asian American Pacific Islanders (AAPIs), as a hardworking racial group whose high achievement undercuts claims of systemic racism made by other racially minoritized populations (Suzuki, 1977). The MMM was derived from the perception that Asian cultures value hard work, family cohesion, self-sufficiency, and a drive for success, which have propelled immigrants into and beyond the U.S. middle class.

Filipino Americans are one of the largest immigrant groups in the United States and the second largest AAPI ethnic group (Nadal et al., 2010). Asian Americans have traditionally been viewed as the model minority in higher education and have been described as being well educated and successful citizens in the United States (Sue & Sue, 2008; Suzuki, 2002). The MMM is detrimental to all Asian Americans in higher education because of the image portrayed of all Asians academically striving in the fields of math and sciences. Despite the image of MMM, studies have shown a high percentage of Filipino people in the United States possess a bachelor’s degree or higher in fields other than math and sciences (Okamura & Agbayani, 1997).

In November 2014, Edward Blum, an antiracist admissions student activist at Harvard University, created Students for Fair Admissions and sued Harvard University, alleging the university was discriminating against Asian Americans (Harvard University, 2019). Since the MMM created an image for most Asian students, the Harvard suit was intended to prevent Harvard and other colleges and universities from using personal
ratings against Asian Americans, while favoring Black and Hispanic students (Harvard University, 2019).

According to Nadal et al. (2010), the issues the AAPI community face are unnoticed and poorly understood, largely due to obstruction by the MMM. Until 2007, AANAPISIs were ineligible for federal funding and designation as MSIs, and APIA students were excluded from federal grants and assistance programs. To this day, AAPI students remain underserved in federal programs and routinely excluded from many nongovernmental public and private sector assistance programs (Lam & Hui, 2016).

Supports

Based on the research of the challenges within the first-generation college student population, federal and state educational programs emerged to help benefit and increase retention to serve students of color and majority students who identify as first-generation college students. The following sections include information on AANAPISI, undocumented students, international students and TRIO programs.

Asian American, Native American, Pacific Islander Serving Institutions

The concept of AANAPISI was established by the U.S. Congress in 2007 as part of the College Cost Reeducation and Access Act. Later, AANAPISI was expanded in 2008 under the Higher Education Opportunity Act. The AANAPISI program provides grants and related assistance to AANAPISIs to enable institutions to improve and expand their capacities to serve Asian Americans, Native Americans, and Pacific Islanders (AANAPISI, 2016). Asian American and Native American Pacific Islander Serving Institutions was founded by the Higher Education Opportunity Act. The U.S. Department of Education (2020) stated 48% of first-generation students enrolled in a 2-year school,
compared with 32% of students whose parents had at least a bachelor’s degree. Researchers have found first-generation students’ social identities and SES are involved in college student support programs, specifically supporting first-generation students (AANAPISI, 2016).

According to the AANAPISI website (2016), AANAPISIs are eight federally designated minority serving institution (MSI) programs established by the U.S. Congress in 2007 as part of the College Cost Reeducation and Access Act, which was expanded in 2008 under the Higher Education Opportunity Act. The AANAPISI (2016) program provides grants and related assistance to AANAPISIs to enable such institutions to improve and expand their capacities to serve Asian American and Native American Pacific Islander first-generation and low-income individuals.

**Undocumented Students**

The American Council on Education (ACE, 2019) stated 45% of DACA recipients are currently enrolled in school or college. According to the ACE (2019), many of the young people who are part of DACA strengthen the U.S. economy by working, serving in the military, and enrolling in colleges and universities. Many DACA recipients live in fear and uncertainty of the next steps by the U.S. government due to anticipation of the five major pending changes to immigration: (a) new deportation guidelines, (b) denial of applications without warnings, (c) changes in the medical exam record for U.S. residency, (d) proof of joint residence in martial unions for citizenship application, and (e) interview waivers for green cards through marriage (ACE, 2019).

The undocumented student population are students who come from families who did not earn a higher education degree and need additional support and experience
financial struggles during their college experiences. Wangensteen (2017) discussed the increase of undocumented students who have entered U.S. higher education, and the new immigration reform is creating more challenges for undocumented students to access higher education. Immigrant youth impacted by the Development, Relief, and Education for Alien Minors Act, called DREAMers, are children who came to the United States with their undocumented immigrant parents and are facing challenges to access higher education with their noncitizen status, national and state laws, and institutional policies.

**International Students**

International students who have the opportunity to enter the United States to earn a higher education degree are also experiencing challenges understanding the American education system. According to Grawe (2019), the total number of international students studying in the United States has increased from over 25,000 students in 1948 to more than 1 million students in 2019—averaging a 5.6% annual growth annually for almost seven decades. Grawe (2019) stated this rate of growth has far outpaced that of domestic enrollment, which has grown by an average of 3% annually over the same period. As a result, international students account for 5.5% of total U.S. higher education enrollment, compared to just over 1% of enrollment in 1948. Focusing on recruitment in the last decade, growth of the numbers in newly enrolling international students has been strong, whether looking at students enrolling as undergraduates (up 59%), graduates (up 50%), or in nondegree programs (up 71%). An increase of international programs in the college systems is an example of additional support to serve students from other countries.
**TRIO Programs**

The TRIO educational programs are programs that assist students who are low-income individuals, first-generation college students, undocumented students, and individuals with disabilities. The TRIO refers to three programs: Upward Bound, Talent Search, and Student Support Service, which were created in the reauthorization of the Higher Education Act (HEA) and were designed to assist eligible students in completing postsecondary education (U.S. Department of Education, 2019). According to the U.S. Department of Education (2019), TRIO programs are federal outreach programs and student services designed to identify and provide services for individuals from disadvantaged backgrounds. The TRIO includes three programs targeted to help target populations of students as they progress through the academic pipeline from middle school to postbaccalaureate programs. The TRIO also includes a training program for directors and staff of TRIO projects.

The TRIO programs who serve students who identify as first-generation college students are provided support systems to successfully complete a higher education degree. The recipients of the grants, depending on the specific program, are institutions of higher education, public and private agencies, and community-based organizations with experience serving disadvantaged youth and secondary schools. Combinations of institutions, agencies, and organizations may also apply for grants. These entities plan, develop, and carry out the services for students. While individual students are served by these entities, they may not apply for grants under these programs. Additionally, to be served by one of these programs, a student must be eligible to receive services and be
accepted into a funded project that serves the institution or school that student is attending or the area in which the student lives.

**Key Theories**

This study was guided by the following key theories: servant leadership theory and transformational leadership theory. The key theories are followed by supporting theories that included socioeconomic status, social identity theory, Asian American racial development theory, Pilipino American identity development theory, and MMM. The key and supporting theories are concepts, as a framework revealed ways first-generation Filipino American students and graduates pursue the American Dream from a theoretical standpoint.

**Servant Leadership**

The Greenleaf Center for Servant Leadership (2019) has defined *servant leadership* as

> the servant-leader is servant first. . . . It begins with the natural feeling that one wants to serve, to serve first. Then conscious choice brings on to aspire to lead. That person is sharply different from one who is leader first, perhaps because of the need to assuage an unusual power drive or acquire material possessions. The leader-first and the servant-first are two extreme types. Between them there are shadings and blends that are part of the infinite variety of human nature. (p. 1)

Robert K. Greenleaf Center for Servant Leadership (2019) created the concept of servant leadership, which has been of interest to leadership scholars for more than 40 years (Northouse, 2016). Spears (2010) clarified servant leadership for practitioners through identification of 10 characteristics in Greenleaf’s writings that are central to the development of servant leadership (Northouse, 2016; See Table 2).

According to Quiambao (1976), the author stated the family is the center of the society and includes the nuclear family, aunts, uncles, grandparents and cousins. Love and strong
affection with deep concern for each other is marked in Filipino families (Quiambao, 1976). Filipinos share the value of acceptance and a common worldview in which education is a principle avenue for upward social mobility and where success is measured primarily in terms of income and material comforts (Bunge, 1991).

**Table 2**

*Ten Characteristics of Servant Leadership*

<table>
<thead>
<tr>
<th>Traits</th>
<th>Definition</th>
</tr>
</thead>
<tbody>
<tr>
<td>Listening</td>
<td>Communication between leaders and followers is an interactive process that includes sending and receiving messages. Servant leaders communicate by listening first. They recognize that listening is a learned discipline that involves hearing and being receptive to what others have to say. Through listening, servant leadership acknowledge the viewpoint of followers and validate these perspectives.</td>
</tr>
<tr>
<td>Empathy</td>
<td>Empathy is “standing in the shoes” of another person and attempting to see the world from that person’s point of view. Empathetic servant leaders demonstrate that they truly understand what followers are thinking and feelings. When a servant leader shows empathy, it is confirming and validating for the follower. It makes the follower feel unique.</td>
</tr>
<tr>
<td>Healing</td>
<td>To heal means to make whole. Servant leaders care about the person well-being of their followers. They support followers by helping them overcome personal problems. Greenleaf argues that the process of healing is a two-way-street in helping followers become whole, servant leaders themselves are healed.</td>
</tr>
<tr>
<td>Awareness</td>
<td>Awareness is a quality in servant leaders that makes them acutely attuned and receptive to their physical, Social and political environments. It includes understanding oneself and the impact one has on others. With awareness, servant leaders are able to step aside and view themselves and their own perspectives in the greater context of the situation.</td>
</tr>
<tr>
<td>Persuasion</td>
<td>Persuasion is clear and persistent communication that convinces others to change. As opposed to coercion, which uses positional authority to force compliance, persuasion creates change through the use of gentle nonjudgmental argument.</td>
</tr>
<tr>
<td>Conceptualization</td>
<td>Conceptualization refers to an individual’s ability to be a visionary for an organization, providing a clear sense of its goal and direction. This characteristic goes beyond day-to-day operational thinking to focus on the “big picture.” Conceptualization also equips servant leaders to respond to complex organizational problems in creative ways, enabling them to deal with the intricacies of the organization in relationship to its long-term goals.</td>
</tr>
<tr>
<td>Foresight</td>
<td>Foresight encompasses a servant leader’s ability to know the future. It is an ability to predict what is coming based on what is occurring in the present and what has happened in the past.</td>
</tr>
<tr>
<td>Stewardship</td>
<td>Stewardship is about taking the responsibility for the leadership role to entrusted to the leader. Servant leaders accept the responsibility to carefully manage the people and organization they have been given to lead. In addition, they hold the organization in trust for the greater good of society.</td>
</tr>
<tr>
<td>Commitment to the growth of people</td>
<td>Greenleaf’s conceptualization of servant leadership places a premium on treating each followers as a unique person with intrinsic value that goes beyond his or her tangible contributions to the organization. Servant leaders are committed to helping each person in the organization grow personally and professionally. Commitment can take many forms. Including providing followers with opportunities for career</td>
</tr>
</tbody>
</table>
Community

Servant leadership fosters the development of community. A community is a collection of individuals who have shared interests and pursuits and feel a sense of unity and relatedness. Community allows followers to identify with something greater than themselves that they value. Servant leaders build community to provide a place where people can feel safe and connected with others, but are still allowed to express their own individuality.


The Philippines is a rural society in which the family is the prime unit of social awareness (Paprock et al., 2006). According to Paprock et al. (2006), the influence of family on one’s choice of career is strong, and some parents dictate the choices of one’s career and education. Van (2010) stated families coax daughters into becoming nurses, even if nursing is not the children’s preferred career. Parents are responsible for the welfare of the children; however, when the children are grown up, they are responsible for the care of the aging parents (Salcedo et al., 1999).

Salcedo et al. (1999) stated a parent may temporarily leave their family and children to pursue better opportunities away from home. In return, the parent is expected to deliver the “benefits” of being away in the form of money, material things, or prestige, which brings honor and dignity to the family. In the Filipino family, the interest of the individual must be sacrificed for the good of the family (Bulatao, 1973). For Filipino nurse migrants in the United States, the challenge of being able to bring family to be reunited in the “land of opportunity” is the utmost fulfillment of their purpose: their self-actualization. Servant leadership is a core theory embedded in first-generation Filipino American households for the pursuit of the American Dream. As Nadal (2004) stated, “Filipino cultural values are more likely to give up their time for family (p.54).”
**Transformational Leadership**

Transformational leadership impacts first-generation college students on first-year academic success programs in higher education (Kinkead, 2009). Cultural values affect transformational leadership behaviors and suggest measurement of leadership behaviors of Filipino managers should be based on a contextual approach (Riveria & Leveric, 2018). In Northouse’s *Leadership Theory and Practice*, Northouse (2016) defined transformational leadership as:

Transformational leadership is a process that changes and transform people. It is concerned with emotions, values, ethics, standards, and long-term goals. It includes assessing followers’ motives, satisfying their needs, and treating them as full human beings. Transformational leadership involves an exceptional form of influence that moves followers to accomplish more than what is usually expected of them. It is a process that often incorporates charismatic and visionary leadership. (p. 161)

While first-generational Filipino Americans value the rich Filipino culture, leaders such as family, professors, advisors can share their experiences to ensure student success. Transformational Leadership is an attractive approach to increase self-motivation, connectivity and expanding programs to strengthen the skills of first-generation college students (Kinkead, 2009).

**Supporting Theories**

The supporting theories include socioeconomic status, social identity theory and the Asian American Racial Development Theory to explain and provide additional evidence that supports the main key theories in the proposed study. Socioeconomic status, social identity theory and the Asian American Racial Development Theory will provide context and background for the findings in Chapter 4.
Socioeconomic Status

Filipino communities rely on higher education to show others the achievement of the American Dream. Socioeconomic status represents object dimensions such as household income, occupational status, and educational status (L. Patton et al., 2016). Socioeconomic status can have a positive or negative impact on a person's life (Crossman, 2019). According to Rachfeed (2014), the American Dream is a representation of upward mobility through purchasing of homes, careers, and education levels for many Filipinos.

Social Identity Theory

Social identity theory can help explain perspectives in contemporary research that impact ethnic minority social identities (Phenice & Griffore, 2000). Tajfel and Turner (1979) defined social identity as a person’s sense of who they are based on their group membership. Tajfel and Turner (1979) proposed social identities (e.g., being a member of a social class, family, football team, etc.) are groups to which people belong and can be a valuable source of pride and self-esteem. In Tajfel and Turner’s (1979) framework, individuals have been taught to identity with groups with whom they seek to construct a positive view of their selves. Social identity gives individuals a sense of belonging in the social world (Phenice & Griffore, 2000).

Ethnic minority children, youth, and families are often burdened with negative stereotypes of their social identities (Phenice & Griffore, 2000). According to Phenice and Griffore (2000), the burden of negative stereotypes of social identities is based on erroneous descriptions, labeling, and categorization, which sustain and perpetuate
inequalities for ethnic minorities. Ethnic identities of minorities are based on a mixture of language, religion, race, and/or ancestry (Yinger, 1985).

Each ethnic group views the value of education differently, such as emotional rewards, reputations from degrees, and cost of time and effort (Li et al., 2016). Social identity is useful in considering the relationship between ethnic identity and attitudes toward other groups and the intersection of race and gender relative to social identity (Patterson et al., 1996).

**Asian American Racial Development Theory**

Kim (1981a) defined the Asian American racial identity development theory to include (a) acculturation, (b) ethnic awareness, (c) White identification, (d) racial bias and social isolation, (e) sociopolitical awareness, and (f) self-concept awakening. The theory includes the unique experiences of Asian American students while attaining the American Dream. According to Wijeyesinghe and Jackson (2001), the five stages of the Asian American racial identity theory are sequential in nature, although the process is not linear or automatic. For example, it is possible for an Asian American to get stuck in a certain stage and never move to the next stage. Wijeyesinghe and Jackson (2001) said, “Whether Asian Americans move onto the next stage in their racial identity development is dependent primarily on their social environment and various factors in this environment determine both the length and the quality of experience in a given stage” (p. 1). Asian American student development theory has served as a foundation for a variety of racial and ethnic identity development (see Table 3).

Nadal (2004) proposed a similar model called the Pilipino American identity development (PAID) model (see Table 4), which describes the process of ethnic identity.
### Table 3

**Asian American Student Development Theory Stages**

<table>
<thead>
<tr>
<th>Stages</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Stage 1: Ethnic Awareness</strong></td>
<td><strong>Social environment</strong> Mostly at home with family  &lt;br&gt; <strong>Critical factor</strong> Extent of participation in Asian ethnic activities  &lt;br&gt; <strong>Self-concept</strong> Greater participation leads to positive self-concept less participation leads to neutral self-concept  &lt;br&gt; <strong>Ego identity</strong> Greater participation leads to clear sense as a person of Asian heritage, less participation leads to less clear meaning about being a person of Asian heritage  &lt;br&gt; <strong>Primary reference group</strong> family  &lt;br&gt; <strong>Hallmark of the stage</strong> Discovery of ethnic heritage</td>
</tr>
<tr>
<td><strong>Stage 2: White Identification</strong></td>
<td><strong>Social environment</strong> Public arenas, such as school systems  &lt;br&gt; <strong>Critical factor</strong> Increased contact with White society, which leads to acceptance of White values and standards  &lt;br&gt; <strong>Self-concept</strong> Negative self-image, especially body image  &lt;br&gt; <strong>Ego identity</strong> Being different, not fitting in, inferior to White peers  &lt;br&gt; <strong>Primary reference group</strong> White people and dominant society  &lt;br&gt; <strong>Hallmark of the stage</strong> Feelings of being different, alienation from self and other Asian Americans</td>
</tr>
<tr>
<td><strong>Stage 3: Awakening to Social-Political Consciousness</strong></td>
<td><strong>Social environment</strong> Social political movements and or campus politics  &lt;br&gt; <strong>Critical factor</strong> Gaining political consciousness related to being a racial/political minority  &lt;br&gt; <strong>Self-concept</strong> Positive self-concept, identification as a minority in the United States  &lt;br&gt; <strong>Ego identity</strong> Accepts being a minority but resists White values and White domination  &lt;br&gt; <strong>Primary reference group</strong> Individuals with similar social political philosophy and perspectives  &lt;br&gt; <strong>Hallmark of the stage</strong> Gaining new political perspective and sociological imagination</td>
</tr>
<tr>
<td><strong>Stage 4: Redirection Social Environment</strong></td>
<td><strong>Social environment</strong> Asian American community  &lt;br&gt; <strong>Critical factor</strong> Immersion in Asian American experience  &lt;br&gt; <strong>Self-concept</strong> Positive self-concept and identification as Asian American  &lt;br&gt; <strong>Ego identity</strong> Proud of being Asian American, experience a sense of belonging  &lt;br&gt; <strong>Primary reference group</strong> Asian Americans, especially those at similar stage of identity development  &lt;br&gt; <strong>Hallmark of the stage</strong> Focus on personal and Asian American experience, feel anger against Whites about treatment of Asian Americans</td>
</tr>
<tr>
<td><strong>Stage 5: Incorporation Social Environment</strong></td>
<td><strong>Social environment</strong> General  &lt;br&gt; <strong>Critical factor</strong> clear and firm Asian identity Self-concept: positive as a person  &lt;br&gt; <strong>Ego identity</strong> Whole person with race as only a part of their social identity Primary reference group: people in general  &lt;br&gt; <strong>Hallmark of the stage</strong> Blending of Asian American identity with the rest of an individual’s identities.</td>
</tr>
</tbody>
</table>

Table 4

**Pilipino American Identity Development**

<table>
<thead>
<tr>
<th>Stages</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Stage 1: Ethnic Awareness</td>
<td></td>
</tr>
<tr>
<td>Age</td>
<td>Child’s earliest memories, from ages 2-5.</td>
</tr>
<tr>
<td>Attitude and beliefs toward self</td>
<td>The child is proud of family and surroundings.</td>
</tr>
<tr>
<td>Attitude and beliefs toward Filipino Americans</td>
<td>The child has a positive view of Filipinos because they are the only group the child is aware or surrounded by.</td>
</tr>
<tr>
<td>Attitude and beliefs toward Asian Americans</td>
<td>The child is somewhat indifferent to other Asian children because of minimal concept of race or ethnic background.</td>
</tr>
<tr>
<td>Attitude and beliefs toward minority groups</td>
<td>Child has no positive or negative feelings around other races or ethnicities.</td>
</tr>
<tr>
<td>Attitude and beliefs toward White/dominant groups</td>
<td>Child is aware of White and dominant groups because of TV and other advertisements.</td>
</tr>
<tr>
<td>Stage 2: Assimilation of Dominant Culture</td>
<td></td>
</tr>
<tr>
<td>Age</td>
<td>As early as 5 years old</td>
</tr>
<tr>
<td>Attitude and beliefs toward self</td>
<td>Physical characteristics of Filipinos might be denied, changed or despised. While behaviors, cultural values and cultural traditions may be embarrassing and shameful (e.g., parents’ accent or language and home-cooked food.)</td>
</tr>
<tr>
<td>Attitude and beliefs toward Filipino Americans</td>
<td>Filipinos will embrace or internalize stereotypes and beliefs as dominant culture.</td>
</tr>
<tr>
<td>Attitude and beliefs toward Asian Americans</td>
<td>Filipinos will hold same beliefs about Asian Americans. While Filipino history has taken on the dominant culture and other Asians are known as “Orientals or foreigners.”</td>
</tr>
<tr>
<td>Attitude and beliefs toward minority groups</td>
<td>Filipinos will not want to be affiliated with any minority group at all and push away from the MMM.</td>
</tr>
<tr>
<td>Attitude and beliefs toward White/dominant groups</td>
<td>Filipinos will believe that the White race is superior and wants to blend with the White/dominant culture.</td>
</tr>
<tr>
<td>Stage 3: Social Political Awakening</td>
<td></td>
</tr>
<tr>
<td>Attitude and beliefs toward self</td>
<td>Filipinos will feel a sense of community involvement and will feel embarrassed if they spent time in the assimilation stage.</td>
</tr>
<tr>
<td>Attitude and beliefs toward Filipino Americans</td>
<td>Filipinos will feel the need to encourage others to feel the same way and will become frustrated if other Filipinos are not community activist or who are assimilated to the White culture.</td>
</tr>
<tr>
<td>Attitude and beliefs toward Asian Americans</td>
<td>Filipinos will begin to form allegiances with other Asian Americans and will find common similarities to bond with other Filipinos.</td>
</tr>
<tr>
<td>Attitude and beliefs toward minority groups</td>
<td>Filipinos will seek other individuals who have been oppressed and is internally attempting to make amends for all negative beliefs.</td>
</tr>
<tr>
<td>Stages</td>
<td>Description</td>
</tr>
<tr>
<td>-----------------------------------------------------------------------</td>
<td>-----------------------------------------------------------------------------</td>
</tr>
<tr>
<td>Attitude and beliefs toward White/dominant groups</td>
<td>Filipino will feel frustrated of the White culture and is instantly prejudiced against every White person.</td>
</tr>
<tr>
<td>Stage 4: Panethnic Asian American Consciousness</td>
<td></td>
</tr>
<tr>
<td>Attitude and beliefs toward self</td>
<td>Filipinos claims to be a member of a greater panethnic group and enjoys the role of an Asian.</td>
</tr>
<tr>
<td>Attitude and beliefs toward Filipino Americans</td>
<td>Filipino feels empowerment and now understand the role as an Asian.</td>
</tr>
<tr>
<td>Attitude and beliefs toward Asian Americans</td>
<td>Filipinos will feel proud to be an Asian and will have all friends of Asian descent.</td>
</tr>
<tr>
<td>Attitude and beliefs toward minority groups</td>
<td>Filipino will have a positive outlook of other minority groups.</td>
</tr>
<tr>
<td>Attitude and beliefs toward White/dominant groups</td>
<td>Filipinos will still have negative beliefs of White society.</td>
</tr>
<tr>
<td>Stage 5: Ethnocentric Realization</td>
<td></td>
</tr>
<tr>
<td>Attitude and beliefs toward self</td>
<td>Filipino is self-empowered and now on a quest to advocate the needs for the Filipino community.</td>
</tr>
<tr>
<td>Attitude and beliefs toward Filipino Americans</td>
<td>Filipino will encourage other Filipinos to reach this stage to be proud of the Filipino culture.</td>
</tr>
<tr>
<td>Attitude and beliefs toward Asian Americans</td>
<td>The number of Asian friends will determine the attitude toward Asians.</td>
</tr>
<tr>
<td>Attitude and beliefs toward minority groups</td>
<td>Filipino will establish closer bonds with African American and Latino counterparts.</td>
</tr>
<tr>
<td>Attitude and beliefs toward White/dominant groups</td>
<td>Filipino may feel the need to educate White colleagues about the Filipino culture.</td>
</tr>
<tr>
<td>Stage 6: Incorporation</td>
<td></td>
</tr>
<tr>
<td>Attitude and beliefs toward self</td>
<td>Filipino is comfortable and please with who they are.</td>
</tr>
<tr>
<td>Attitude and beliefs toward Filipino Americans</td>
<td>Filipino is accepting and supportive of all members in Filipino community and will encourage others to be respectful at all times.</td>
</tr>
<tr>
<td>Attitude and beliefs toward Asian Americans</td>
<td>Attitude may vary on past experiences with Asian. If negative Filipino will be more likely to accept other Asians.</td>
</tr>
<tr>
<td>Attitude and beliefs toward minority groups</td>
<td>Filipinos are very positive and accepting of other groups who have been oppressed and are committed to diversity and multiculturalism</td>
</tr>
<tr>
<td>Attitude and beliefs toward White/dominant groups</td>
<td>Filipinos will have selective appreciation of who to trust in dominant group.</td>
</tr>
</tbody>
</table>


formation for first- or second-generation Filipinos living in the United States. In Nadal’s (2004) PAID model, the author uses a different style of spelling for the term Filipino.

Nadal (2004) suggested PAID is meant to be nonlinear and nonsequential and some
Filipinos may not experience all stages. The PAID model is not seen as negative or positive to Filipinos and is used to understand the acculturation stages of Filipinos.

According to Nadal (2004), Filipinos who feel empowered, are more likely to associate themselves with a Filipino community. Community members are able to serve their communities by advocating for education and a higher SES for the American Dream. In Stage 5 of the PAID model, Filipinos encourage other Filipinos to reach this stage to be proud of the Filipino culture by understanding their own social identities as individuals. Stage 6 of the PAID model described the attitudes and beliefs toward other Filipino Americans: Filipinos are accepting and supportive of all members in Filipino community and will encourage others to be successful.

**Conceptual Framework**

Miles and Huberman (1994) defined a conceptual framework as a visual or written product, one that “explains, either graphically or in narrative form, the main things to be studied—the key factors, concepts, or variables—and the presumed relationships among them” (p. 18). The conceptual framework of the proposed study includes resilience, persistence, and the American Dream ideology. This study was guided by two concepts used to explore and analyze experiences of first-generation Filipino American students.

**Resilience**

Resilience has been defined as a human capacity to withstand and overcome obstacles despite setbacks (Krovetz, 2008; Medoff, 2010). Resilience indicates an individual’s triumphs to overcome difficult life situations (Werner & Smith, 1992). American Dream studies have shown the nature of individual hopes and aspirations,
challenges individuals face, and outcomes in the pursuit of the American Dream (Hauhart, 2015; Knight et al., 2016).

Waxman et al. (2003) explained *resiliency* as “the heightened likelihood of success in school and other life accomplishments despite environmental adversities brought about by early traits, conditions, and experiences” (p. 46). First-generation students are likely to experience the challenges and barriers in college that comes with the experiences from the Filipino culture (Nadal, 2004). Understanding experiences of first-generation Filipino American students through resilience provides a context to determine reasons for pursuing the American Dream.

**Persistence**

Student persistence in higher education is one of the most written about topics in higher education research (Braxton, 2000). According to Arnold (1999), *persistence* is defined as students’ continued behavior for success in a higher education institution, which leads to the completion of a degree.

Tinto’s (1993) student integration model is one of the seminal theories in the area of persistence. Tinto developed the student integration model to elucidate the problem of student departure from college. Tinto posited when students enter college, they bring with them their precollege experiences, behaviors, and perceptions of the world. Once at college, students learn to make meaning out of their experiences in college and decipher how to navigate the social and academic systems of higher education. First-generation students are not familiar with the college world because their parents did not attend college and persistence creates a continued effort for students to complete an education and graduate.
According to Tinto (1993), persistence is a longitudinal process and commitment to the institution. The commitment is what Tinto called integration, which can consist of academic integration, social integration, or both. Students are more likely to persist if they become integrated into the institution. Integration is influenced by the student’s interactions with the institutions and their agents such as peers, faculty, and staff. Hence, integration must be seen as a *reciprocal commitment* between the student and the institution (Wolf-Wendel et al., 2009). Persistence is an important factor to consider when studying the resilience of first-generation Filipino American students, and it is important to include persistence as a component of the conceptual framework.

**Summary**

First-generation Filipino American students face a number of challenges in higher education in pursuit of the American Dream. In Chapter 2, the researcher explored literature on migration, immigration, the American Dream, student debt, and first-generation students, key theories, supporting theories and a conceptual framework. The researcher provided a detailed examination of the history of Filipinos migration and the American Dream as an ideological symbol of success, freedom, and opportunities for better lives for their families. Many ethnic groups encounter historical barriers in the pursuit of the American Dream, such as limited resources, racial discrimination, and stereotypes. The next chapter includes discussion of the research method, research design, instruments, participants, data analysis methods, limitations, delimitations and summary.
CHAPTER 3: METHODOLOGY

In this chapter, the methodology for this study is discussed. In this study, the researcher used a qualitative methodological approach with an in-depth phenomenological focus on the lived experiences of first-generation Filipino American graduates pursuing the American Dream through higher education. This phenomenological study included an exploration of the challenges of postgraduation life and the value of education. The target population included first-generation Filipino American graduates.

The research question guiding this study was: What are the lived experiences of first-generation Filipino American graduates’ challenges and barriers of pursuing a higher education by understanding their lived experiences of pursuing the American Dream? The research question is a broad question for the intent of exploring the central phenomenon or concept of the study (Creswell, 2014). The interview questions are found in Appendix A.

**Research Method**

Qualitative methodology was chosen for this study for the purpose of examining first-generation Filipino American graduates through interviews about their lived experiences. Qualitative methodology is used when a problem or issue needs to be explored and a complex understanding of the problem is necessary. When using a qualitative approach, exploring the target phenomenon is best managed when the data are obtained by in-person interactions to help establish patterns and themes (Creswell, 2014).
Qualitative methodology requires research questions be aligned with the methodological design to ensure the inquiries can be answered using this approach. Also, having an interest in the subject matter can lead to a potentially groundbreaking discovery, insight into the lives of the participants, and the ability to make a systematic difference in the lives of those involved (Merriam & Tisdell, 2016). Participants in this study provided experiences of earning a degree and meanings of the American Dream related to the economic investment of a degree.

Creswell (2014) suggested quantitative research is “explaining the phenomena by collecting numerical data that are analyzed using mathematically based methods (in particular statistics)” (p. 1). Therefore, quantitative and mixed methods were not the best fit for this study because of the need to represent real-life lived experiences.

Research Design

Qualitative research is an umbrella term for an array of attitude and strategies for conducting inquiry that are aimed at discerning how human beings understand, experience, interpret, and produce the social world (Mason, 1996). Qualitative research methodologies include (a) phenomenology, (b) ethnography, (c) grounded theory, and (d) narrative research. Researchers use phenomenology to acquire a deep understanding of one’s experiences (M. Patton, 2014). Ethnography is used to explain and analyze a “culture sharing group’s shared patterns of behavior, beliefs, and language that develop over time” (Creswell, 2014, p. 466). Grounded theory is a systematic, qualitative procedure used to generate a theory that explains, at a broad conceptual level, a process, an action, or an interaction about a substantive topic (Creswell, 2014). Lastly, narrative
research can be a method or an area of study in of itself and focuses on studies of experiences that are expressed in lived and told stories of an individual (Creswell, 2014).

In this qualitative research design, the researcher generally seeks answers the following two questions: “What are the perceptions/experiences of this phenomenon? and What are the setting and conditions in and under which the experience of this phenomenon occurs?” (Creswell, 2014, p. 1). The phenomenological design is especially effective in bringing individuals’ perceptions and experience from their own perspectives to the forefront (Lester, 1999).

**Instruments**

Interview protocols ensure the interviewer does not forget key points that should be addressed during the interview. The interview protocol is also used to help the research understand the purpose of the interview (M. Patton, 2015).

According to Creswell (2014), recruitment and screening of participants should follow the process listed below:

- Provide specific information about the study in a way that relates to them.
- Answer questions to ensure participants understand the research and their role in the study.
- Give candidates sufficient time to consider their decisions.
- Obtain the voluntary agreement of subjects to take part in the study.

The researcher conducted preliminary meetings 1 week before the interview. The preliminary meeting is an opportunity to establish trust with the participant, review ethical considerations, and complete consent forms. During the initial meeting with the
participant, interview questions were reviewed to give more time for the participant to think about their responses (Englander, 2012).

The questions contained in the interview protocol guided by Watkins (2017) are listed in Appendix A. During the interviews, participants were recorded with a voice recorder through the researcher’s cell phone and computer, while the researcher took notes (Creswell, 2014). The interview protocol includes the following:

- Heading (date, place, interviewer, interviewee)
- Instructions for the interviewer to follow
- Questions

The interviews were unstructured and included open-ended questions. The audio files were transcribed using the Temi website online application that generated a Word document for each interview. The researcher first networked and asked friends for contacts. The researcher found four participants this way. During the interview, participants were asked to provide three additional contacts who they thought might meet the criteria for this study. The four initial participants provided contacts but did not follow up with contact information. At this time, the researcher reverted to the contingency plan to recruit participants.

The first call out was posted through Facebook on the researcher’s account. Family and friends tagged potential participants. The researcher contacted candidates via Facebook Messenger. Two candidates responded but did not meet the criteria. The second call out was posted through LinkedIn on the researcher’s account, and no one responded. The third attempt was posted through a Facebook group called the Filipino
American National Historical Society—Greater Seattle Chapter, but only one respondent met the criteria. Next, the researcher posted in the group Pinxys in Student Affairs, and a couple of candidates responded but did not follow up. The last attempt was a Facebook post to the Asian Pacific Americans in Higher Education (APAHE) page, where there was a huge response. This recruitment method resulted in the required number of participants needed for the study.

The researcher set up a second interview in case the allotted time was not sufficient to ask all questions. The researcher created Facebook and LinkedIn groups and recruited participants through social media outlets. To ensure that the researcher had enough volunteers, a follow-up question during the interview was asked (Appendix A).

**Data Collection**

The researcher collected data to obtain rich, descriptive stories from first-generation Filipino American graduates. The primary data collection method was in-depth interviews through Skype, by phone, or face to face. Face-to-face interviews were preferred, as they can be used to capture richer nuances and depth. The interviews were semistructured and consisted of open-ended questions.

During the interviews, the researcher conducted interviews through FaceTime or Facebook Video Messenger, since face-to-face interviews and interactions were the preferred collection method to capture richer nuances and depth. However, to accommodate participant schedules, there were no face-to-face interviews, and the primary contact method was FaceTime or Facebook Video Messenger. The researcher was able to capture nuances and depth by using the video methods. The process of
collecting nuances and depth included four aspects identified by Miles and Huberman (1994): (a) settings, (b) actors, (c) events, and (d) processes (Creswell, 2014). The researcher took notes on the behaviors and activities of the participants during the interview. The interviews were audio-recorded through the researcher’s personal phone or Voice Memo app on the researcher’s protected and encrypted personal computer and transcribed through a web application called Temi. van Manen (2016) recommended recording conversations to collect accounts of personal experiences, which allows the researcher to be involved in the participant’s world. Data were stored in a password-protected Microsoft Word document to protect the participant’s shared lived experiences. Participants were labeled A, B, C, etc. for confidentiality (Vogt, 1999). The researcher allowed participants to choose names that matched the letter given.

**Data Analysis Methods**

The data analysis followed the following seven procedural steps recommended by Colaizzi (1978):

1. Each transcript was read and reread to get a general feel about what had been said.
2. For each transcript, significant statements were identified for relationships and the impact on individuals lived experiences. Participants’ statements were copied onto a separate document and indexed.
3. Meanings emerged from significant statements, including details about what the participant meant without reading beyond the text.
4. Meanings were arranged into categories and subcategories, forming clusters of themes.

5. The findings of the study provided an identification of categories to be distilled into an exhaustive description of the phenomenon.

6. The essential structures were described through all-encompassing descriptions of the lived experiences of the phenomenon.

As suggested by Creswell (2014), to validate the accuracy of the information, the researcher analyzed the data with the following process:

1. Raw data of transcripts and field notes were used.

2. Data were organized and prepared for analysis.

3. The researcher read through all data.

4. The researcher coded the data.

5. Codes were categorized into themes and descriptions.

6. Use lived-experiences stories as a phenomenological approach.

7. The researcher interpreted the meaning of themes and descriptions.

There are two additional approaches suggested by van Manen (2016) for uncovering thematic aspects of a phenomenon: (a) highlight words and meanings and (b) the line-by-line approach. The questions the researcher should ask during the discovery of themes are “What statements or phrases seem particularly essential or revealing about the experience being described?” (van Manen, 2016, p. 61) and “What does this sentence or statement reveal about experience being described?” (van Manen, 2016, p. 61). As the study of the lived-experience descriptions and discerned themes emerged, the researcher
noticed common experimental themes that recurred and commonalities in the various descriptions gathered. Colaizzi (1978) suggested in using a phenomenological methodology, the researcher (a) acquires a sense of each participant interview, (b) extracts significant statements, (c) formulates meaning, (d) organizes formulated meanings into clusters and themes, (e) exhaustively describes the investigated phenomena, (f) represents the fundamental structure of the phenomena, and (g) returns transcripts to participants.

**Trustworthiness**

The researcher increased the accuracy of the findings by following reliability procedures. Crewsell (2014) suggested the seven-step process creates trustworthiness because it establishes (a) credibility, (b) transferability, (c) confirmability, and (d) dependability. According to Creswell (2014), the following are useful in creating trustworthiness:

- **Triangulation**: The researcher compiled evidence from various sources and used it to build a coherent justification for themes. Themes were established based on several sources, adding validity to the study.

- **Member checking**: Participants were provided opportunities to review the finalized transcripts to ensure their answers were represented accurately.

- **Rich and thick description**: The researcher asked participants to provide descriptive experiences of the settings to create relatable, shared experiences to allow for realistic and rich findings.
• Clarifying bias: The researcher reflected on lived experiences that created open and honest narratives that resonated with readers. Qualitative research should contain comments by the researcher about how their interpretation of the findings is shaped by their background, culture, and SES origin (Creswell, 2014).

• Peer debriefing: The researcher returned interview transcripts to each participant for peer debriefing. Peer debriefing is used to enhance the accuracy of the account. Peer debriefing is a strategy to involve an interpretation beyond the researcher and receive an outside perspective.

• External auditor: The researcher chose an external auditor to review the entire project.

• Profile of participants: Profiles of participants include their pseudonyms, majors, schools, and biographies of upbringing and values.

The validation of the findings gives the research participants an opportunity to agree that descriptive findings are congruent with their experiences.

Participants

The main objective of a purposive sample is to locate participants who can be logically assumed to be representative of the population. The operational definition of the target population included individuals who met the following criteria:

• First-generation Filipino American

• Graduated with a bachelor’s degree in the last 5 years

• Took out student loans to complete their higher education degree
• Born with U.S. citizenship or received U.S. citizenship before the age of 5.

This study benefits communities interested in diverse student communities (i.e., higher education administrators and first-generation Filipino American students and graduates). First-generation Filipino American students and graduates can learn the challenges and barriers that contribute to the success of the American Dream through higher education.

A purposive sample is often implemented by applying expert knowledge of the population to select in a nonrandom manner a sample of elements that represents a cross-section of the population (Lavarkas, 2008). The researcher used the snowball method to recruit participants for this study.

Ethical considerations were made in the study. Creswell (2014) stated researchers should consider ways in which the setting of the consent process might include elements of undue influence. Subjects must be given adequate time to consider whether they wish to take part in study. The researcher contacted candidates after IRB approval and notified them of next steps. Each of the consent forms was reviewed thoroughly to ensure complete understanding. Consent forms were sent via email. The goal was to communicate consent visually and verbally. The consent forms were available immediately once participants signed the document through their email. Participants received notification through an email. In the email, each participant was reminded that their participation was voluntary, and they had the right to withdraw at any time without negative consequences. Also, pseudonyms were used, thereby keeping names of participants confidential. The researcher’s email address and phone contact were included
in the consent forms for any questions, concerns or for any complaints. The program director and chair’s name and contact information were also available.

**Sampling**

According to Moustakas (1994), a phenomenological approach is used to explore the essence of the lived experiences of individuals with a focus on their perceptions of reality and how they view the world. Purposive sampling may be difficult for the researcher because interpretations of the data include the assumptions the research will bring to the topic (Creswell, 2014). To produce a sample that can be logically assumed to be representative of the population, the researcher applied expert knowledge of the population to select a sample of elements that represents a cross-section of the population in a nonrandom manner (Lavarkas, 2008). The researcher targeted individuals who met the inclusion criteria for the study. Participants in the study had no relation to the researcher, as the snowball method was used to recruit them. The researcher posted to several Facebook groups to recruit participants. Participants who were interested in the study sent a Facebook message to the researcher. The researcher asked friends and colleagues to recommend individuals to participate in the study. The researcher then evaluated each candidate to see if they met the criteria to participate in the study.

Twenty-four participants were interviewed for this study. Eight of the 24 participants did not meet the criteria; however, the researcher moved forward to interview the participants to practice pilot interviews. Throughout the process of interviewing eight participants who did not meet the criteria, the researcher learned ways to record interviews that were clear and easy to transcribe. Sixteen participants met the criteria.
These participants were not related to the researcher and were located through the snowball method to find participants.

The researcher first networked and asked friends for contacts. The researcher found four participants this way. During the interview, participants were asked to provide three additional contacts who they thought might meet the criteria for this study. The four initial participants provided contacts but did not follow up with contact information. At this time, the researcher reverted to the contingency plan to recruit participants.

The first call out was posted through Facebook on the researcher’s account. Family and friends tagged potential participants. The researcher contacted candidates via Facebook Messenger. Two candidates responded but did not meet the criteria. The second call out was posted through LinkedIn on the researcher’s account, and no one responded. The third attempt was posted through a Facebook group called the Filipino American National Historical Society – Greater Seattle Chapter, but only one respondent met the criteria. Next, the researcher posted in the group Pinxys in Student Affairs, and a couple of candidates responded but did not follow up. The last attempt was a Facebook post to the Asian Pacific Americans in Higher Education (APAHE) page, where there was a huge response.

Each participant was contacted via email and sent consent forms. After consent forms were signed and completed, the researcher coordinated a time to speak via Facebook Messenger Video or FaceTime. Facebook Video Messenger is a mobile messaging app used for instant messaging, with features to video chat with a Facebook friend. FaceTime is a calling feature on iPhones to video chat with a contact. Most
participants used FaceTime, and the quality of the recordings was excellent. The interviews took about 2 weeks to complete, with back-to-back interviews completed during the late evening hours and weekends. The researcher made sure participants’ schedules were accommodated due to work hours and other commitments.

**Limitations**

There are several limitations in this study. First, the researcher identifies as a first-generation Filipino American, has earned a bachelor’s degree and master’s degree, and currently has student debt. Moustakas (1994) stated it is important for the researcher to explore how the researcher’s experience may impact the approach from the participant’s answers. Moustakas (1994) suggested to emphasize the epoche process. The term *epoche* is used to describe the process of setting aside judgements and learned feelings about the phenomenon being studied. The researcher used epoche to describe the process of setting aside judgements and learned feelings about the experience being studied should be bracketed or suspended (Moustakas, 1994). In this study, the researcher bracketed personal feelings to help reduce bias and frame the student experience as a new phenomenon.

The research questions were crafted based on the researcher’s similar life experiences as participants. Creswell (2014) stated the researcher’s presence may create biased responses, as not all people are equally articulate about their perspectives. The researcher may have increased trust with participants because of shared experiences.

The limitations of this study may include the indirect information filtered through interviewees. The researcher was not aware of participants’ families’ historical stories, as
the researcher may not obtain a full description of their history related to the research. Interviewees may not have been comfortable sharing their or their families’ full experiences.

The sample consisted of 16 participants, and the themes came from the lenses of the participants. The sample size can be perceived as a limitation; however, due to the type of phenomenological research used, many researchers may find qualitative research may be transferable to similar groups when approached with careful consideration (Hycner, 1985).

The study included college graduates who met the criteria and excluded other non-eligible students. Hycner (1985) stated because of the exclusion of some participants and the smaller sample of graduates, the results may not be generalized. In this case, students who did not meet the qualifications may still see applicability to their own lived experiences.

**Delimitations**

According to Creswell (2014), delimitations are characteristics that limit the scope and define the boundaries of a study. The delimitations of the proposed study are the choice of the problem, the research questions, variables of interest, theoretical perspectives, and the population being investigated. The first delimitation of the study was the choice of the problem (Leedy & Ormrod, 2010).

The second delimitation was the criteria of participants to be a part of the proposed study, such as limiting number of people because of level of education, immigration status, and individuals who had accumulated student loan debt. The purpose
of the study and research questions led to delimitations for participant criteria. Simon (2011) suggested the delimitation explicates the criteria of participants to interview and the geographic regions participants live. The criteria for the study include:

- Is a first-generation Filipino American
- Obtained a bachelor’s degree in the last 5 years
- Took out student loans to complete their higher education degree
- Was born with U.S. citizenship or received U.S. citizenship before the age of 5.

The third delimitation is the geographic region proposed in this study (Leedy & Ormrod, 2010). Participants did not have to live in a certain geographic region and interviews were available to all participants who met the criteria. However, most participants lived in the United States, in the Pacific Northwest (Washington State and California).

**Summary**

This chapter included details on the methodology for the current study. This study was intended to understand the lived experiences of first-generation Filipino American graduates, as there is limited research on first-generation Filipino American students and graduates and the pursuit of the American Dream. This chapter had an overview of the methodology and contained the research questions, research method, research design, trustworthiness, participants, data collection, instruments, data analysis methods, and limitations/delimitations. In the next chapter, the author provides an explanation of the findings of the proposed study.
CHAPTER 4: FINDINGS

The purpose of Chapter 4 is to provide the research findings. The researcher used a phenomenological transcendental approach and looked for patterns and categorizing themes through (a) immersion: involvement in the world of the experience; (b) incubation: creating space for awareness, intuitive or tacit insights, and understanding; (c) illumination: an active process to expand the understanding of the experience; (d) explication: reflective actions; and (e) creative synthesis: bringing information together to determine patterns and relationships. In this chapter, the methodology is summarized, the analysis process is explained, themes and findings are shared, and recommendations are provided.

The findings are organized based on the research sub-questions. The findings include the alignment of the research questions to the interview questions, themes that emerged, and how themes were represented in the conceptual framework. The findings were identified through analysis of experiences of the participants and using the data to include each of the themes and constructs in the conceptual framework. Participants’ quotes were taken verbatim from the transcribed interviews. The four major themes that emerged from the participant interviews were Resilience, Persistence, Status, and Sense of Pride.

Research Questions

The overarching research question for this study was: What are the lived experiences of first-generation Filipino American graduates that pertain to the American Dream and value of pursuing higher education? The overarching question was answered
using a series of sub questions to address several areas of the larger question. The following research questions guided the current study:

1. How do Filipino students/graduates empower family members to pursue an education? If so, how?
2. What does a degree mean to Filipino students?
3. How would first-generation Filipino American students or graduates describe the American Dream?
4. Do Filipino students think it is worth the financial investment to pursue the American Dream by earning a degree? If so, in what ways?

Methodology

This study included a qualitative methodology, which is appropriate when a complex understanding of the problem is necessary. When using a qualitative approach, exploring the target phenomenon is best managed when the data are obtained through in-person interactions, which help establish patterns and themes (Creswell, 2014). A qualitative methodology was chosen to examine first-generation Filipino American graduates through interviews about their lived experiences in pursuit of the American Dream through education.

The interview protocol is contained in Appendix A. In Chapter 2, Castillo-Montoya (2016) stated interview protocol refinement includes a four-phase process for systematically developing and refining an interview protocol. The four-phase process includes (a) ensuring interview questions align with research questions: interview questions are listed in Appendix B, (b) constructing an inquiry-based conversation: the
researcher used the interview questions to guide a conversation that lasted 30 minutes to 1 hour, (c) receiving feedback on interview protocols: the researcher sent protocol to chair and committee for approval, and (d) piloting the interview protocol: the researcher practiced on eight participants who did not meet the criteria (Castillo-Montoya, 2016). Each of the phases help the researcher develop a research instrument that is appropriate for the participants and aligns with the research question (Jones et al., 2014).

**Participant Profiles**

The research method chosen was qualitative methodology, and the method focused on the phenomenological design of understanding the lived experiences of 16 first-generation Filipino Americans graduates who met the criteria of:

- First-generation Filipino American
- Obtained a bachelor’s degree in the last 5 years
- Took out student loans to complete their higher education degree
- Was born with U.S. citizenship or received U.S. citizenship before the age of 5.

Table 5 provides descriptions of each participant of the study, using pseudonyms for confidentiality.

**Data Collection**

The primary data collection method consisted of in-depth interviews through FaceTime or through Facebook Video Messenger. The researcher was able to capture nuances and depth by using the video recording technology. The process of collecting nuances and depth included four aspects identified by Miles and Huberman (1994): (a)
settings, (b) actors, (c) events, and (d) processes (Creswell, 2014). The researcher took
notes on behaviors and activities of participants. Interviews were semistructured and
consisted of open-ended questions.

**Table 5**

*Participant Descriptions*

<table>
<thead>
<tr>
<th>Pseudonym</th>
<th>Grew up With Both Parents</th>
<th>Highest Degree</th>
<th>Year Graduated</th>
</tr>
</thead>
<tbody>
<tr>
<td>Lulu</td>
<td>Yes</td>
<td>Masters</td>
<td>Current student</td>
</tr>
<tr>
<td>Charlotte</td>
<td>Yes</td>
<td>Bachelors</td>
<td>2015</td>
</tr>
<tr>
<td>Gabriella</td>
<td>Yes</td>
<td>Masters</td>
<td>2015</td>
</tr>
<tr>
<td>Evan</td>
<td>Yes</td>
<td>Bachelors</td>
<td>2015</td>
</tr>
<tr>
<td>Queen</td>
<td>Yes</td>
<td>Bachelors</td>
<td>2015</td>
</tr>
<tr>
<td>Mark</td>
<td>Yes</td>
<td>Bachelors</td>
<td>2015</td>
</tr>
<tr>
<td>NeyMar</td>
<td>No</td>
<td>Masters</td>
<td>2016</td>
</tr>
<tr>
<td>Kyle</td>
<td>Yes</td>
<td>Bachelors</td>
<td>2015</td>
</tr>
<tr>
<td>Brie</td>
<td>Yes</td>
<td>PhD</td>
<td>2019</td>
</tr>
<tr>
<td>Patricia</td>
<td>Yes</td>
<td>Bachelors</td>
<td>2018</td>
</tr>
<tr>
<td>Hathaway</td>
<td>Yes</td>
<td>Bachelors</td>
<td>2017</td>
</tr>
<tr>
<td>Ian</td>
<td>Yes</td>
<td>Masters</td>
<td>2018</td>
</tr>
<tr>
<td>Joann</td>
<td>Yes</td>
<td>Bachelors</td>
<td>2018</td>
</tr>
<tr>
<td>Donald</td>
<td>Yes</td>
<td>PhD</td>
<td>Current student</td>
</tr>
<tr>
<td>Anne</td>
<td>Yes</td>
<td>Bachelors</td>
<td>2017</td>
</tr>
<tr>
<td>Rufus</td>
<td>Yes</td>
<td>Bachelors</td>
<td>2015</td>
</tr>
</tbody>
</table>

The interviews were audio-recorded through the researcher’s personal phone or
Voice Memo app on the researcher’s protected encrypted personal computer and
transcribed through a web application called Temi. van Manen (2016) recommended
recording conversations to collect accounts of personal experiences, which allows the
researcher to be involved in the participant’s world.
Data were stored in a password-protected Microsoft Word document to protect participants. The participants were labeled A, B, C, etc. for confidentiality (Vogt, 1999). The researcher allowed participants to choose names that matched the letter given.

**Data Analysis**

The researcher’s goal was to obtain rich, descriptive stories from first-generation, Filipino American graduates. Using Colaizzi’s (1978) recommendations, the researcher followed the following steps to fully capture the experiences of each participant:

1. Acquire a sense of each participant review: The researcher replayed and listened to each audio file twice. First, the researcher transcribed the interviews through Temi, then listened to the audio again to fix errors in the transcription. Second, the researcher replayed the audio to highlight common words, phrases, and behaviors.

2. Extract significant statements: The researcher reviewed the transcripts again and highlighted significant phrases and statements.

3. Formulate meanings: At the end of each transcribed interview, the researcher summarized common meanings and created themes and conceptual categories.

4. Organize formulated meanings into clusters and themes: Common meanings were categorized into clusters and themes.

5. Exhaustively describe the investigated phenomena: Quotes related to the phenomenon were highlighted in each transcript.

6. Represent the fundamental structure of the phenomena: Quotes were categorized by themes that informed the phenomenon.
7. Return transcripts to participants: Each transcript was verified with each participant after the interview was transcribed.

**Presentation of Findings**

During the analysis of the transcripts, four main themes emerged: Resilience, Persistence, Sense of Pride and Status. Resiliency is the act of feeling mentally/physically defeated because of an obstacle/challenge but can move forward to accomplish a goal, while persistence represents the consistent attempts to accomplish a goal without giving up (Werner & Smith, 1992). In the themes, broad conceptual categories surfaced: (a) navigating the college system, (b) pressures from family, (c) redefining the MMM, (d) parents’ sacrifice, (e) struggles of living the American Dream, (f) paying for education, (g) accomplishments, (h) privileges, (i) honoring ancestors, (j) creating new opportunities, (k) financial investments, and (l) demonstrating success to others (see Table 6).

**Table 6**

*Themes and Conceptual Categories*

<table>
<thead>
<tr>
<th>Themes</th>
<th>Conceptual Categories</th>
</tr>
</thead>
<tbody>
<tr>
<td>Resilience</td>
<td>Navigating the college system</td>
</tr>
<tr>
<td></td>
<td>Pressures from family</td>
</tr>
<tr>
<td></td>
<td>Redefining the model minority myth</td>
</tr>
<tr>
<td>Persistence</td>
<td>Parents’ sacrifice</td>
</tr>
<tr>
<td></td>
<td>Struggles of living the “American Dream”</td>
</tr>
<tr>
<td></td>
<td>Paying for Education</td>
</tr>
<tr>
<td>Sense of Pride</td>
<td>Accomplishments</td>
</tr>
<tr>
<td></td>
<td>Honoring Ancestors</td>
</tr>
</tbody>
</table>
Theme: Resilience

*Resilience* was a common theme throughout the interviews, as participants shared challenges and obstacles in reaching their goals. Participants were vulnerable and spoke their truths as first-generation Filipino Americans pursuing higher education. Their stories captured their lived experiences and abilities to recover from difficulties and maintain toughness in pursuit of the American Dream. Rufus said:

> You move to this country for a better education, better life, my parents leave their family back in the Philippines, and I do not think the American Dream exists because other families are always working so hard and not reaching it.

**Navigating the College System**

One conceptual category based on the theme of Resilience was challenges in navigating the college system. Participants shared challenges of not being prepared to complete higher education because their parents did not understand the college system. The participants shared their stories of resilience: “[My parents] encouraged college, and it was, like, a definite next step for me. . . . I don’t think they understood what it fully entailed to like get into a university” (Queen). Brie said, “So they talked about college as an aspiration. They talked about college as the key to making it further than, but not in terms on how to do it.”

<table>
<thead>
<tr>
<th>Status</th>
<th>Creating New Opportunities</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Financial Investments</td>
</tr>
<tr>
<td></td>
<td>Demonstrate Success to Others</td>
</tr>
</tbody>
</table>
**Pressures From Family**

Participants shared pressures from family that showed resilience. Descriptions of pressures from family of completing a higher education showed resilience was common among the participants. Anne described her pressures from her family: “They just kept telling me how they were poor growing up and how little they had and didn’t want me to go on the same route.” Donald explained pressures came from inside and outside his family: “It was always implied that I would go to college, but not just because of my family. It was because others around me were going to college too.” Patricia shared she did not want to disappoint her parents: “I didn’t want to, in essence, to disappoint my parents for not completing it.” Donald explained how college felt like a natural step growing up: “I mean, it’s like, my parents had the expectation that I will graduate from college and that I will probably get into a higher-level education. It’s just kind of this mindset that I have grown with my entire life.’

**Redefining the Model Minority Myth (MMM)**

The MMM has led to stereotypes of many Asian populations; however, most of the participants in this study shared resilience in proving themselves successful even if they did not follow the MMM. Hathaway shared she did not need to become a doctor, a nurse, or an engineer to become successful:

I guess to be a Filipino American, being first-generation, like, to show my parents and to show my siblings that I do not need to be a doctor, nurse, engineer to be successful. That is what really motivates me to succeed to really live like my own truth in my own life.
NeyMar felt he disappointed his father: “I feel like in many ways to some extent, when I chose education, I felt like I let down my dad when I told him this. ‘Oh, like you want to be a teacher? What are you doing?’” Rufus recognized he was going into a field about which he was not passionate:

I ended up in a degree that I really wasn’t interested in. It was just surrounded by engineers, so I am expected—I mean, I knew a lot about computers and stuff, but it was always kind of like I remember asking that I want to become a chef or a photographer and then your parents are like, “No, you can do that as a hobby.” I feel like that is kinda of the trends in our culture going into fields of law, health and engineering.

Mark realized he had an opportunity to pursue a degree he really enjoyed:

I guess the symbolism of “making it.” Like, we are able to actually get a degree, which is in itself is great, but the fact that we are doing something that we actually like and have the freedom to actually get a degree in what we are going to pursue in. I’m going to college, and I’m trying to pursue something that I love.

Evan shared he felt successful even if he did not pursue the MMM:

Fulfilling the American Dream really for me meant for my family and to fulfill the American dream is filling my parents’ ideal. It’s trying to pay for the future generation, whatever field you are in, business, education, you know.

Gabrielle felt the pressures from her family when she wanted to pursue education:

Like, they—They weren’t accepting of just, like, a teacher. So kind of like realizing that and seeing those kinds of frames in occupations, I still want to be true to myself, but I want to be the best that I can. We need to finish within the 4 years, so that’s, like, immediately for my bachelor’s degree for my masters, and I did have pressures to become a nurse. I did it like the nursing program for high schoolers. I liked hearing both sides. Like, you could become a nurse. You could make a lot of money, but at the same time I had career counseling. I had to discern, like, what you can do for your community. So I realized that I like teaching.
Theme: Persistence

Persistence was a common theme throughout the interviews, as participants shared similar stories of accomplishing goals in spite of difficulty and opposition. The interviews captured how most participants showed empathy toward the older generation, acknowledging sacrifice and the hardships of paying for an education. Mark expressed how grateful he is to be able to choose: “I think the ability to choose is as much prominent in being an American or what the American Dream is, and there are lot of people in this country that don’t even have that.” Rufus acknowledged his hard work: “We are in this country for opportunities, but we still have to pay and work for our opportunities.” NeyMar shared his concerns: “The American Dream is a whole bunch of BS [bullshit], and I set an intention because the American Dream was never equal. It was never equitable, and no one’s on the same foundation.”

Parents’ Sacrifice

Participants shared and acknowledged their parents’ sacrifices, struggles, and hardships in providing opportunities for their children. Most participants showed emotions of gratitude and empathy in having opportunities that their parents did not have. The following quotations shared their appreciation of their parents. Gabrielle shared her empathy of gratitude for her parents’ sacrifices: “I realize all the sacrifices and hardships they went through as immigrants, and it pushed me to be more reflective of the privileges I have.” Rufus felt he had to finish college because he had an opportunity: “My parents came here for a better life and opportunities. It was just something that we knew was the next in our education plan.” Joann felt blessed by her parents by sharing: “My parents’
sacrifice was worth it.” Anne recognized her parents’ hardships: “You shouldn’t settle for less, especially since all of our parents came from the Philippines.” Patricia expressed her appreciation of her parents’ experience immigrating to the United States:

I think it’s a sense of “I did this.” I did this despite the pressures and barriers, and imposter syndrome that comes with all of that, to say and to show my parents and everyone else, like, I earned this degree, kinda despite all other things and all the odds against me because I looked back at my family and some of my friends and how their parents essentially gave up a lot just for us to be where we are today.

Queen shared she could not waste her time in college:

I think at that point when I didn’t even feel attached to my major, you know, there’s a part of me where I felt like maybe I just didn’t want to waste time and money pursuing something that it was really hard to. I just had to finish for the sake of my family, had to continue higher education to make the people in my family proud.

Struggles of Living the American Dream

Participants acknowledged the struggles of living the American Dream by sharing childhood memories of how it was challenging for their parents to assimilate to U.S. culture. Patricia expressed what motivated her to succeed:

Oh, I want to say the ability to give back to my parents. So as I mentioned, like, none of my parents pursued a postsecondary education. They stopped at high school, and they really wanted us to continue to give us that better life.

Queen witnessed her parents’ struggles:

Being an immigrant, I am always told how much my parents struggled to get to even this country and to make it in this country. I have to make those people proud even though they already insist that they are proud. God, I really hope I don’t end up like my parents, where I’m, like, ‘When I was young, I had to sacrifice’ stories and everything.
Paying for Education

Participants shared most of their family came from poor cities in the Philippines, but their parents continued to find ways to pay for their children’s education through loans, work, or financial aid. The following quotations shared the stories of being in financial aid debt. Charlotte said: “To live that American Dream and to start a family and be able to provide and support them in better ways than they could have done when they lived in the Philippines.” Lulu shared: “So it really depends on the person, but for me personally, I think it’s a huge investment in my future. . . . I think it’s an investment, and one that’s going to be valuable for my own future.”

Theme: Sense of Pride

Showing a sense of pride was a common theme throughout the interviews. Participants shared their accomplishments were not just for themselves but a reflection of their family legacies. Participants shared similar stories of finishing degrees and honoring older generations. Gabrielle shared: “Then also make them proud, so they don’t like you know, question why they immigrated.” Kyle said:

I mean, I’m the only child, so I really wanted to make my parents proud. . . . Like I’m first-[generation], and my parents made a lot of sacrifices. . . . You’ve worked hard to get us to where we’re at. I mean, obviously it gives us a career opportunity for a degree is a sense of pride. Like, just from our current hard work and through sacrifices.

Lulu felt very passionate about sense of pride:

I think now, just being able to define my own success makes me feel a lot better about what I’m doing. So for me, pursuing an education especially was something I kind of learned to love. . . . For me, being especially the first child, it almost seemed like they wanted me to set the bar—You know, set the bar for my siblings. And so it was a big push to get to go to college. But they didn’t really
identify what it was they wanted me to pursue until I got a little bit older and figured it out.

Accomplishments

Participants shared their parents did not have opportunities for education in the Philippines. Being the first to graduate from college was a true accomplishment, a celebration in the pursuit of the American Dream. Participants shared their accomplishments through appreciation of their family and ancestors: Lulu said, “You finish your bachelor’s, and you’re going for your master’s—It’s almost like a status, and I feel like it’s kind of nice ‘cause I feel like my parents like to brag about that, which is cool.” Evan expressed:

A degree means credibility to your families. They invest so much in education and opportunities, and they stress that you have a higher education. So, sort of like all on a certain level of affirmation to show our parents that we’ve worked hard in the sacrifices that they’ve made through these opportunities.

Honoring Ancestors

Participants shared and acknowledged how their ancestors and family did not have the opportunities they had. Participants shared their stories by sharing the following observations. Queen always includes her family legacy:

I never really viewed my success as my own, and I always keep attributing it to the people that came before me, or people that helped me get to where I am today…I have all this privilege. I can get an education and want to put some price on my last name, and you’ll want to be like, my parents did not get to and I am privileged to get it. I want to make my parents proud and be that next step in their legacy.
Theme: Status

The status of accomplishing the American Dream was a common theme throughout interviews, as participants shared similar stories of the privilege of education that family in the Philippines do not have. Brie said, “And I feel very privileged that I think I live a fairly comfortable life, you know, and I don’t struggle like they did. And I also feel like they contributed more than I ever have.” Lulu recognized what “a degree means to Filipino Americans is success.” Mark shared, “Well, if I had to put myself in the shoes of my parents, it must be really cool to see most of their sons have degrees.”

Creating New Opportunities

The ability to have an education creates opportunities for Filipino Americans and status for their parents. The following quotations consisted of how education is a status in the Filipino culture. Brie shared:

I feel like, especially here for me, it was important to have some sort of credential that at least elevates me to the point where when I speak, at least a couple of people might turn their head. . . . I think that I couldn’t have done the things that I have done without me investing in myself in that way.

Gabrielle expressed: “I think, for me, the American Dream is, like, when you’ve found your identity and what you’ve chosen and then show you’ve made it.” Evan recognized, “Fulfilling the American dream is fulfilling my parents’ ideal. It is trying to pay for the future generation.”

Financial Investments

Most participants had student loan debt from their education. Most participants mentioned to pursue an education, they had to take out student loans. Rufus shared, “I
need to take the initiative and my family took a loan for all of us to go to school, so not putting that to waste, so that is my driving force.” NeyMar stated, “They were like, ‘Go to college,’ but I think, as I stated previously, it was, ‘Get a good job. Pay for yourself, so you’re not homeless, and then pay for us too and take care of us.’” Lulu expressed, “I think it [education] is an investment and one that is going to be valuable for my own future.”

**Demonstrate Success to Others**

For immigrant parents, seeing their children complete their education is an opportunity to show family they pursued the American Dream. Hathaway stated, “Having a degree is, like, a status of being well educated.” Anne expressed, “It is like a high achievement for them, and, too, I guess payment. Kind of like a payment to their parents for working so hard for us to come here.” Charlotte said:

> A degree means that you basically succeeded in life. . . . My parents definitely pushed my sister and I to finish so that they could have two kids—Two kids that succeeded, and they can flaunt and show that their daughters succeeded.

Ian boldly stated, “I think a lot of it is pride, for themselves and for their families. I know there’s this thing that I learned: a fear of shame.”

**Summary**

This qualitative phenomenological study was an exploration of the lived experiences of first-generation, Filipino American graduates. Interviews were held with the participants, and the analyzed transcripts revealed reflections on challenges in pursuing the American Dream through higher education. The researcher read the transcripts, highlighted common phrases, and created clusters and analyzed all
transcribed transcripts to determine major categories. The analysis of the transcribed
interviews revealed four themes: Resilience Persistence, Sense of Pride, and Status.
Chapter 5 has a focus on findings, conclusions, and applications, including
recommendations for strategic planning and further research.
CHAPTER 5: CONCLUSIONS AND DISCUSSION

The purpose of this qualitative phenomenological study was to explore lived experiences of first-generation Filipino American graduates’ pursuit of the American Dream through higher education. This study benefits communities interested in diverse student communities (i.e., higher education administrators and first-generation Filipino American graduates’ and graduates). There is limited literature on Filipino American students, and this research adds to that body of knowledge. This study provides perspectives of first-generation Filipino American graduates. Through this study, individuals interested in diverse student communities, such as higher education administrators and teaching faculty, can become more aware of the cultural narrative that impacts Filipino Americans. First-generation Filipino American graduates can learn the challenges and barriers that contribute to the success of the American Dream through higher education. In this study, the researcher chose qualitative methodology to understand the phenomenological design of understanding the lived experiences of 16 first-generation Filipino American graduates who met the criteria of:

- First-generation Filipino American
- Obtained a bachelor’s degree in the last 5 years
- Took out student loans to complete their higher education degree
- Was born with U.S. citizenship or received U.S. citizenship before the age of 5.

The research design included an investigation into how the phenomenon is experienced (Moustakas, 1994) and yielded a description of participants’ experiences of
the phenomenon. The researcher developed the following four questions about the lived experience of first-generation Filipino American graduates.

1. How do Filipino students/graduates empower family members to pursue an education? If so, how?

2. What does a degree mean to Filipino students?

3. How would first-generation Filipino American students or graduates describe the American Dream?

4. Do Filipino students think it is worth the financial investment to pursue the American Dream by earning a degree? If so, in what ways?

The research process included detailed interviews through Facebook Video or FaceTime with 16 first-generation Filipino American graduates in the United States. The data analysis included a detailed reading of the interview transcripts, identification of conceptual categories, and construction of themes which explained the common participant phenomena. Codes surfaced during the data analysis process to form themes based on emerging ideas. The four main themes which materialized from this analytical process were Resilience, Persistence, Sense of Pride and Status. In Chapter 5, the researcher incorporated the research findings, recommendations for action and further research, and a concluding statement.

**Discussion of Findings and Conclusions**

The interview questions were based on first-generation Filipino Americans’ perceptions of achieving the American Dream through higher education. The research questions emerged from the literature review. The analysis of transcripts and review of codes based on the interview questions resulted in the following categories: (a)
navigation the college system, (b) pressures from the family, (c) redefining the MMM, (d) parents’ sacrifice, (e) struggles of living the American Dream, (f) paying for an education, (g) accomplishments, (h) honoring ancestors, (i) creating new opportunities, (j) financial investments, and (k) demonstrating success to others. From these categories, four major themes evolved: Resilience, Persistence, Sense of Pride, and Status. These main topics answered and supported the study’s research questions.

RQ1: How Do Filipino Students Empower Family Members to Pursue an Education?

Participants were asked to explore their lived experiences of how they, as Filipino students, empower family members to pursue an education. All participants shared positive experiences related to opportunities to mentor and empower family to pursue education, and the theme of Resilience emerged.

Resilience

A majority of participants believed they benefited the most from the support of their families and resilience. Their stories led to sharing experiences of navigating the college system, pressures from family, and redefining the MMM. Queen said, “[My parents] encouraged college, and it was, like, a definite next step for me. . . . I don’t think they understood what it fully entailed to, like, get into a university.” Anne expressed, “They just kept telling me how they were poor growing up and how little they had and didn’t want me to go on the same route.” Hathaway shared:

I guess to be a Filipino American, being first generation—Like, to show my parents and to show my siblings that I do not need to be a doctor, nurse, engineer to be successful. That is what really motivates me to succeed to really live, like, my own truth in my own life.

Participants shared affirmative experiences, which shows resilience.
RQ2: What Does a Degree Mean to Filipino Students?

Participants were asked to explore their lived experiences of what degrees mean to Filipino students. All participants shared positive experiences related to the meaning of a degree.

*Sense of Pride*

A majority of participants believed they benefited the most from their triumphs and accomplishments. They shared accomplishments and honored family and ancestors. All participants related to how their lived experiences as first-generation Filipino American graduates were presented in the form of celebrating their accomplishments through their resilient stories. Kyle said:

> You’ve worked hard to get us to where we’re at. I mean, obviously it gives us a career opportunity for a degree is a sense of pride. Like, just from our current hard work and through sacrifices.

Gabriella expressed, “Then, also make them proud, so they don’t, like, you know, question why they immigrated.”

RQ3: How Would They Describe the American Dream?

This research question was addressed in the interview protocol in Appendix A. Participants were asked to explore their lived experiences of how they would describe the American Dream. All participants shared positive experiences in recognizing their parents’ sacrifices and the struggles of living the American Dream.

*Persistence*

A majority of participants emphasized their parents’ sacrifices, how their parents overcame struggles in the United States, and how their parents made an effort to
encourage and pay for college. Joann stated, “My parent’s sacrifice was worth it.” Queen shared:

Being an immigrant, I am always told how much my parents struggled to get to even this country and to make it in this country. I have to make those people proud even though they already insist that they are proud.

Charlotte said, “To live that American Dream and to start a family and be able to provide and support them in better ways than they could have done when they lived in the Philippines.”

**RQ4: Do Filipino Students Think It Is Worth the Financial Investment and Taking out Student Loans to Pursue the American Dream by Earning a Degree? If So, in What Ways?**

This research question was addressed in the interview protocol in Appendix A. Participants were asked to explore their lived experiences of whether Filipino students think higher education is worth the financial investment to pursue the American Dream. All participants shared positive experiences related to their opinions of financial aid.

**Paying for Education**

Participants shared most of their family came from poor cities in the Philippines, but their parents continued to find ways to be able to pay for their children’s education through loans, work or financial aid. The following quotations shared the stories of being in financial aid debt. Charlotte said: “To live that American Dream and to start a family and be able to provide and support them in better ways than they could have done when they lived in the Philippines.” Lulu shared: “So it really depends on the person, but for me personally, I think it’s a huge investment in my future. . . . I think it’s an investment, and one that’s going to be valuable for my own future.”
Application of Findings and Conclusions to the Problem Statement

The problem statement of the study stated that minority groups have different interpretations and lived experiences of the value of education and its relation to the American Dream. This study was guided by the following theories: servant leadership theory, transformational leadership theory, and supporting theories which included socioeconomic status, social identity theory, Asian American racial development theory, and Pilipino American identity development theory. Based on the 16 participants’ lived experiences, data revealed perceptions of the challenges, including the impact of student loan debt and beliefs about the worth of the financial investment of education in pursuing the American Dream. Data showed most participants recognized the resilience of their families and shared the challenges they experienced in the college system. Stories of their families’ struggles were part of all of their stories and motivated participants to persist. In this study, first-generation Filipino American graduates interpreted the value of education through the sacrifices of their families to pursue the American Dream. Abbaiti and Brone (2017) found students’ expectations about the profitability of the investment in higher education, expectations concerning costs, economic returns, and changes of success of higher education are vast. A majority of participants shared financial aid was the only option for first-generation Filipino American graduates to pursue an education, though the return on investment was high. Participants also shared they had more opportunities for job options.

Socioeconomic Status

Socioeconomic status represents object dimensions such as household income, occupational status, and educational status (L. Patton et al., 2016). Socioeconomic status
can have a positive or negative impact on a person’s life (Crossman, 2019). The status of accomplishing the American Dream was a common theme throughout the interviews, as participants shared similar stories of the privilege of education that family in the Philippines do not have. Brie said, “And I feel very privileged that I think I live a fairly comfortable life, you know, and I don’t struggle like they did. And I also feel like they contributed more than I ever have.” Lulu recognized what “a degree means to Filipino Americans is success.” Mark shared, “Well, if I had to put myself in the shoes of my parents, it must be really cool to see most of their sons have degrees.”

Model Minority Myth

The MMM has led to stereotypes of many Asian populations; however, most of the participants in this study shared the resilience of proving themselves successful even if they did not follow the MMM. The following quotations reflected their experiences shutting down the myth. Hathaway shared she did not need to become a doctor, nurse or engineer to become successful:

I guess to be a Filipino American, being first generation, like, to show my parents and to show my siblings that I do not need to be a doctor, nurse, engineer to be successful. That is what really motivates me to succeed to really live like my own truth in my own life.

Resilience

According to Werner and Smith (1992), resilience indicates an individual’s triumphs to overcome the life challenges. Resilience was a common theme throughout the interviews, as participants shared challenges and obstacles in reaching their goals. Participants were vulnerable and spoke their truths as first-generation Filipino Americans pursuing higher education. Their stories captured their lived experiences and abilities to
recover from difficulties and maintain toughness in pursuit of the American Dream.

Rufus said:

You move to this country for a better education, better life, my parents leave their family back in the Philippines, and I do not think the American Dream exists because other families are always working so hard and not reaching it.

**Persistence**

According to Braxton (2002), student persistence in higher education is one of the most important topics and continued research in higher education. According to Arnold (1999), persistence is students’ continued behavior for success in a higher education institution and leads to the completion of a degree. A majority of the participants believed they accomplished their goals in spite of challenges of being first-generation students. They emphasized their parents’ sacrifices, how their parents overcame struggles in the United States, and how their parents made an effort to encourage and pay for college. Joann stated, “My parent’s sacrifice was worth it.” Queen shared:

Being an immigrant, I am always told how much my parents struggled to get to even this country and to make it in this country. I have to make those people proud even though they already insist that they are proud.

Charlotte said, “To live that American Dream and to start a family and be able to provide and support them in better ways than they could have done when they lived in the Philippines.”

Key findings from the study show first-generation Filipino American graduates experienced challenges and triumphs, which were reflected in the four themes that emerged: Resilience, Persistence, Sense of Pride and Status. All participants credited the importance of reflection for future generations and how they have educated others about obstacles they faced in pursuit of higher education. Some participants showed emotion
when speaking about their families and recognized their families had sacrificed a lot for their children to have the opportunities that they did not have. Participants in the study felt privileged and blessed by the opportunities available to them, despite challenges and obstacles. The interview questions helped participants reflect on personal experiences, their privileges, opportunities that their parents did not have, and what had motivated them to become successful in earning higher education degrees.

**Unexpected Findings**

First-generation Filipino American graduates are not fully prepared for the college system because most of their parents did not complete a postsecondary education in the United States (Center for First-Generation Student Success, 2019). The participants shared they were not fully aware of the expectations of college, even though their parents pressured them to attend college. First-generation Filipino American students did not fully understand how to navigate college and become successful. Data imply it is impactful for students to have college readiness resources, in order to learn how to navigate college successfully and to learn about financial aid loans. Key unexpected findings of the study show: (1) generational definitions of socioeconomic status and (2) how the Model Minority Myth (MMM) is becoming redefined.

**Generational Definitions of Socioeconomic Status**

The unexpected findings of the study show the many perceptions and expectations of socioeconomic status definitions between Filipino immigrants and first-generation Filipino Americans. Filipino immigrants’ lived experiences involved additional struggle, resilience and work to pursue of the American Dream. Filipino immigrants’ feel that status or wealth is important to show their success to family back in the Philippines. In
this case, the findings show that first-generation Filipino American students define having socioeconomic status as valuing happiness, passion and self-reflection more than wealth. if the MMM was a sign of success or status. Most participants in this study were not fully exposed to the variety of occupations available in the United States and resented the MMM, as it limited their futures. Most families encouraged their students to attend college and to pursue occupations in science, technology, engineering, and math (STEM); however, most participants of this study realized that those fields were not a good fit. Being able to explore a greater variety of career options, and being able to reflect on those options, can help first-generation students identify their goals. This generation of Filipino Americans wish to redefine the MMM by expanding the career opportunities available to them beyond STEM fields.

**Application to Leadership**

The participants did not share about leadership explicitly; however, concepts from some leadership theories were present in their responses. Interviews had a focus on the lived experiences of 16 first-generation Filipino American graduates’ perceptions of pursuing the American Dream through higher education. Data demonstrated first-generation Filipino American graduates rely on family, advisors, professors, and parents to demonstrate leadership.

The four themes that emerged that can lead to potential leadership application were: (1) resilience, (2) persistence, (3) sense of pride, and (4) status. Resilience exemplifies being able to adapt, be flexible in certain situations and step up to lead a family, group of people and the community. Persistence indicates the ability to overcome challenges despite the difficulty or lack of support. Sense of pride incorporates successes
for both resilience and persistence and to remember the importance of modeling
leadership characteristics for others. Finally, status exemplifies the ability to create new
opportunities, lead by example, invest for the future, understand and reflect sense of
purpose in life, and demonstrate and share successes with one another.

**Servant Leadership**

Northouse (2016) shared the following servant leader behaviors: (1) conceptualizing, (2) emotion healing, (3) putting followers first, (4) helping followers grow and succeed, (5) behaving ethnically, (6) empowering and (7) creating value for the community. As the data showed, participants embedded leadership characteristics through serving their families first. As listed above, conceptualizing, empowering and helping followers are the best fit characteristics of Queen’s experiences with her family. Queen shared that she almost dropped out of college to help her parents to pay the mortgage:

Eventually when I was in school, my dad was working three jobs. My mom was working and I was working. Then eventually my lola [grandma in Filipino] came to live with us. So it was another, you know, person to tend to. It cost money to feed people. So eventually they realized we had to move out of the house. It was winter and I guess they didn’t turn on the heater and the pipe burst in the house while we were trying to sell it and the whole inside got ruined. This was like in a span of me transitioning from community college to WSU. I almost gave up going to school ‘cause I was like, well, my family right now is struggling and they need somebody else to have an income so they can survive. But when it came to the point where I will, do you want me to come back home and help you out? My dad was like no, you need to finish…

Lulu shared it was important to educate family (e.g., siblings, cousins) on their college experiences, and in doing so, served others. “I have cousins that live nearby so when I ended up going to college, they started thinking about it and asking me questions because I had to go through it.” Participants reflected on stories from childhood that embodied the
importance of giving back to their communities in a form of passing down college information. Evan stated:

I always look up to my cousins as role models. He was the first person in our family to really succeed academically in America. We both went to the same middle school, high school and college and my parents always showed me him as a role model because my parents did not understand all the complexity of American education system.

As quoted above, “The leader-first and the servant-first are two extreme types. Between them there are shadings and blends that are part of the infinite variety of human nature” (p. 1). Queen shared:

It’s so funny because of a lot of them, like we say that our parents are all role models for different things. It’s you, know…the idea of resilience, it’s grit…it’s sacrifice. That’s what but when it came to academic and hustling in that way professionally and academically they always said it was like for me and my Kuya [older brother] because we didn’t have anyone else that you know before us to kind of guide us in that way.

Transformational Leadership

Northouse (2016) described transformational leadership as a process that transforms people, including transforming their emotions, values, ethics, standards, and goals. Data showed most participants had opportunities to process and reflect on their stories, which led to descriptions of persistence. Participants showed how their education has transformed their families’ emotion, values, and ethics toward achieving the American Dream. Lulu shared:

But for me being a first-generation student like being able to tell my story and being able to share to the point when I was not embarrassed…I feel like I am able to share my story now by freedom for a lot of students who are taking or using financial aid to go to school. If I didn’t make that investment, I don’t think I would be where I am now.
Data from the interviews supported servant and transformation leadership theories by aligning the goals of first-generation Filipino American graduates’ perceptions of the American Dream through higher education. Serving their communities and transforming their lives strengthened abilities to persist and demonstrate successes. Gabrielle stated:

It’s been really interesting to come out here [Seattle] and like explore the multigenerational Filipino American communities here, but then also share what is going on in our Filipino communities…I do want to still serve these communities, like that is what got me into my work and want to aspire others.

**Recommendations for Action**

The researcher recommends three actions as a result of this research study. The findings of the study provided the researcher with information on the impact of expanding college readiness/preparation, career exploration, and expanding government educational programs, such as AANAPISI, and TRIO into the high school curriculum. These actions would prepare students to navigate the college system successfully. These career readiness, exploration and educational programs should be expanded and be provided increased funding in order to make a positive impact for students. Below are recommendations for practitioners at the high school and college level who serve first-generation Filipino Americans at the high school and college level.

First-generation Filipino American graduates should be able to access government-funded programs, similar to AANAPISI and TRIO, to access college readiness tools. According to the AANAPISI website (2016), an AANAPISI is one of eight federally designated MSI programs established by the U.S. Congress in 2007, as part of the College Cost Reeducation and Access Act, which was expanded in 2008 under the Higher Education Opportunity Act. The AANAPISI (2016) program provides grants and related assistance to AANAPISIs to enable such institutions to improve and expand
their capacities to serve Asian American and Native American Pacific Islanders and low-income individuals.

AANAPISI and student affairs administrators can work together to create student led organizations to build a community to discuss a sense of belonging in Filipino American heritage/culture, financial aid awareness and implement important programs related to acclimating to college, and mentorship programs. Career services administrators can expand on career assessments to show the value of students’ strengths and passions and how they relate with appropriate majors, allowing students to realize how their skillsets align with various career paths.

The TRIO includes three programs targeted to serve and assist low-income individuals, first-generation college students, and individuals with disabilities in progressing through the academic pipeline from middle school to postbaccalaureate programs. The TRIO also includes a training program for directors and staff of TRIO projects. As stated, first-generation Filipino American graduates’ parents did not complete a postsecondary education and are not experienced in the U.S. education system. The three actions for recommendations are suggested to help first-generation Filipino American graduates succeed in the complex college system.

TRIO and student affairs administrators can create transitional programs from high school to college that focus on career development to explore various majors. These programs can teach the cultural impacts of the American Dream and various ways in how wealth and status can be obtained. Training programs can emerge to educate parents on the impact of financial aid, the importance of investing and saving for college, and provide resources about college to provide additional support at home for their students.
Both AANAPISI and TRIO can collaborate with sociology faculty to educate others on the Model Minority Myth and how this stereotype has impacted the Asian American communities. These groups can also present on the importance of student self-reflection and how to strategically choose a major and career path. Finally, multicultural departments at universities can make an effort to celebrate Filipino Heritage month and provide workshops related to Filipino history, showcase the culture, and enact a sense of pride in Filipino heritage.

**Recommendations for Further Research**

Chapter 2 included a discussion of the limitations of research on first-generation Filipino American graduates’ perceptions of pursuit of the American Dream through higher education. The findings from this study revealed the importance of resilience, persistence, sense of pride and status. Participants shared their lived experiences as the importance of the pursuit of the American Dream. Further research should include (a) further study on high school students, (b) further study on second-generation Filipino American students, (c) longitudinal studies, (d) expansion to other minority groups, (e) generational definitions of socioeconomic status, and (f) redefining the Model Minority Myth (MMM).

**Filipino American High School Students**

The first recommendation for further research is to explore the perceptions of the American Dream with Filipino American high school students. The research questions in this study can guide further research and compare high school students and first-generation college students’ American Dream perceptions. The purpose of the research is to see if the data show similarities or difference among these two populations.
The ideology of the American Dream has shifted based on the generation of Filipino Americans and the perceived value of the American Dream for each generation. Further, this ideology can be individualized because of different values and beliefs. Filipino American high school students will also be considered as the third-generation population in America. Further research is recommended to explore the different perceptions of the meaning of the American Dream and how third-generation Filipinos’ lived experiences may lead to a disconnect from the original beliefs of the first-generation immigrants.

Second-Generation Filipino American Students

The second recommendation for further research is to explore second-generation Filipino American Students. The research questions can include the following: (a) How far removed are second-generation Filipino American students’ perception of the American Dream and value of education compared to first-generation? and (b) How does the perception impact future generations?

Second-generation Filipino American students are raised within a culture to give back to elders and their relatives in the Philippines. An example of the Filipino culture occurs when parents frequently give back by sending canned foods, clothes, and household essentials to provide for their families who still live in the Philippines. Further research is recommended to explore the American Dream perception of second-generation Filipino American and the responsibility or connection to their parents’ families in the Philippines.
Longitudinal Study

The third recommendation for further research is to conduct a longitudinal study. The longitudinal study can combine further research from Recommendations 1 and 2 and track perceptions of the American Dream over a period of time. This study could be a comparison of answers from high school and show how the answers evolve over time.

Expand Study to Other Minority Groups

The fourth recommendation for further research is to expand this study to other minority groups. Future topics can include (a) How the findings can be generalized to other minority groups? and (b) How can data from this study be compared and contrasted to other groups?

Generational Definitions of Socioeconomic Status

The fifth recommendation for further research is to expand on how the perception of the American Dream has changed, specifically the difference in definition of socioeconomic status between Filipino immigrants and first-generation Filipino Americans. The research can focus on key concepts, such as (a) What is the difference in the perceived definition of socioeconomic status between Filipino immigrants and first-generation Filipino Americans?; (b) What is the definition of the American Dream from the viewpoint of Filipino immigrants, and how do their definitions relate to socioeconomic status?; and (c) Do first-generation Filipino American students value happiness, passion, and reflections of self to grow more than wealth?

Redefining the Model Minority Myth (MMM)

The final recommendation for further research is how the Model Minority Myth (MMM) is being redefined. The MMM is the perception of an intelligent and
hardworking Asian student. The research questions can include (a) Is the MMM a sign of success and status? (b) Why does the MMM reflect the perception of status in the Asian communities? (c) Are Filipino immigrants perpetuating the MMM? and (d) How have first-generation Filipino Americans redefined the MMM? The research can use the data from this study and compare the differences of MMM perceptions amongst various groups.

Concluding Statement

The purpose of this qualitative phenomenological study was to explore the lived experiences of 16 first-generation Filipino American graduates and their perceptions of pursuit of the American Dream through higher education. Themes that emerged from the study included Resilience, Persistence, Sense of Pride, and Status, which impact the value of education and the pursuit of the American Dream. The data collected and analyzed from this study may help individuals interested in diverse student communities (i.e., higher education administrators and first-generation Filipino American students and graduates). Recommendations for action include the importance of expanding college preparation programs to first-generation Filipino Americans, to recognize the knowledge gap of their parents in helping their children navigate the college system.

Findings from this study show it is important to create opportunities for improvement to expand college readiness to first-generation students in high school curriculum and the various shifts of meanings of the American Dream in every future generation. The participants shared as first-generation students they were not fully prepared for college and opportunities of resources. The U.S. Department of Education should expand government programs similar to AANAPISI and TRIO, create mentor
programs using proactive strategies to outreach career exploration tools through guidance counselors, and engage high school students in understanding their passions. Resources should be provided to first-generation students on college preparation, impact of financial aid, and career exploration, so first-generation students feel like they are more prepared to enter college, succeed, and create legacies for their families. In addition to the lack of resources amongst the first-generation population, the findings show the shift of the definition of the American Dream. Findings from this study show how the new generation of Filipino Americans attain the American Dream based on the pursuit of happiness, passion, and self-growth versus wealth and status.
APPENDIX A

INTERVIEW PROTOCOL

Aspects of an Interview Protocol

<table>
<thead>
<tr>
<th>Aspects of an Interview Protocol</th>
<th>Yes</th>
<th>No</th>
<th>Feedback for Improvement</th>
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<tbody>
<tr>
<td><strong>Interview Protocol Structure</strong></td>
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<tr>
<td>Beginning questions are factual in nature</td>
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<tr>
<td>Key questions are majority of the questions and are placed between and ending questions</td>
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<tr>
<td>A brief script throughout the interview protocol provides smooth transitions between topic areas</td>
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<tr>
<td>Interviewer closes with expressed gratitude and any intents to stay connect or follow up</td>
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<tr>
<td>Overall, interview is organized to promote conversation flow</td>
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<tr>
<td><strong>Writing of Interview Questions and Statements</strong></td>
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<tr>
<td>Questions/statements are free from spelling error(s)</td>
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<tr>
<td>Only one question is asked at a time</td>
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<tr>
<td>Most questions ask participants to describe experiences and feelings</td>
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<td>Questions are mostly open ended</td>
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<td>Questions are written in an non-judgmental manner</td>
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<td><strong>Length of Interview Protocol</strong></td>
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<td>All questions are needed</td>
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<td>Questions/statements are concise</td>
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<td><strong>Comprehension</strong></td>
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<td>Questions/statements are devoid of academic language</td>
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</tr>
<tr>
<td>Question/statements are easy to understand</td>
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</table>

*Note.* Adapted from Castillo-Montoya, 2016, p. 825.
APPENDIX B

INTERVIEW QUESTIONS

Introduction:

The interview questions will focus on different aspects of your first-generation Filipino American student or graduate experience. The focus will be on your college experience and challenges you have faced while in college, your definition of the American Dream and what has motivated you to be successful in college. Interview questions 1-5 are adapted by Watkins (2017):

**Demographics**

1. Where did you attend college?
2. What type of degree did you earn?
3. When did you graduate?
4. How long did it take you graduate?
5. Did you grow up with both parents?

**Interview Questions**

1. During your high school years, did your family influence you to attend college?
2. What is the highest education level of your parents? If they attended college, what degree(s) did they earn?
3. What was the main factor of your decision to attend college?
4. What motivates you to succeed?
5. What motivated you to graduate from college?
6. What does a degree mean to Filipino students?
7. How would you describe the American Dream?
8. How do Filipino students/graduates empower family members to pursue an education? If so, how?

9. Do you think it is worth the financial investment to take student loans in order to pursue the American Dream by earning a degree? If so, in what ways?

10. Can you provide three additional contacts of individuals who meets the criteria for this study who would be interested to participate in my study?
EMAIL INVITATION TO STUDENT PARTICIPANTS SELECTED FOR INTERVIEWS

Dear [Participant’s Name]

My name is Chantal Carrancho and I am a doctoral student in the School of Applied Leadership, Educational Leadership Program, at City University of Seattle. The purpose my research study is to explore the lived experiences of first-generation Filipino-Americans who have graduated with bachelor’s degrees and their challenges in pursuing higher education through the idea of the American Dream. I am requesting your permission for an interview via FaceTime, Skype or in-person. Please note that participants of this study must have a background as a first-generation Filipino American student over the age of 18, who has completed a higher education degree in the last 5 years, born with U.S. citizenship or received U.S. citizenship prior to the age of five, and also has student loan debt.

The interview would last about 1 – 1.5 hour. The interview would take place at your preferred time and place for convenience.

During the interview I will be asking you related questions about your lived experiences as a first-generation Filipino American student or graduate and your lived experiences pursuing higher education, with an emphasis on what the American Dream means to you. At a later date I will follow-up to review notes and clarify any points for accuracy.

Additionally, I would like to audio-tape the interviews to help with my data collection. However, participation in this study is voluntary and participants can
withdraw from the study at any time, with no consequence or penalty for their removal from the study. Participants can also ask for recording not to occur or to stop at any time, and there will be no penalty.

Interview notes, document analysis, and audio recordings will be stored in a locked cabinet for 5 years, after which they will be destroyed. Electronic data will be stored on a secured server, password protected, and maintained on an encrypted flash drive and then destroyed after 5 years. The participation in this study is strictly confidential.

I have attached a copy of the City University of Seattle Research Participant Informed Consent form for you to review and complete. No one will be named in my study. If you are willing to participate, please reply to this email.

Please provide your signature on the consent form and check the boxes you agree with. The consent forms will be sent via DocuSign or can be returned to me by email (a scanned document is acceptable). Once I receive your email stating you are interested in participating and the completed consent form attached to the email, I will contact you to set up a convenient time for the interviews.

Any findings will be available to any participant upon request. If you have any questions, please contact me at my email or the phone number listed below. This research will receive approval by City University of Seattle’s Institutional Review Board prior to any interviews occurring. At any time you also contact my Doctoral Chair, Dr. Stacey Malaret at malaretstacey@cityu.edu with any questions.

Thank you for your time and effort in this matter. Your attention to the research study is appreciated.
Chantal Carrancho, Student researcher

chantylc@cityuniversity.edu
Follow up communication will include this sentence at the beginning:

A few weeks ago, I attempted to contact you, but may have missed my previous communication. I am asking if you would be interested in participating in my research study.

Thank you for your time and effort in this matter. Your attention to the research study is appreciated.

Chantal Carrancho, Student researcher
APPENDIX E

PARTICIPANT CONSENT FORMS

Applied Leadership of City University of Seattle

CITYU RESEARCH PARTICIPANT INFORMED CONSENT

Title of Study:

First-Generation Filipino American Perceptions of Pursuing the American Dream Through Higher Education

Name and Title of Researcher(s):

Chantal Carrancho, doctoral student

For Student Researcher(s):

Faculty Supervisor: Dr. Stacey Malaret

Department: Educational Leadership

Telephone: 206-239-4500

City U E-mail: chantylc@cityuniversity.edu

Program Coordinator (or Program Director):

Dr. Mary Dereshiwsy

Key Information about this Research Study

You are being invited to participate in a research study.

The researcher will explain this research study to you before you will be asked to participate in the study and before you sign this consent form.

• You do not have to participate in this research.
• It is your choice whether or not you want to participate in this research.
• Your participation is voluntary and you can decide not to participate or withdraw your participation at any time without penalty or negative consequences.
You should talk to the researcher(s) about the study and ask them as many questions you need to help you make your decision.

**What should I know about being a participant in this research study?**

This form contains important information that will help you decide whether to join the study. Take the time to carefully review this information.

You are eligible to participate in this study because you meet the following criteria:

- First-generation Filipino American over the age of 18
- Graduated with a bachelor’s degree in the last 5 years
- Took out student loans to complete your higher education degree
- Born with U.S. citizenship or received U.S. citizenship before the age of five

You will be in this research study for approximately 1 month.

About 10-15 individuals will participate in this study.

To make your decision, you must consider all the information below:

- The purpose of the research
- The procedures of the research. That is, what you will be asked to do and how much of your time will be required.
- The risks of participating in the research.
- The benefits of participating in the research and whether participation is worth the risk.

If you decide to join the study, you will be asked to sign this form before you can start study-related activities.

**Why is this research being done?**

There are a variety of audiences who will benefit from this study. Individuals interested in diverse student communities, such as, higher education administrators and teaching faculty who can become more aware of the cultural narrative that impacts Filipino Americans. First-generation Filipino American students and graduates will also
learn the challenges and barriers that contribute to the success of the American Dream through higher education.

Purpose of Study:
The purpose my research study is to explore the lived experiences of first-generation Filipino-Americans who have graduated with bachelor’s degrees and their challenges in pursuing higher education through the idea of the American Dream.

Research Participation.
You will be asked to participate in the following procedures:
I understand I am being asked to participate in this study in one or more of the following ways (initial options below that apply):

Respond to in-person and/or telephone Interview questions; Approximate time 1 – 1.5 hour.

Other, specifically, follow-up. Approximate time 15-30 minutes.

You may refuse to answer any question or any item in verbal interviews, written questionnaires or surveys, and, you can stop or withdraw from any audio or visual recording at any time without any penalty or negative consequences.

Are there any risks, stress or discomforts that I will experience as a result of being a participant in this study?

Taking part in this research involves certain risks: Being a part of this research involves minimal risks, similar to the risks in everyday life. This may include stress.

Will being a participant in this study benefit me in any way?

We cannot promise any benefits to you or others from your participation in this research. However, possible benefits may include helping provide information to individuals interested in diverse student communities, such as, higher education administrators and teaching faculty who can become more aware of the cultural
narrative that impacts Filipino Americans. First-generation Filipino American students and graduates will also learn the challenges and barriers that contribute to the success of the American Dream through higher education.

You will not receive any payment for participation in this study.

Confidentiality

I understand that participation is confidential to the limits of applicable privacy laws. No one except the faculty researcher or student researcher, his/her supervisor and Program Coordinator (or Program Director) will be allowed to view any information or data collected whether by questionnaire, interview and/or other means.

If the student researcher’s cooperating classroom teacher will also have access to raw data, the following box will be initialed by the researcher.

CC Chantal Carrancho, student researcher initials

Steps will be taken to protect your identity, however, information collected about you can never be 100% secure. Your name and any other identifying information that can directly identify you will be stored separately from data collected as part of the research study. The results of this study will be published as a thesis and potentially published in an academic book or journal, or presented at an academic conference. To protect your privacy no information that could directly identify you will be included.

All data (the questionnaires, audio/video tapes, typed records of the interview, interview notes, informed consent forms, jump drive, or any backup of other storage devices) are kept locked and computer files will be encrypted and password protected by the researcher. The research data will be stored for 5 years. At the end of that time all data of whatever nature will be permanently destroyed. The published results of the study will contain data from which no individual participant can be identified.
Signatures

I have carefully reviewed and understand this consent form. I understand the description of the research protocol and consent process provided to me by the researcher. My signature on this form indicates that I understand to my satisfaction the information provided to me about my participation in this research project. My signature also indicates that I have been apprised of the potential risks involved in my participation. Lastly, my signature indicates that I agree to participate as a research subject.

My consent to participate does not waive my legal rights nor release the researchers, sponsors, and/or City University of Seattle from their legal and professional responsibilities with respect to this research. I understand I am free to withdraw from this research study at any time. I further understand that I may ask for clarification or new information throughout my participation at any time during this research.

I have been advised that I may request a copy of the final research study report. Should I request a copy, I understand that I will be asked to pay the costs of photocopy and mailing.

Participant’s Name:

Please Print

Participant’s Signature: ___________________________ Date: ___________________________

Researcher’s Name: Chantal Carrancho

Please Print
If I have any questions about this research, I have been advised to contact the researcher and/or his/her supervisor, as listed on page one of this consent form.

Should I have any concerns about the way I have been treated or think that I have been harmed as a research participant, I may contact the following individual(s):

Dr. Mary Dereshiwsky, Program Coordinator (and/or Program Director), City University of Seattle, at
dereshiwskymary@cityu.edu;

This study has been reviewed and has been approved by the Institutional Review Board (IRB) of City University of Seattle. If you have questions about your rights as a participant in this study or to discuss other study-related concerns or complaints with someone who is not part of the research team, you may contact the IRB at IRB@Cityu.edu.
CITYU RESEARCH PARTICIPANT INFORMED CONSENT
FOR ON-LINE SURVEYS AND INTERNET DATA COLLECTION

Title of Study:
First-Generation Filipino American Perceptions of Pursuing the American Dream Through Higher Education

Name and Title of Researcher(s):
CHANTAL CARRANCHO, student researcher

For Student Researcher(s):
Faculty Supervisor: Dr. Stacey Malaret
Department: Educational Leadership
Telephone: 206-239-4500

City U E-mail: chantylc@cityuniversity.edu

Program Coordinator (or Program Director):
Dr. Mary Dereshiwsky

Key Information about this Research Study

You are being invited to participate in a research study. You are being invited to participate in an on-line survey that is part of a research study that has been approved by City University of Seattle Institutional Review Board.

The researcher will provide information about this research study to you before you will be asked to participate in the study and before you sign this consent form.

- You do not have to participate in this research.
- It is your choice whether or not you want to participate in this research.
- Your participation is voluntary and you can decide not to participate or withdraw your participation at any time without penalty or negative consequences.
- You should talk to the researcher(s) about the study and ask them as many questions you need to help you make your decision.
What should I know about being a participant in this research study?

This form contains important information that will help you decide whether to join the study. Take the time to carefully review this information.

You are eligible to participate in this study because you meet the following criteria:

• First-generation Filipino American over the age of 18
• Graduated with a bachelor's degree in the last 5 years
• Took out student loans to complete your higher education degree
• Born with U.S. citizenship or received U.S. citizenship before the age of five

You will be in this research study for approximately 1 – 1.5 hour.

About 10-15 individuals will participate in this study.

To make your decision, you must consider all the information below:

• The purpose of the research
• The procedures of the research. That is, what you will be asked to do and how much of your time will be required.
• The risks of participating in the research.
• The benefits of participating in the research and whether participation is worth the risk.

If you decide to join the study, you will be asked to sign this form before you can start study-related activities.

Why is this research being done?

There are a variety of audiences who will benefit from this study. Individuals interested in diverse student communities, such as, higher education administrators and teaching faculty who can become more aware of the cultural narrative that impacts Filipino Americans. First-generation Filipino American students and graduates will also
learn the challenges and barriers that contribute to the success of the American Dream through higher education.

Purpose of Study:

The purpose my research study is to explore the lived experiences of first-generation Filipino-Americans who have graduated with bachelor’s degrees and their challenges in pursuing higher education through the idea of the American Dream.

Research Participation.

You will be asked to participate in the following procedures:

I understand I am being asked to participate in this study by participating in an hour in-person, Skype or FaceTime interview session and follow up for accuracy of data. The interview consists of 10 questions and is expected to take approximately 1 – 1.5 hour to complete. You may choose to answer as many questions as you decide and each question will have a “no response” choice.

Are there any risks, stress or discomforts that I will experience as a result of being a participant in this study?

Taking part in this research involves certain risks: Being a part of this research involves minimal risks, similar to the risks in everyday life. This may include stress.

Will being a participant in this study benefit me in any way?

We cannot promise any benefits to you or others from your participation in this research. However, possible benefits may include helping provide information to individuals interested in diverse student communities, such as, higher education administrators and teaching faculty who can become more aware of the cultural narrative that impacts Filipino Americans. First-generation Filipino American students and graduates will also learn the challenges and barriers that contribute to the success of the American Dream through higher education.
You will not receive any payment for participation in this study.

**Confidentiality**

I understand that participation is confidential to the limits of applicable privacy laws. No one except the faculty researcher or student researcher, his/her supervisor and Program Coordinator (or Program Director) will be allowed to view any information or data collected whether by questionnaire, interview and/or other means.

If the student researcher’s cooperating classroom teacher will also have access to raw data, the following box will be initialed by the researcher. **CC** Chantal Carrancho, student researcher initials

Steps will be taken to protect your identity, however, information collected about you can never be 100% secure. Your name and any other identifying information that can directly identify you will be stored separately from data collected as part of the research study. The results of this study will be published as a thesis and potentially published in an academic book or journal, or presented at an academic conference. To protect your privacy no information that could directly identify you will be included.

All data (the questionnaires, audio/video tapes, typed records of the interview, interview notes, informed consent forms, jump drive, or any backup of other storage devices) are kept locked and computer files will be encrypted and password protected by the researcher. The research data will be stored for 5 years. At the end of that time all data of whatever nature will be permanently destroyed. The published results of the study will contain data from which no individual participant can be identified.

**Signatures**

I have carefully reviewed and understand this consent form. I understand the description of the research protocol and consent process provided to me by the researcher. My signature on this form indicates that I understand to my satisfaction the information provided to me about my participation in this research project. My signature
also indicates that I have been apprised of the potential risks involved in my participation. Lastly, my signature indicates that I agree to participate as a research subject.

My consent to participate does not waive my legal rights nor release the researchers, sponsors, and/or City University of Seattle from their legal and professional responsibilities with respect to this research. I understand I am free to withdraw from this research study at any time. I further understand that I may ask for clarification or new information throughout my participation at any time during this research.

I have been advised that I may request a copy of the final research study report. Should I request a copy, I understand that I will be asked to pay the costs of photocopy and mailing.

**ELECTRONIC CONSENT:** Please select your choice below.

Clicking on the "approve" button below indicates that:

- you have read and understand all of the above information, and
  - you voluntarily agree to participate, and
  - you are at least 18 years of age

If you **do not wish to participate** in the research study, please decline participation by clicking on the "decline" button.

Approve

Decline

Thank you,

Chantal Carrancho

Name of Researcher
CITY UNIVERSITY OF SEATTLE

General Statement of Confidentiality by Transcribers

Name of the Transcriber: Chantal Carrancho

Title of Research Study: First-Generation Filipino American Perceptions of Pursuing the American Dream Through Higher Education

Researcher Name: Chantal Carrancho

Research Supervisor Name: Dr. Stacey Malaret

An important part of conducting research is having respect for privacy and confidentiality. In signing below, you are agreeing to respect the participant’s right to privacy and that of the people and organizations that may be included in the information collected. Such information may include interviews, questionnaires, diaries, audiotapes, and videotapes. As part of your role in the above research study, you are required to respect people’s right to confidentially by not discussing the information collected in public, with friends or family members. The study and its participants are to be discussed only during research meetings with the Principal Investigators, Co-Investigators, Program Manager, and/or others identified by the Investigators.

By signing below, you are indicating that you understand the following:

- I understand the importance of providing anonymity (if relevant) and confidentiality to research participants.
• I understand that the research information may contain references to individuals or organizations in the community, other than the participant. I understand that this information is to be kept confidential.
• I understand that the information collected is not to be discussed or communicated outside of research meetings with the Principal Investigators, Co-Investigators or others specifically identified by the Investigators.
• When transcribing audio or videotapes (where applicable), I will be the only one to hear the tapes and I will store these tapes and transcripts in a secure location at all times.
• I understand that the data files (electronic and hard copy) are to be secured at all times (e.g., not left unattended) and returned to the Principal Investigator when the transcription process or research study, whichever is earlier, is complete.

By signing my name below, I agree to the above statements and promise to guarantee the anonymity (if relevant) and confidentiality of the research participants.

Signature of Transcriber: Via Temi

Transcribing Website

Printed Name: Chantal Carrancho

Date:
APPENDIX F

IRB APPROVAL LETTER

Institutional Review Board Certificate of Approval

IRB ID# Carrancho_Malaret011120

Principal Investigator (if faculty research):
Student Researcher: Chantal Carrancho
Faculty Advisor: Stacey Malaret
Department: SAL

Title: First generation Filipino American perceptions of pursuing the American dream through higher education.

Approved on: January 11, 2020

☐ Full Board Review
   X Expedited Review (US)

☐ Delegated Review (Can)
☐ Exempt (US)

CERTIFICATION

City University of Seattle has reviewed the above-named research project. The proposal was found to be acceptable on ethical grounds. The Faculty Advisor Stacey Malaret and the student researcher Chantal Carrancho have the responsibility for any other administrative or regulatory approvals that may pertain to this research project, and for ensuring that the authorized research is carried out according to the conditions outlined in the original Ethical Review Protocol submitted for ethics review.

This Certificate of Approval is valid provided there is no change in experimental protocol, consent process, or documents. Any significant changes to your proposed
method, or your consent and recruitment procedures are required to be reported to the Chair of the Institutional Review Board in advance of its implementation.

Brian Guthrie Ph D, RSW, RCSW
Chair, IRB City University of Seattle
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