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The Dilemma of Leadership in Research Universities

A dissertation submitted in partial satisfaction of the
requirements for the degree Doctor of Philosophy
in Education

by

Susan Maria Drange

2015

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ABSTRACT OF THE DISSERTATION

The Dilemma of Leadership in Research Universities

by

Susan Maria Drange

Doctor of Philosophy in Education

University of California, Los Angeles, 2015

Professor Mitchell J. Chang, Chair

Leaders of universities in the U.S. are experiencing increased pressures from internal and external constituencies to meet changing expectations. At the same time as leadership jobs are becoming more difficult, academic leaders are aging and it is uncertain if there will be enough future leaders who are ready, willing and prepared to take on these challenging roles. Yet higher education is doing little to intentionally prepare new leaders. Research exists detailing formal career paths, and the roles and tasks of academic leaders, but little research exists on the developmental experiences that prepare academics for leadership roles.

The purpose of this study was to deepen understanding of career experiences that prepare academics for leadership positions within research universities and identify those experiences that would enhance the preparation of future leaders. Career patterns were examined through content analysis of 41 curriculum vitae (CV) of academic deans, vice provosts, vice chancellors, chief academic officers (CAO)/provosts and chancellors within the University of California

system. Patterns of formal jobs, professional service, scholarship and professional development were identified and quantified. Interviews with 13 academic deans from the CV study, and 4 CAO/provosts from within the university system identified career experiences that were most beneficial for leader development. An integrated theory of leader development was used to analyze and understand the data.

Findings pointed to the value for leader development of serving as a department chair, director, Chair of the Academic Senate, leading campus-wide committees, leading professional associations and receiving mentoring. A model of the existing academic leader development process was identified and improvements to the model were proposed, including the addition of more developmental feedback and encouragement, professional development, and support for scholarship while participating in lower-level leadership positions earlier in the career. This study identified several dilemmas of leadership in research universities, including pressure for high scholarship interfering with leader development, problems with development of professional identity as a leader, and not enough support for leadership development of academics. Recommendations were made to help institutions and current leaders enable both scholarship and leader development in the research university.

The dissertation of Susan Maria Drange is approved.

Rosina Becerra

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Patricia M. McDonough

Mitchell J. Chang, Committee Chair

University of California, Los Angeles

2015

To My Father

Dr. Theodore M. Drange
Professor Emeritus of Philosophy
West Virginia University

*Thank you for teaching me how to
think logically,
defend my beliefs, and
live a life of intellectual curiosity.*

In Memory of My Nephew

Aaron Joseph Drange
The brightest among us now shines from Heaven.
March 28, 1994 - July 15, 2014

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CHAPTER 1: INTRODUCTION

Problem Statement

Leaders of universities in the U.S. are experiencing increased pressures from internal and external constituencies to meet changing expectations, fomented by a rapidly shifting context for higher education. In recent years articles in popular and academic newspapers have highlighted numerous factors that are converging to reshape the relationship between the university and society. These factors include reduced funding from both government and private sources, (Kelderman, 2011; Rhodes, 2006, Stewart, 2012), increased market competition and pressure to reduce tuition costs (Green & Eckel, 2010; Hamilton, 2012), the changing demography of the student body (Cook, 2012; Rhodes, 2006), increased pressures for improving retention and degree completion (Jaschik, 2013), and the growth of online education (Guttenplan, 2012; Lewin, 2013; Markoff, 2012). Academic leaders today must be able to respond to the changing context for higher education, while simultaneously satisfying the expectations of multiple constituencies. As Mark Yudof, president of the University of California stated,

I'm not willing to say these jobs are impossible, but these are very difficult times.

You want to be more efficient, but you don't want to make changes so fast that you endanger academic values and traditions and alienate the faculty. But you can't go too slow, or you alienate the board and the legislature. It's a volatile mix.

(Lewin, 2012, para. 2)

Seven months after making this statement, Yudof announced he would step down for personal and health reasons and return to the faculty (Blumenstyk, 2013). Such announcements are becoming more common, as current academic leaders reach or near retirement age and the pressures on leaders continue to mount. Since 2011, several public university leaders across the

U.S. have been fired, forced to resign or stepped down to head smaller institutions (Lewin, 2012). In the 2013 Inside Higher Ed Survey of College and University Presidents, 1 in 5 did not feel confident that they would leave their position as a result of their own decision (Jaschik & Lederman, 2013a).

One of the most publicized incidents occurred at the University of Virginia when the Board of Visitors forced President Teresa Sullivan to resign "over concerns that the university was not adapting fast enough to financial and technological pressures" (Perez-Pena, 2012, para.1) only to reinstate her 16 days later, under massive criticism from students, faculty and alumni (Perez-Pena, 2012). In that particular case, the board cited a list of concerns including reductions in state and federal financing, changes to technology and health care, faculty workload and compensation, research financing and the quality of the student experience (Lewin, 2012). It should be noted that these concerns could apply to any public university. The board's primary concern with President Sullivan was that her approach to change sought buy-in from constituencies and was incremental in nature, instead of rapid and top-down (Lewin, 2012). This case illustrates the pressure that academic leaders are under to enact rapid change to satisfy the expectations of boards composed of business leaders from the corporate sector versus meeting the consultative expectations of the faculty and university community.

At the same time as these jobs are becoming more difficult, academic leaders are aging and it is uncertain if there will be enough future leaders who are ready, willing and prepared to take on these challenging academic leadership roles (Cook, 2012). The demographic data for U.S. college presidents, and for positions commonly recognized as on the trajectory to the presidency, portray an aging and homogeneous group of senior academic leaders. In 1986 the average age of a college president was 52 and now it is 61, with 58 percent of presidents over age 60 (Cook,

2012). At doctoral-granting institutions the situation is worse, with senior administrators older than their peers at other types of institutions (Bridges, Eckel, Cordova & White, 2008; King & Gomez, 2008). Between 2008 and 2013 the share of senior leaders age 61 or older increased from 21 percent to 26 percent (Kim & Cook, 2013). According to Cook (2012), we may even experience a temporary shortage of leadership as the Baby Boom generation retires.

In addition to a potential shortage in the pipeline of future leaders, there is also a persistent lack of diversity among presidents and other senior academic leaders that is out of alignment with the increasing diversity in the U.S. population and in the college student body (Cook, 2012). The American Council on Education's 2012 study on American college presidents pointed out the need for developing a more diverse pool of senior leaders, stating, "leadership that is not only effective but reflective of the world around it will be key to managing the challenges of today and the unrevealed challenges of tomorrow" (Cook, 2012). Some gains have been made in the percentage of female presidents, with 26 percent in 2012 compared to only 23 percent women in 2007 (Kim & Cook, 2013). However, racial and ethnic diversity among presidents has only increased 5 percentage points since 1986, to 13 percent in 2012 (Kim & Cook, 2013) and among (CAO)/provosts, such diversity has actually declined since 2008 (Stripling, 2013). This lack of diversity among the most senior levels of academic leaders stands in sharp contrast to the steadily increasing diversity found among the general student body, where women outnumber men at every level except the doctorate (Rhodes, 2006) and the share of college students who were a racial or ethnic minority stood at 34 percent in 2009 (Cook, 2012). Future leaders, whether or not they themselves are of diverse backgrounds, must be able to understand and serve the needs of an increasingly diverse constituency.

Yet despite changing roles and expectations, the impending mass retirement of current leaders, and a changing demographic context, higher education is doing little to intentionally prepare new leaders. Bridges et al., (2008) state that beyond a few national leadership development programs, which reach a small number of people, higher education is not investing in the development of leadership talent. “People almost stumble into positions. The implication is that only the fortunate have the experiences, formal or informal, to prepare them well for higher positions” (Bridges et al., 2008, p. 7). Instead of intentional preparation for leadership, future leaders are following traditional academic career paths and relying on their learning from prior positions to prepare them for leadership roles (Del Favero, 2006). Institutions are depending on whatever skills the new leader brings to the position to be sufficient for fulfilling the leadership role (Del Favero, 2006). Unfortunately, this strategy on the part of the institution and individual aspiring leaders may not provide a sufficient pool of well-prepared future leaders. In a 2013 survey, only 41% of college presidents felt “very well prepared” for their first presidency (Selingo, 2013). With aging leaders, evolving roles and expectations, and little if any intentional leadership development, will U.S. universities have the leadership necessary for the 21st century? If not, what can be done to better prepare a new generation of academic leadership?

Purpose of the Study

The purpose of this study is to deepen understanding of career experiences that prepare academics for leadership positions within research institutions and to identify those experiences that would enhance the preparation of future leaders. Specifically, this study examined the career patterns of a set of academic leaders within one state research university system to identify

career-related experiences that are perceived to be most effective as preparation for leadership roles in the 21st century. In order to do so, this study answered the following research questions.

Research Questions

The primary research question that guided this study is:

1. Which career experiences best prepare academics for university leadership roles¹ in the 21st century?

Three sub-questions helped to answer the primary question:

- a. Are there common career experiences listed in CVs, which typically precede advancement to academic leadership roles?
- b. Which career experiences do academic deans identify as having best prepared them for their current position?
- c. What do chief academic officers (CAO)/provosts point to as key experience/preparation that they look for when considering candidates for academic leadership?

Methodological Overview

My methodological approach for this study followed a sequential explanatory strategy (Creswell, 2009, p. 211) and consisted of: 1) content analysis of the curriculum vitae (CV) of a subset of academic leaders from within three institutions in the University of California system, 2) interviews with academic deans from the CV study, and 3) interviews with CAO/provosts

¹ For the purpose of this study, academic leadership roles include formal leadership titles that within research institutions typically also require holding a tenured faculty position, including deans of academic units (academic dean), vice provost, vice chancellor, chief academic officer, provost, president or chancellor.

from the same university system. These three data sets were used to answer the research questions.

Three institutions within the same public state research university system were selected for study for several reasons. The institutions had similar levels of very high research activity and also had a wide variety of different schools, including arts, business, education, engineering, health sciences, law and sciences. This enabled participation by deans representing many academic disciplines. These institutions also had the potential to provide a demographically diverse sample. Also, the position titles and organizational structure within one university system is more uniform than if a wider variety of independent institutions or other university systems were combined, which made analysis of position titles on the CVs easier.

To address Research Question 1.a., I analyzed a set of 41 CV's of academic deans, vice provosts, vice chancellors, chief academic officers/provosts and presidents/chancellors to identify patterns and quantity of participation in professional career experiences. The types of experiences analyzed included participation in formal positions/jobs, scholarship, extramural/professional service, and educational and professional development. This portion of the study identified a portfolio of common career experiences that preceded advancement to positions of academic leadership, and provided examples of unusual or less common career experiences, as well.

To address Research Question 1.b., I interviewed a purposefully selected (Patton, 2002) sample of 13 academic deans from the participants in the CV portion of the study. The role of dean is considered a gateway role to higher positions in academic leadership (Wolverton & Gmelch, 2002) and therefore provided a good reference point for career activities prior to entry into higher-level positions. Interview participants were selected to include men, women and

racial/ethnic minorities, as well as deans from a variety of academic disciplines and with differing career patterns.

To address Research Question 1.c., I interviewed four CAO/provosts from within the University of California system. The role of CAO/provost has oversight of other academic leadership positions and the day-to-day operation of the academic enterprise (Martin & Samels, 1997). Only the position of president or chancellor is hierarchically above the provost. The CAO/provost is typically one of the decision makers in hiring other academic leadership positions such as dean, vice provost and vice chancellor and is typically also one of the positions that evaluates the work of these individuals. In this way, the CAO/provost serves a gatekeeper function in terms of enabling entry to and retention in academic leadership positions. The CAO/provost has a unique view into the effectiveness, and possibly also the preparation, of deans and other academic leaders. CAO/provosts were asked about the professional career experiences that they considered when selecting deans and other academic leaders, and the experiences that they perceived as necessary for preparing academics for formal leadership roles.

In the last phase of data analysis I compared the findings from the three data sets in this study: CV data, interviews with academic deans, and interviews with CAO/provosts. Ultimately I compared the leader development process that emerged from my research findings to the framework provided by leader development theory. In addition, the comparison between these three different data sources provided a form of triangulation that strengthened the internal validity and credibility of the research findings (Merriam, 2009).

Significance of the Study

Few research studies have been specifically designed to identify career experiences important in helping academics prepare for academic leadership roles (Del Favero, 2006).

Several studies have documented career trajectories of different types of academic leaders (Birnbaum & Umbach, 2001; Cejda, McKenney & Burley, 2001; Cohen & March, 1974; King & Gomez, 2008; Moore, 1983; Moore, Salimbene, Marlier & Bragg, 1983; Twombly, 1988). Many have studied college presidents, their career paths, their approaches to leadership and their changing demographics over time, including a series of reports spanning more than 20 years by the American Council on Education (Bensimon, 1989; Birnbaum, 1989; Birnbaum, 1992; Bridges et al., 2008; Cohen & March, 1974; Eddy, 2005; Ferrari, 1970; Kim & Cook, 2013; King & Gomez, 2008; Masden, 2007; Moore, 1983; Moore et al., 1983; Neumann, 1989, Smereck, 2011). Fewer have examined the roles and careers of chief academic officers in different types of institutions (Cejda et al., 2011; Eckel et al., 2009; Ferren & Stanton, 2004; Hartley & Godin, 2010; Keim & Murray, 2008; Martin & Samels, 1997; Mech, 1997). Others have researched or described the roles and career pathways of academic deans (Bright & Richards, 2001; Buller, 2007; Gallos, 2002; Gould, 1964; Layne, 2010; Montez, Wolverton & Gmelch, 2003; Moore, 1983; Moore et al., 1983; Wolverton & Gmelch, 2002; Wolverton, Gmelch, Montez & Nies, 2001; Wolverton & Gonzales, 2000). Even less research has been done in the area of academic leadership development in higher education, with only a few studies investigating questions related to how academic leaders develop (Bisbee, 2007; Del Favero, 2006; Eddy, 2005; Inman, 2011; McDade, 2005; VanDerLinden, 2005). Much research on academic leadership has been descriptive in nature, focusing on demographic trends. Some studies have attempted to identify career ladders leading to advancement to higher-level positions. Very little research has been done examining how academics acquire the knowledge, skills and behaviors necessary for leadership roles.

This study applied leader development research and theory to the context of higher education, revealing gaps and impediments for the development of future academic leaders in research universities, including the issue of holding professional identity as a leader. This study also established foundational knowledge regarding the portfolio of career experiences that precede advancement to positions of academic leadership in research universities. No other known study triangulated sets of data to document and illuminate the career patterns of academic leaders. This approach enabled a much more comprehensive and detailed understanding of career activities than was provided by previous studies that used survey data alone. In addition to adding to our foundational knowledge about academic leaders' career patterns, this study went further by investigating which types of activities are perceived as most beneficial to the development of academic leaders. Based on the findings from this study, recommendations were provided regarding the kinds of career experiences that would be most useful and beneficial for developing future academic leaders. Using this information, academic leaders can better guide and mentor others for leadership roles, and academics interested in leadership roles can make better plans for their own leader development. Search committees can consider the findings of this study when evaluating the career experiences of those seeking academic leadership positions. Administrators can also use these findings and recommendations to design and seek funding for more effective methods of academic leadership development. Ultimately, this work made recommendations for improving the motivation and development of academics for participation in leadership roles, which in turn should better equip academic institutions to meet the challenges presented by the changing context and expectations for higher education in the 21st century.

Position of the Researcher

In every research study, the position of the researcher informs and influences the research. I bring more than 20 years of experience as a practitioner in leadership development and employee communications in the corporate and academic sectors to my current research project on academic leaders. I have held leadership positions within the corporate sector and have also participated in leadership development programs myself. Based on my background and life experience with leadership and leadership development, I take a pragmatic view of the role and influence of academic leaders. I believe that the practice of leadership has ethical and behavioral outcomes that can be viewed as positive or negative and that people in leadership roles can develop behaviors and strategies that will positively or negatively influence change in the actions of individuals and in organizations. My epistemological approach is that knowledge is derived from experience and that as a researcher I can only reconstruct the meaning of the action of others through my own subjective lens (Klenke, 2008, p. 20). All this is to say that given my background, I am predisposed to believe that formal leaders have some effect on organizations and that individuals can become better leaders through learning and experience.

Organization of the Study

The chapters that follow include literature review, methodology, findings and discussion and recommendations. Chapter 2 presents a review of studies on career pathways to academic leadership positions and discusses what we know about the role of chief academic officer/provost, the role of dean, and the demographics of current academic leaders. An overview of leadership development theories and research on academic leadership development is also provided. Chapter 3 explains the methodological approach for the study and how the three data sources will be used to answer the research questions. Findings from the CV study and the two

interview studies with deans and chief academic officers/provosts are presented in Chapter 4. Chapter 5 presents the current Model of the Academic Leader Development Process and makes recommendations for an improved model that would enhance the development of future academic leaders in research universities. By the conclusion of this study, the reader should have a better and more detailed understanding of the career activities and experiences that help to prepare academics for positions of academic leadership, as well as practices and activities that interfere with leader development among academics in research universities.

CHAPTER 2: REVIEW OF THE LITERATURE

Introduction

The focus of this study is on understanding career experiences that prepare academics for leadership positions within research institutions and identifying those experiences that would enhance the preparation of future academic leaders. In order to better understand academic leadership, this chapter provides background in three areas. The first is the nature of higher education institutions and the role of leaders in this context. The second area concerns what is known about the types of academic leaders who will be the subject of this study. This is covered by four sections that provide background on pathways to academic leadership, the evolution of academic leadership roles, the role of the chief academic officer (CAO)/provost and the role of the dean. The last area describes general leader development theories and studies in higher education that shed light on how leaders develop. This provides background to interpret and analyze information from the curriculum vitae and interviews with academic leaders in this study.

The Nature of Higher Education Institutions

In order to study academic leaders and academic leadership development, it is important to first understand the nature of higher education institutions. This section describes three concepts including organized anarchy (Cohen & March, 1974), a loosely coupled system (Weick, 1976) and supercomplexity (Barnett, 2001), which provide a framework to understand higher education institutions as socially constructed, constantly changing, complex environments. This framework also aligns well with the rapidly changing external forces and multiple constituencies with conflicting expectations that academic leaders confront today, as was described in Chapter 1. Academic leaders and those who wish to take on the challenges of academic leadership must concern themselves with the context for higher education both inside and outside the university.

Cohen and March (1974) described the American university as an "organized anarchy," characterized by problematic goals based on inconsistent preferences, unclear and changing technology, and fluid participation by individuals in an organization with unclear boundaries (Cohen & March, 1974, pp. 2-3). Given the ambiguous nature of decision making and participation in such an organized anarchy, management theories related to control and coordination do not apply (Cohen & March, 1974). Weick (1976) applied the conceptual model of a "loosely coupled system" to educational organizations, identifying some of the same characteristics cited by Cohen and March, including the lack of a strong technical core, authority of office or rational models for resource allocation, as well as education being a diffuse task with uncertain technology. Within a loosely coupled system like a college or university, tightly coupled segments also exist (e.g., academic departments or functional offices). These join together with, and separate from, other segments as needed over time to accomplish specific goals, activities, and functions (Weick, 1976). In a loosely coupled and ambiguous system, Weick predicts that members would need to spend more time and effort constructing social reality in order to connect and make sense of the organization, than they would in a more tightly coupled system. Leaders within a loosely coupled system play an important role in helping members socially construct meaning about the organization by finding ways to reinforce and reinvent an organization's values (Birnbaum, 1992).

The important thing about colleges and universities is not the choices that administrators are presumed to make, but the agreement people reach about the nature of reality...These agreements coalesce in institutional cultures that exert profound influence on what people see, the interpretations they make, and how they behave. (Birnbaum, 1988, p. 2)

Leaders in higher education institutions help members make sense of their organization's mission, purposes and goals. In this way leaders serve to hold organized anarchies or loosely coupled systems together.

The framework of supercomplexity provides another insight into the nature of higher education institutions in the 21st century and suggests a role and purpose for academic leadership. Barnett (2001) described the environment in which higher education institutions operate as one of supercomplexity characterized by three types of complex challenges: 1) conceptual complexities involving values, purposes and goals; 2) environmental complexities involving funding sources, competition, stakeholders, and the boundaries of the organization (local, national, global); and 3) relational complexities involving relationships, communication, and identity of persons within the university community and its interactions outside the university (p. 17). Within these complexities lie conceptual tensions, and in some cases mutually exclusive conceptual incompatibilities, for which there is no simultaneous resolution. For example, a university that adopts admission practices that do not account for a student's socio-economic status and life history while at the same time espousing the value of equal access creates a conceptual incompatibility (Barnett, 2001). A university that accepts research contracts that do not allow open publication while at the same time upholding academic freedom is trying to balance mutually exclusive conceptual incompatibilities within the same institution (Barnett, 2001). In today's supercomplex environment, the role of academic leadership is to enable "the university to make collective *choices* over the frameworks with which it will be primarily identified, even if other contesting frames are still to be found in the practices and self-understandings of its internal networks" (Barnett, 2001, p. 21). As in the loosely coupled system (Weick, 1976), in a supercomplex environment the role of academic leader is identified as one of

helping the organization's internal and external constituencies make sense of a complex and conflicted environment.

Leadership In Higher Education

Organized anarchies, loosely coupled, and supercomplex systems do not align with a positivist paradigm. Instead these models align with social constructivist, critical or postmodern paradigms in which the world does not have one shared objective reality, but is constructed from multiple viewpoints (Kezar, Carducci & Contreras-McGavin, 2006). Leadership theories that support a socially constructed view of the world include cultural and symbolic theories, transformational leadership theory, and complexity and chaos theory (Kezar et al., 2006). Kezar and Carducci (2009) proposed going even beyond these theories to a new "revolutionary" model of leadership and leadership development practices in order to help academic leaders meet the increasingly complex challenges facing higher education today. In Kezar and Carducci's conceptualization of revolutionary leadership, leadership is a process among people and not residing within one individual. Culture and context are integral to the leadership process, which is based in mutual power and influence (Kezar & Carducci, 2009). Revolutionary leadership is a process that empowers all constituencies through participation and fosters learning and organizational change.

Leadership is a term that has different meanings depending upon which leadership theory is espoused. Older leadership theories include more traditional and leader-centric views of what leadership means and include trait theories, power and influence theories, behavioral theories, contingency theories and transactional leadership theories (Bensimon, Neumann & Birnbaum, 1989). These older theories align with the industrial paradigm (Rost, 1991) and a positivist view that doesn't take internal and external organizational context, different perspectives, or

organizational culture fully into consideration (Kezar et al., 2006). In these "traditional" theories, leadership is enacted by an individual leader who has specific traits and uses universal leadership behaviors (Kezar & Carducci, 2009). Rost (1991) found that leadership in this traditional view is in fact "management" and that a new definition of leadership was needed for the post-industrial paradigm.

How Leadership Differs from Management

In order to build clarity in thinking about the different roles of formal academic leaders in this study it is important to understand the difference between leadership and management. Rost (1991) defined leadership as "an influence relationship among leaders and followers who intend real changes that reflect their mutual purposes" (p. 102). In Rost's definition of leadership, the relationship is based on mutual influence that is non-coercive. There may be more than one leader and more than one follower. Both leaders and followers develop mutual purposes, but not necessarily mutual goals, and desire substantive and transforming changes (Rost, 1991, pp. 102-103). This definition of leadership aligns well with Kezar and Carducci's (2009) revolutionary leadership framework.

Rost (1991) defines management as "an authority relationship between at least one manager and one subordinate who coordinate their activities to produce and sell particular goods/or services" (Rost, 1991, p. 145). Management is carried out by creating order through instrumental and task-oriented activities such as planning, budgeting, organizing, staffing and problem solving (Ramsden, 1998, derived from Kotter, 1990). People in formal academic leadership roles enact both leadership and management, as some relationships are based on authority, many are relationships of influence, and some may have aspects of both authority and influence in different contexts.

As a leader begins to develop, much of the initial behavior is likely transactional in nature and more related to management than to leadership. As a leader develops further, an understanding of leadership as a process of mutual power and influence among people is realized (Day, Harrison & Halpin, 2009; Kezar & Carducci, 2009; Komives, Owen, Longerbeam & Mainella, 2005; Lord & Hall, 2005). At any point in time, either management or leadership may be required for different situations and may also occur in tandem. Further information about how leaders develop will be provided in the last section of this chapter.

In the next section, Pathways to Academic Leadership, data on the characteristics of academic leaders in higher education institutions will be provided. Research on career paths leading to different types of academic leadership positions, primarily in doctoral-granting or research institutions, will also be reviewed. This information provides background for understanding career patterns in the analysis of curriculum vitae, as well as context and possible themes for identifying patterns in the interview data for this study.

Pathways to Academic Leadership

Well over half of the presidents in U.S. colleges and universities are near retirement age. The 2012 American College President study reported 58% of all college presidents are 61 or older, an increase from 49% in 2007 (Cook, 2012). One reason for the increasing age of presidents may be that the role is becoming more complex and governing boards are seeking leaders with more experience (Cook, 2012). Now, with looming retirements among this group, "American higher education may find itself facing a shortage of qualified individuals ready to assume the presidency" (Kim & Cook, 2013, p. 1).

The American Council on Education recently conducted its second study of senior executive positions in accredited, degree granting institutions, *On the Pathway to the Presidency*

2013: Characteristics of Higher Education's Senior Leadership² (Kim & Cook, 2013). This study corroborates the aging trend among senior academic leaders potentially in line for higher-level positions. Chief academic officer (CAO) or provost was the position most frequently cited as the immediate prior position for first time college presidents, however people in these positions aren't much younger than current presidents (Kim & Cook, 2013). In 4-year institutions, 50% of the CAO/provosts are age 51 to 60, and 33% are 61 or older, reducing the pool of those who might be interested in continuing their careers to a presidency (Kim & Cook, 2013). Another concern about this potential feeder pool to the presidency is its lack of racial and ethnic diversity, which is less than that of presidents. Within 4-year institutions 93% of CAO/provosts are White, compared to 88% of presidents (Kim & Cook, 2013). In contrast, gender diversity among CAO/provosts in 4-year institutions is better than among presidents, with 40% female, compared to 22% of presidents (Kim & Cook, 2013).

Given that the pool of CAO/provosts may not be large or diverse enough to supply sufficient numbers of future presidents, where else might presidents come from? Looking across all institutional types, 20% of presidents in 2012 came directly from another presidency, 20% came from outside higher education, and 57% came from senior administrative positions, including CAO/provost (Cook, 2012). Only 4% came directly from a department chair or faculty role (Kim & Cook, 2013). First time presidents came to office from other senior administrative roles, including associate provost or dean (13%) and non-academic officer roles (16%) (Kim & Cook, 2013). While the number of presidents who have come from outside higher education is increasing (Kim & Cook, 2013), the vast majority (82%) served as a faculty member at some

² Survey response overall was low, but was best from private (50%) and public (35%) 4-year institutions, with little response from 2-year and for-profit institutions. Therefore the data from this study pertain primarily to 4-year institutions (Kim & Cook, 2013, pp. 2-3).

point in time, making the faculty role still the main pathway to academic leadership roles and presidential careers (Kim & Cook, 2013). Table 2.1 provides current information about the demographic characteristics of those in administrative leadership roles who could be considered to be on the pathway to a presidency, and also provides a comparison with the race/ethnicity of full-time tenured faculty.

Table 2.1

Percentages of Academic Leaders in 4-Year Institutions by Characteristic (Kim & Cook, 2013)

Race/Ethnicity	Exec. Vice President	CAO/Provost	Sr. Acad. Officer	Academic Dean	Full-time Faculty*
White	94.4	93.3	88.2	87.1	80.2
African American	5.6	3.9	5.7	5.0	4.5
Asian American	0.0	1.3	2.5	4.6	8.8
American Indian	0.0	0.0	0.1	0.2	0.4
Hispanic	0.0	0.9	3.1	2.0	3.4
Other/multiple races	0.0	0.9	0.4	1.1	1.6
Gender					
Female	28.9	39.9	49.3	27.2	-
Male	71.1	60.1	50.7	72.8	-
Age					
50 or younger	18.9	17.0	27.6	18.7	-
51 to 60	54.1	50.0	41.3	50.1	-
61 or older	27.0	33.0	31.1	31.2	-

* Full-time tenured faculty. Source for data on faculty: Integrated Postsecondary Education Data System, 2011 Fall Staff Survey (Kim & Cook, 2013).

These statistics provide an understanding of the potential age-related shortage in prepared and qualified senior academic leaders ready to move up to higher-level positions and presidencies. A similar aging pattern is also found in lower-level positions including academic dean, where 31% are age 61 or older. Gender diversity is better among senior academic officers and lower among academic deans. The general lack of racial and/or ethnic diversity in these senior positions reflects the lack of diversity in the full-time faculty overall. In order to change

the make-up in the most senior academic leadership positions, it will be necessary to encourage and prepare a wider range of faculty to pursue higher-level academic leadership roles. Otherwise higher education institutions would need to change the positions from which they typically draw senior academic leaders in order to affect change in these demographic patterns.

In this study, I examined the curriculum vitae of those in academic leadership positions in public research universities that are typically considered to be on the pathway to the presidency, in order to identify common career experiences that may have helped to prepare people in these positions for academic leadership. Positions included in this study are deans of academic units (academic deans), graduate and undergraduate deans (functional roles included among the vice provosts/vice chancellors), vice provosts, vice chancellors, CAO/provosts and presidents/chancellors. In order to gain a deeper understanding of career experiences that help faculty members prepare for academic leadership roles, this study takes a more in-depth look at the developmental career experiences of academic deans and CAO/provosts through interviews. The following sections briefly summarize what is known about the career pathways of CAO/provosts and academic deans, highlighting positions in research universities where possible.

Career pathways to academic leadership positions have been studied by comparing career patterns to linear career trajectories since Cohen and March (1974) proposed a "six-rung ladder" as the standard promotional hierarchy for U.S. academic administrators (p.20). This career ladder began with a student, teacher or clergyman becoming a professor, then progressed to department chair, dean, provost or academic vice president, and culminated as president (Cohen & March, 1974). Moore (1983) used this career ladder concept in her study of 310 presidents and provosts and 1,293 deans in 4-year colleges. Survey data was used to compare respondent's career trajectories to linear career ladders. Moore (1983) found that there was no definitive career path

leading to the presidency. She also included external professional experiences in her survey, such as publication in books or scholarly journals, paid consulting, and being a member of a board of directors in state, regional or national associations. These were the three most frequently cited activities by presidents and provosts, more frequently cited by those in research and doctoral-granting institutions than by those in other types of institutions. Only a few of the presidents and provosts had participated in professional development programs, such as Harvard's Institute for Educational Management (IEM), Michigan's/Wisconsin's Institute for Educational Management (IAA) or Bryn Mawr's Summer Institute (HERS). Moore's survey did not determine if and how any of these external experiences contributed to leadership development, which is an area of inquiry that this study explored further. Moore (1983) noted that mentoring relationships were seen as very important for career advancement by a majority of the presidents and provosts, with a larger portion of women reporting mentor relationships than men. Moore's findings indicated that there could be opportunity for intentional leadership development through formal, organized mentoring and increased use of professional development experiences.

Hartley and Godin (2010) analyzed data from the American Council on Education's 2009 census of chief academic officers (CAO) and found that 79% of CAOs in public research universities came directly from three different types of positions: deans of an academic college, senior academic officers with campus-wide responsibility, or executive roles in academic affairs. Across all institutional types, CAOs who were newer to their positions were more likely to have come from dean positions (34%) (Eckel et al., 2009). Interestingly, 42% of the CAOs in the 2009 study had risen through the ranks at a single institution, and 52% of the CAOs were hired from within, meaning they came directly from a position in the same institution (Eckel et al., 2009). These high levels of internal advancement indicate there is opportunity to intentionally develop

faculty members for senior academic leadership positions in the same institution. The percentage of CAOs who had come directly from a deanship also indicates that the deanship is an important gateway to higher-level roles and could be a good target for intentional leadership development.

Career movement differed somewhat across institutional types for CAOs. Thirty-nine percent of CAOs at doctoral-granting institutions had risen through the ranks in one institution, 41% had changed institutions once or twice, 18% had changed institutions three or more times and 2% had moved in and out of higher education (Eckel et al., 2009). At baccalaureate institutions, there was somewhat less movement, with 46% rising through the ranks at one institution, 40% changing institutions once or twice, 10% changing institutions three or more times and 4% moving in and out of higher education (Eckel et al., 2009). These studies identified different patterns of career movement, but they did not explain whether or not career mobility contributed to preparation for leadership roles.

Overall these studies have not been able to identify sequential, clearly defined career ladders leading to president or CAO. The most frequent position held immediately before president was CAO or provost (Kim & Cook, 2013). Dean was the most frequently held type of position prior to becoming a CAO (Eckel, et al., 2009). While, the number of presidents coming from outside higher education is increasing slightly, the vast majority of presidents and other senior academic leaders continue to come from the faculty ranks (Kim & Cook, 2013), making faculty the best potential pool for intentional leadership development efforts.

Moore (1983) also studied the career trajectories of deans and compared respondent's career trajectories to linear career ladders, which included faculty member, department chair, assistant, associate or assistant to dean, and dean. Moore found that 39.4% of the deans had come directly from faculty positions, and 27.5% had been a faculty member and then department chair

before being named dean. Sixty percent of the academic deans in Moore's study reported receiving some mentoring, and half of those said mentoring had been important to their career advancement. Female deans were slightly more likely to report having a mentor (Moore, 1983). The deans ranged in age from 27 to 72, with 40.2% between the ages of 50-59 (Moore, 1983). Female deans comprised 13.6% of the respondents and racial minorities made up 7.2% (Moore, 1983). Sixty percent of the deans had been in their current position for 5 years or less (Moore, 1983). In terms of external professional development experiences, the deans listed 6 areas most frequently: paid consulting, editorship of a journal, member of the board of directors of a state or regional association, member of a national organization, and publication in books or journals (Moore, 1983). Similar to her findings with presidents and provosts, Moore found that very few of the deans had participated in any professional development programs such as the Harvard Institute of Educational Management (IEM) or the American Council on Education (ACE) Fellowship. Moore's study remains one of the most comprehensive career trajectory studies to include deans, in terms of size and variety of fields, however, it is now more than 30 years old and may not reflect current career patterns.

In a more recent study conducted in 1996, Wolverton and Gonzales (2000) and Wolverton and Gmelch (2002) studied career paths of academic deans in the liberal arts, business, education and nursing. They did not find clear patterns of career pathways, beyond the overall majority (56%) having served as a department chair, which occurred more frequently in research institutions (62%). Career paths also varied by discipline. For example, 70% of liberal arts deans had been department chairs, while less than 55% of business deans had done so (Wolverton & Gmelch, 2002). Nursing and business deans were more likely to have worked outside the academy at some point in their careers, and more liberal arts, nursing, and education

deans had served as both a department chair and associate dean, with 50% of the deans in research institutions having served as an associate dean (Wolverton & Gmelch, 2002). Length of time in any position was relatively short, with the average stay being 2 years or less, and the longest average time spent in position being 4 years as department chair (Wolverton & Gmelch, 2002). Wolverton and Gmelch concluded, "a strictly hierarchical linear model for the deanship remains unclear" (Wolverton & Gmelch, 2002, p. 17).

In a qualitative interview study of 21 female deans of engineering, Layne (2010) found that women had taken a wide variety of career paths to the deanship, including a direct academic route, working in industry, and gaining administrative experience through major research centers, professional societies or government agencies. Most felt that they did not set out to be a dean, but that it is where their careers had led them (Layne, 2010). While the career paths for academic deans in engineering may be similar to other applied fields, these paths are likely dissimilar to those in non-applied fields (Del Favero, 2006). These studies of deans' careers highlight the difficulty in defining specific pathways to becoming dean that can be applied for all fields.

Twombly (1988) suggested using an administrative portfolio model instead of linear progression through a career ladder as was previously described by Cohen and March (1974) and tested by Moore (1983). "Perhaps administrators, like artists, develop portfolios of experiences or jobs that become more important to attaining top-level posts than the exact ordering of these experiences in an individual's work history" (Twombly, 1988, p. 685). The current study used a career portfolio concept in examining curriculum vitae for a wide range of career experiences in order to understand the types of experiences that preceded advancement to academic leadership positions.

The next section provides a detailed look at the changing roles of CAO/provosts and deans. Data is provided from the point of view of position incumbents, as well as from staff and faculty members where available. This section provides broad context for understanding what CAO/provosts and deans do and suggests the kinds of knowledge, skills and behaviors that might be necessary to be effective in these roles. One shortcoming of the research on academic leaders is the way in which roles and activities of leaders are organized and presented. Authors and researchers in the field of academic leadership tend to describe roles or functions in ways that combine multiple sets of underlying skills and these descriptions vary across different research studies. In the literature reviewed, no attempt was made to tease apart these compound constructs and distill an underlying core set of distinct skills or behaviors. This makes it difficult to consider transferrable skills or developmental experiences that could directly support the different roles of academic leaders. Despite this shortcoming, this section provides a general understanding of the roles of the CAO/provost and the academic dean, as well as the expectations of their constituents, which will provide further context for understanding which experiences might help prepare academics for these positions.

The Evolution of Academic Leadership Roles

The role of the academic dean was created in U.S. higher education institutions in 1870 by the president of Harvard, Charles W. Eliot, to relieve him of some administrative duties (Martin & Samels, 1997). Deans in these early years were assistants to the president with responsibility for supervision of students and administrative tasks that "encroached on the president's time" (Gould, 1964, p. 6). Since then, duties that were once the president's have shifted to the dean, who was also known by names such as academic dean, dean of faculties or dean of instruction. In a 1936 study, Milner found that deans' primary functions included dealing

with students and their parents, evaluating faculty teaching and recommending changes in curriculum (Gould, 1964). After World War II, presidents were being called upon to devote substantially more attention to expanding their institutions, fund raising and handling public relations, resulting in deans taking on additional administrative duties (Gould, 1964).

By the 1960's academic deans in Gould's 1961 study shared responsibilities for selection, promotion and development of faculty with the president (82%), still taught one or more classes (64%), and were now "too busy to see students" (Gould, 1964, p. 12). During this same period, the academic dean began to be called the "provost" within research universities and this position was equated with being the chief academic officer (Martin & Samels, 1997). In state colleges, universities and mid-sized private institutions, the title became "vice president for academic affairs" or "academic vice president" (Martin & Samels, 1997, p. 4). In the 1970s two distinctly different kinds of roles developed in larger institutions, such that the overall academic operation was under the provost or a chief academic officer position and "dean" came to mean the head of a specific academic unit or school (Martin & Samels, 1997). In some smaller colleges and community colleges titles such as "dean of instruction," "academic dean" or "dean of faculty" are still in use and continue to mean the larger, campus-wide role.

In the 1980s the duties of deans, now at the unit level, expanded to include more managerial duties, such as strategic planning, fund raising and addressing accountability measures (Montez et al., 2002). The dean's role continued to grow in the 1990's to include representing the school or unit, as well as the university, in the community, in political advocacy with legislators, and in recruitment of diverse faculty and students (Montez et al., 2002). Today the dean serves multiple internal constituencies including senior administration, faculty and students, and also external constituencies such as the community, legislators, granting agencies

and accreditors on behalf of their school or unit (Montez et al., 2002). Gallos (2002) referred to the conflicting demands in this expanded role as the “dean’s squeeze,” being caught between the expectations of an internal academic culture and the expectations of external constituencies with a corporate culture of administrative performance (Gallos, 2002, p. 175).

The chief academic officer (CAO)/provost role has also continued to expand as higher education institutions have expanded, and today this position is responsible for running multi-million dollar operations (Ferren & Stanton, 2004). In the 2013 Inside Higher Ed Survey of College and University Chief Academic Officers, 91% agreed that that the position of CAO/provost had evolved well beyond academic affairs (Jaschik & Lederman, 2013b). Martin & Samels (1997) described the provost's role as encompassing traditional duties such as faculty advocacy, campus consensus building, academic policy formation, curricular innovation and student counseling, as well as newer areas, such as educational entrepreneurship, budget oversight, government relations, fund raising, marketing, and legal affairs (p. 8). CAO/provosts also experience a great deal of role conflict because they serve multiple internal and external constituencies on a much larger scale than do deans (Ferren & Stanton, 2004). They are expected to fulfill a highly collaborative, collegial role, building consensus, communicating and working with the faculty on one hand, and at the same time to come up with ideas about "how to do more, better and with less" for legislators, trustees and presidents (Ferren & Stanton, 2004, p. 4). CAO/Provosts are "caught in the middle" trying to balance faculty interests with changes that are necessary for institutional viability (Ferren & Stanton, 2004, p. 4).

The sections that follow discuss the role of CAO/provost and the role of dean, how different constituencies perceive their effectiveness, developmental experiences recommended for academic leadership roles, and the challenges that deans and CAO/provosts' face. In this

study, chief academic officer (CAO)/provost is used to mean the role that has campus-wide responsibility for the academic enterprise and the term "academic dean" refers to a dean who heads an academic school or division and is responsible for, among other things, the faculty of that unit. In this way the academic dean term in this study is different from other dean titles, such as the Dean of Graduate Division or Undergraduate Dean, who are responsible for functional administration of campus-wide graduate or undergraduate affairs, but have no academic faculty positions reporting to them. In this study, undergraduate and graduate deans were grouped with the other functional positions of vice provost and vice chancellor.

The Role of the CAO/Provost

The American Council on Education conducted a national survey of 1,715 chief academic officers in 2008, which provides the best current data on CAO/provosts' personal characteristics, roles, career paths and presidential aspirations (Eckel et al., 2009). In this survey CAO/provosts identified four areas as the most important aspects of their jobs, including promoting academic quality, setting the academic vision of the institution, leading change and fostering innovation, and ensuring student success (Eckel et al., 2009, p. 8). In terms of the way they spend their time, CAOs identified three areas as occupying most of their time: curriculum and academic programs (65% responding), supervising and managing personnel (57% responding), and accountability, accreditation and assessment (47% responding) (Eckel et al., 2009). CAOs from doctoral-granting institutions spent their time differently than others, with 66% citing supervising and managing personnel (including deans), 54% citing strategic planning and 53% citing budgeting/financial management (Eckel et al., 2009). Areas that were ranked lower by the overall group of CAO/provosts included (in descending order): strategic planning, hiring, promoting and retiring faculty, budgeting/financial management, campus/faculty

governance, student issues/student development, enrollment management, facilities space allocation and capital projects, and entrepreneurial activities (Eckel et al., 2009). The CAOs at doctoral-granting universities ranked accountability and assessment much less frequently than did CAOs from other kinds of institutions (Eckel et al., 2009). In general, the CAO role at doctoral-granting institutions is more administrative in nature and less academic than it is at other types of colleges and universities (Eckel et al., 2009).

While the CAO position is primarily focused on issues internal to the institution, CAOs do spend time on a number of external activities. For CAOs at doctoral-granting institutions these require more time than for their colleagues at most other institutional types. Fund raising was reported by 62% of CAOs at doctoral-granting institutions as requiring moderate to significant amounts of time, followed by corporate relations/economic development (51%), government relations (50%) and alumni relations (45%) (Eckel et al., 2009).

Scholarship, research and teaching continue to be part of many CAO's activities. In the 2008 survey 53% of the CAO's at public doctoral-granting institutions were engaged in research in their discipline, almost half wrote for scholarly publications in their discipline and 28% regularly taught a course by themselves (Eckel et al., 2009). In a more recent survey conducted in December 2013, among 59 CAO's responding from public doctoral institutions, 54% said they remained engaged in their scholarly discipline and 19% had taught a course in their discipline in the last two years (Jaschik & Lederman, 2014).

The 2008 survey also asked CAOs to identify their best and most challenging working relationships. Most CAOs identified their relationship with the president as their best, with the majority having worked for only one president (Eckel et al., 2009). In terms of challenging relationships, CAOs at doctoral-granting institutions cited challenging relationships with the

faculty (26%), with other vice presidents (23%), with the chief financial officer (23%), with deans (14%), and with the president (14%) (Eckel et al., 2009). There are several frustrations that all the CAOs had in common: "not having enough money, difficulty cultivating leadership in others, and the belief that they were infinitely accessible" to others (Eckel et al., 2009, p. 40). In the 2008 study, CAOs did not report frustration with several areas that are commonly believed to be problematic for academic leadership, including shared governance, campus infighting or difficult faculty (Eckel et al., 2009).

One of the most important aspects of the CAO/provost role is to be able to foster collaboration across all constituencies. The CAO must be able to fulfill the expectations of his or her boss, the president, as well as the campus community and other external constituencies, making the CAO position one of the most difficult for search firms to fill (Ferren & Stanton, 2004). For CAOs who move up to the position from their own campus, relationships are already established with faculty, but it may be difficult to shift from these collegial relationships to a more collaborative kind of leadership focused on an institutional agenda, instead of advocacy for local issues (Ferren & Stanton, 2004). For those who take on the CAO role at a new institution, it may be easier to bring new ideas and perspective, but there is no pre-established trust with the faculty or other administrators, and the culture of the new institution must be learned (Ferren & Stanton, 2004). In examining the managerial roles of CAOs, Mech (1997) identified the importance of a leadership approach that motivates others, facilitates collaboration and builds consensus instead of a leader who uses more directive leadership to push people towards a goal or objective. The nature of the CAO role is one of indirect influence and the ability to "read and shape the environment" (Ferren & Stanton, 2004, p. 2).

Differing Expectations of Constituents

Different constituencies have different views of the role of the CAO/provost. In the 2008 survey, CAOs were asked to provide the priorities that they felt presidents and faculty members had for their roles (Eckel et al., 2009). In comparing the CAOs' own priorities with their assessment of presidential priorities for them and their assessment of the faculty's priorities, there is a fair amount of agreement on the first area, promoting academic quality, but less agreement in other areas. For the most part the CAOs' priorities and the president's priorities for the CAO are in alignment, but the faculty priorities for the CAO role are different. Several areas show conflicting expectations between CAO priorities and what they perceive as the faculty priorities, with the biggest difference in the category, "advocating on behalf of the faculty" which CAOs feel is the most important priority from the perspective of faculty members (Eckel et al., 2009). Other areas that are more important to CAOs and presidents, but much less important to faculty members are leading change and fostering innovation, ensuring student success and setting the academic vision of the institution (Eckel et al., 2009).

While having the political savvy to know how to work with and across the different constituent groups is essential, Ferren and Stanton (2004) cite lack of understanding the scale of the job, and lack of experience in the nonacademic aspects of campus affairs as problematic for new CAOs. Gaining an understanding of the business side of academe, including planning, data gathering and analysis is a significant part of the job (Ferren & Stanton, 2004). In addition, as the CAO role continues to evolve, there are many aspects of the role that require the CAO to foster organizational change in ways that mediate the interests of the business and the academic sides of an institution. Examples include advocating for partnerships between academic affairs and student affairs, building new alliances between government, private corporations, philanthropic

organizations and faculty committees, reorganizing portions of the academic program that can no longer be supported with current resources, and shaping a new consensus across multiple constituencies that may not understand or agree with the purposes of higher education institutions (Martin & Samels, 1997). The CAO/provost must understand academic issues and concerns as well as the business of running a university. He or she is responsible for engaging all the constituencies in collaborative, cooperative efforts across their differences in order to sustain the institution.

Future Challenges for CAO/Provosts

In the 2013 Inside Higher Ed Survey of College & University Chief Academic Officers, provosts of public colleges identified what they see as the greatest challenges for their institutions in the coming years (Jaschik & Lederman, 2013b). The challenges they anticipated included budget shortfalls, maintaining quality of academic programs, meeting the increasing demands of accreditors, meeting the rising demands for assessment from government and how to improve academic performance for underprepared students (Jaschik & Lederman, 2013b). Other issues in higher education, such as the growth in massive open online courses (MOOCs) or grade inflation and cheating, were not seen as important concerns for the CAO/provosts at this time (Jaschik & Lederman, 2013b). These challenges provide insight into the scope of the CAO/provost position and the need for individuals in these roles to have a strong command of academic issues, business administration and external relations.

The Role of the Dean

In a 1996 survey of deans,³ Montez, Wolverton and Gmelch (2002) administered the Dean's Task Inventory (DTI) (Sarros, Gmelch & Tanewski, 1998) resulting in 6 task dimensions that are shown in Table 2.2 in their order of importance to deans. The task dimensions for the first three, internal productivity, academic personnel management and external and political relations ranked the highest and deans generally agreed that these were their most important roles (Montez et al., 2002). The next three dimensions, leadership, resource management and personal scholarship were close to each other in importance and deans were in agreement on their relatively lower ranking as well (Montez et al., 2002). External and political relations accounted for the most variance in the factor analysis even though it ranked in the top three tasks leading Montez et al., to speculate that this area might reflect the greatest conflict and ambiguity for the deans. I would suggest that the variance could have been related to institutional type and size, with deans at larger institutions engaging in external and political relations more frequently than others. If this survey was conducted today, there might be more agreement across deans on the importance of external and political relations, as this aspect of the dean's role has continued to change and increase in importance during the last decade.

Table 2.2 compares the most important aspects of the CAO job as reported by CAOs (Eckel et al., 2009, p. 8) with the task dimensions rank ordered by their importance to deans from the 1996 survey of deans (Montez, et al, 2002; Wolverton & Gmelch, 2002).

³ 1,370 deans of colleges of education, business, liberal arts and nursing from 360 public and private Research, Master's (Comprehensive) and Baccalaureate universities were surveyed by the Center for Academic Leadership at Washington State University yielding a 60% response rate.

Table 2.2

Comparison of CAO and Deans Roles, Self-Ranked by Importance

Rank	CAOs - 2008 Survey	Deans - 1996 Survey
1	Promoting academic quality	Internal productivity
2	Setting academic vision of the institution	Academic personnel management
3	Leading change and fostering innovation	External & political relations
4	Ensuring student success	Leadership
5	Managing faculty hiring, retention, retirement	Resource management
6	Advocating on behalf of the faculty	Personal scholarship

Eckel, et al., 2009, p. 8

Wolverton & Gmelch, 2002, p. 43

In comparing the roles and responsibilities of CAOs in 2008 (Eckel et al., 2009) with those of deans from the 1996 survey (Montez et al., 2002; Wolverton & Gmelch, 2002) we see that the CAO role (this ranking includes all types of institutions) has more of an academic and student-oriented focus than does the dean role. The CAO role also has a more future-oriented and institution-wide focus, with the first three items being related to overall academic quality of the institution, setting academic vision and leading change and innovation. The dean's role as described by the findings of this 1996 survey is focused at the school or unit level and is concerned primarily with productivity of the unit and personnel management, with external relations, including fund raising, lower on the list. There is a distinct shift in the scope of the role and the nature of priorities between the dean role and the CAO role as shown in Table 2.2. For those deans who move directly to CAO positions, this would likely require a sizeable leap in knowledge and skills, as well as a shift in focus, indicating that preparation for this kind of transition would be important.

In order to better understand the roles of deans, further explanation of the six task dimensions identified in the 1996 survey is provided here. **Internal productivity** included maintaining a positive work climate, professional development for faculty and staff,

communicating goals and mission, committee work and maintaining teaching effectiveness (Montez et al., 2002; Wolverton & Gmelch, 2002). **Academic personnel management** included recruiting, selecting, evaluating and supervising faculty and department chairs (Montez et al., 2002; Wolverton & Gmelch, 2002). **External and political relations** consisted of relations with the external community and stakeholders, obtaining grants, contracts and donations, long range planning and budgeting, fostering diversity and representing the college to the administration (Montez et al., 2002; Wolverton & Gmelch, 2002). **Leadership** included communicating with college employees, gathering ideas for improvements, leading college leadership team meetings and representing the college at professional meetings (Montez et al., 2002; Wolverton & Gmelch, 2002). **Resource management** consisted of managing resources such as non-academic staff, grants, facilities and equipment, compliance with government and accrediting agencies and keeping current with technology (Montez et al., 2002; Wolverton & Gmelch, 2002). **Personal scholarship** referred to staying current in one's own academic discipline and maintaining one's scholarship and professional activities (Montez et al., 2002; Wolverton & Gmelch, 2002). These task dimensions combine many different types of activities together within each construct, which makes it difficult to identify underlying skills and behaviors that cut across and support the different constructs. The current study helps to clarify this by asking deans about experiences that helped to prepare them for their current position, and in particular how specific experiences helped to develop the knowledge, skills and behaviors necessary for the most important aspects of their jobs.

Effectiveness of Deans as Seen by Others

Whether or not a dean is effective depends upon whom you ask. This section will review studies on the effectiveness of deans based on the expectations of different constituencies,

including faculty, staff and senior administrators. The dean is caught in the middle between serving the needs of many constituencies with conflicting needs and expectations. Senior administrators expect the dean to represent the best interests of the institution, while faculty expect the dean to provide resources to them to enhance their personal development and the academic standards of the unit (Matczynski, Lasley & Haberman, 1989). The push and pull of these differing expectations shapes the dean's role. Skill in negotiating these conflicting interests determines the dean's effectiveness.

Evaluation by faculty and staff. Rosser, Johnsrud and Heck (2003) investigated the effectiveness of 22 academic deans and directors using a survey of 865 faculty and staff within one doctoral/research extensive institution. They tested a model of seven leadership variables, including vision and goal setting, management of the unit, interpersonal relationships, communication skills, research/professional/community/campus endeavors, quality of education and support for institutional diversity. Through multilevel structural modeling, they compared assessment of the dean at the unit level with the overall organizational assessment of deans and found that there was little difference (13%) in leadership effectiveness among the individual deans (Rosser et al., 2003). There was more similarity in the faculty and staff view of the deans' leadership in areas of research/professional endeavors, management of the unit, and interpersonal skills, and less similarity in the perceptions of the dean's vision and goal setting, communication, quality of education within the unit, and support for institutional diversity (Rosser et al., 2003, p. 11).

Faculty and staff rated female deans as more effective leaders than male deans in this study. Rosser (2001) examined this finding more closely and found that female deans (more than males) were perceived as enhancing the quality of education in the unit, engaging in research,

community and professional endeavors, promoting institutional diversity, and fairly and effectively managing personnel and financial resources. Under-represented minorities and women did not experience the behavior of deans and directors in any systematically different way in this institution, which had a fairly diverse group of deans and directors, as well as diversity among faculty and staff (Rosser et al., 2003).

In general, department chairs rated the leadership of deans more highly than did others, possibly because they worked more closely with the deans or received more direct rewards from deans (Rosser et al., 2003). The number of years a person had been dean did not make a difference in the ratings. The size of the unit and the level of external resources associated with the unit were significantly related to differences in perceptions of leadership effectiveness (Rosser et al., 2003, p. 16) with deans of larger units and with more external resources being rated more highly. Rosser et al. believed that this higher rating was because raising external funding is one of the most important roles of the dean.

Our study suggests that deans and directors need to be aware of the effectiveness of their interactions and transactions -- an effectiveness that comprises the ability to garner individual as well as group support, to conceptualize and pull ideas together, to provide a clear direction for the unit, to exemplify fairness and good judgment, and to possess the leadership savvy to perform the various functions, tasks and duties in a manner and style reflective of the organization's goals and mission. (Rosser et al., 2003, p. 20)

Rosser et al., (2003) proposed that deans need to understand how their constituents perceive them, and that universities should invest in formal training and accurate evaluation of academic leaders by constituents in order to enhance their effectiveness.

Expectations of faculty. Faculty members have expectations of academic deans in terms of appropriate versus inappropriate leadership behavior, which Bray (2008) categorized into three levels of proscriptive norms. Four norms fell into the "high crimes" or most inappropriate category, including inept evaluation and representation of faculty in the advancement process, failure to communicate, inappropriate use of funds, and failure to follow or enforce college rules and policies (Bray, 2008). Proscriptive norms that were considered "minor felonies" by faculty members included failure to acknowledge and work with faculty in shared governance, holding expectations that are not shared or explained, bending to different kinds of pressure and publically critiquing faculty or staff (Bray, 2008). In the "misdemeanor" category faculty listed items that fostered an inhospitable atmosphere, including devaluing non-academic staff, rejecting or not seeking faculty input, and "visionary incoherence" (Bray, 2008, p. 708). Bray found that these norms held consistently across all academic disciplines, and were more strongly held in liberal arts colleges than in research institutions, possibly because of the smaller size and more collegial culture in liberal arts colleges (Bray, 2008). These norms portray faculty members' expectations of a primarily collegial relationship with the dean, including communication, participation in the leadership process, being fairly and equitably treated and represented, and expectations of the dean as the fair enforcer of rules and standards.

An earlier study by Matczynski et al. (1989) supports Bray's (2008) study, finding that communication skills of deans were viewed as most important by faculty, including the dean's ability to be an "articulate spokesperson" for the unit, the ability to communicate effectively with different constituencies and be collaborative (p. 11). Faculty members also placed high value on the dean's ability to maintain high academic standards for the unit, including recruiting high quality faculty (Matczynski et al., 1989). In terms of resource management, faculty expected

deans to be able to effectively negotiate with senior administrators for resources, and also wanted deans to enable faculty development with support for attending conferences (Malczynski et al., 1989). Combining the findings of Malczynski et al., and Bray (2008), faculty expect the dean to be a good communicator, include faculty in the decision making process, be an advocate for faculty in fair and equitable career advancement, procure faculty resources and enhance the academic standards of the unit.

Expectations of senior administrators. In a separate survey-based study, Lasley and Haberman (1987) investigated the criteria that vice presidents or vice chancellors of academic affairs at state universities and land grant colleges used when evaluating deans of schools of education. They found that the most important area of evaluation of deans was on their ability to "attract, keep and reward high quality faculty," (Lasley & Haberman, 1987, p. 15) which the authors noted confirmed similar findings by Dejnoska (1978). The second most important criteria for these senior administrators in evaluating deans related to their ability to establish broad institutional norms, such as enhanced scholarship and research, and starting new programs (Lasley & Haberman, 1987). Relationship skills and the ability to work with a wide range of people, including faculty, other deans and community partners were also noted as important by the vice presidents and vice chancellors (Lasley & Haberman, 1987). In this study, conducted in 1986, external fund raising and the importance of representing the unit and the university to external constituencies was not one of the survey items, nor was it raised as an important criterion in evaluating deans by the senior administrators who responded. Today, especially within research universities, it is likely that senior administrators would find a dean's ability to raise external funds and engage effectively with external constituencies to be very important.

Future Challenges for Deans

Montez et al., (2002) asked deans to list the three greatest challenges that they expected to face in the next 3 to 5 years, and seven categories of challenge emerged. Seventy-five percent of the deans agreed on three areas: fiscal challenges including budget, finance and fund raising; administrative challenges, including accountability to the public and legislature, long range planning, reorganization, working with senior administration and community outreach; and curriculum and program development, including dealing with unprepared students and recruiting high quality students (Montez et al., 2002). Fourteen percent of the deans rated faculty issues as their number one challenge, including recruiting, retaining and dealing with difficult faculty, as well as change management (Montez et al., 2002). The last three areas of challenge were reported by less than 5% of the deans as their most important anticipated challenge, including technology issues, such as distance learning and technology upgrades; personal balance, meaning balancing personal and professional goals; and diversity issues, such as ensuring a diverse faculty or student body (Montez et al., 2002). While many of these challenges are perennial and part of the job duties of any dean, such as fiscal, administrative, curriculum or faculty issues, others are linked with changes in the larger context for higher education, such as diversity or technology challenges. In the time that has elapsed since this survey of deans was conducted, it is likely that the relative importance of some of these challenges will have shifted and new challenges may have appeared. It is important for anyone interested in becoming a dean to stay abreast of current issues in higher education, as well as develop knowledge and skills to address standard personnel, budget and curriculum-related issues.

The preceding sections have provided an understanding of different roles and tasks that comprise the job of academic deans. Different constituents have differing views about the role of

the dean and evaluate the dean's actions based on different expectations. The dean must navigate the multiple expectations of these different constituencies and perform a wide range of roles. The next section begins to consider which experiences might help to prepare deans to perform their roles. Only one study by Del Favero (2006) has specifically asked deans to rate different experiences as useful for preparation for their job. In addition to this research study, several authors of books about how to be a dean have provided recommendations on experiences that they deemed useful in preparation for a deanship. There is little empirical data to present on developmental experiences that prepare academics for the specific roles and tasks of the academic dean. This study helps to fill this gap in the literature by identifying career experiences that precede advancement to academic leadership roles and asking current academic leaders about which experiences were most beneficial in preparing them for their roles.

Preparing for the Role of Dean - Recommended Experiences

As the role of academic dean continues to evolve, few have studied how people learn to become academic deans. Del Favero (2006) conducted one such study, surveying deans from research and doctoral institutions about the types of experiences that contributed to learning their jobs, and also examined whether these experiences differed by academic field. Deans were asked to "rank order six approaches that enabled their learning of what the dean's job entailed" (Del Favero, 2006, p. 283). The approach that received the most number one rankings was "past administrative posts," followed by "relationships with faculty leaders" (Del Favero, 2006). "Past committee service" and "mentoring" tied for third overall, with committee service being relied upon more heavily as a preparatory experience by newer, less experienced deans (Del Favero, 2006). "Trial and error" was ranked first by 20% of the respondents and "leadership training"

ranked last with only 12% citing it as their top method of development for the academic dean position (Del Favero, 2006).

These findings indicate the importance of prior experiences in administrative positions or committee service, as well as role modeling and advisement from other leaders in helping academics learn about the role of the dean. Del Favero speculated that faculty might not be using leadership training as a means of preparation because it was not available or because faculty did not prefer this method (Del Favero, 2006, p. 285). More experienced deans cited relying on past relationships and leadership training more than less experienced deans, though the difference was not statistically significant (Del Favero, 2006). Del Favero proposed that perhaps deans had more opportunity to attend training after they were in the position (Del Favero, 2006, p. 286). The only statistically significant difference related to field of study was that deans in the hard-pure (e.g., chemistry, physics, math) and soft-pure (e.g., sociology, humanities) fields used "trial and error" as a form of learning the job more than did those in the applied fields (e.g., engineering, medicine, education, law) (Del Favero, 2006, p. 287). It is likely that those from the applied fields have had different kinds of entrepreneurial, consulting or practitioner experiences that may translate more directly to the role of dean. Del Favero's study did not go beyond ranking the importance of a small set of broadly defined experiences. For example, to explain how and why particular kinds of administrative posts helped to prepare deans, or how relationships with faculty leaders provided development. The current study sheds further light on why different individuals find certain experiences most beneficial for preparation for the role of academic dean, and more specifically, how these experiences enhanced learning for the role.

Bright and Richards (2001) suggest a number of different career experiences as being good preparation for a deanship. Serving as a department chair is a commonly understood

preparatory role to becoming dean, because being a chair provides experience in personnel issues, working with the budget, departmental planning, fund raising, grant-seeking and negotiating with faculty, students and staff (Bright & Richards, 2001). All of these activities are also part of the dean's role, but on a larger scale. Some administrative staff positions are also helpful in providing a broader view of the university and the opportunity to build relationships, such as assistant or associate dean positions in the college, in the provost's office or the graduate school (Bright & Richards, 2001; Buller, 2007). However, Bright and Richards also point out that staying in any of these administrative staff positions for more than a few years might be viewed negatively, as a sign of complacency. Another area that is useful for developing skills that will help in the dean's role, is serving in the faculty senate, participating in shared governance through committee work, and also participating in union activities if there is a faculty union (Bright & Richards, 2001; Buller, 2007). All of these provide insight into faculty governance, the wide range of faculty opinion, and how to work productively with difficult colleagues (Bright & Richards, 2001). Leadership training classes, service on accreditation review committees, or on committees in other colleges can provide a broader knowledge of issues that higher education is facing and an understanding of how other institutions handle common issues and challenges (Bright & Richards, 2001; Buller, 2007). The point is to learn about and practice at a lower level the kinds of experiences and skills included in the role of a dean. Gaining leadership experience at the department level, seeking a broader understanding about issues and the business of higher education, and practicing interpersonal communication skills with groups in a shared governance setting are likely to be good preparation for higher levels of academic leadership.

Findings from a 2004 study of 268 academic leaders in 16 land grant institutions echoed some of these recommendations for leader development of deans as also helpful for academic

leader development more generally (Bisbee, 2007). Participants felt that institutions needed to do more in identifying and training potential leaders. Only half of the academic leaders in the study felt well-prepared for their current position and some department chairs did not feel prepared at all. Participants recommended more exposure to leadership opportunities through special assignments and part-time leadership positions, mentoring for leadership skills, as well as in-house training (Bisbee, 2007). Participants described the institutional climate as not valuing leadership training and one-third felt leader development was not adequately funded. Bisbee (2007) concluded that, "there needs to be a shift in most higher education cultures to value and reward good leadership (p. 86)".

Advancement to the role of dean or CAO requires a fairly significant leap in scope from a narrower perspective, such as the departmental view of a faculty member or department chair, to a school or division-wide view at the dean level, or from the school-wide view of the dean, to the institution-wide view of the CAO. New, different and often conflicting expectations on the part of constituents come with each of these roles and the effectiveness of the new dean or CAO depends on their ability to balance between these differing expectations. Collaborative and conflict resolution skills are likely to be needed by each role, as well as new knowledge, skills and behaviors to meet increased fiscal, administrative and external responsibilities compared to prior roles. Staying abreast of current issues in higher education is also a necessity for both roles, as these influence the challenges that each role will face. In this study, I examined the career experiences that preceded advancement to academic leadership roles, in order to identify those experiences that helped to bridge these career leaps by developing the knowledge, skills and abilities necessary for the challenging and evolving academic leadership roles of the 21st century.

How Leaders Develop

This section provides background about how leaders develop and what motivates a person to continue to gain experience as a leader. Leadership development theories will be considered in connection with studies about the development of academic leaders in order to understand considerations unique to leadership development in higher education. These theories and studies provide a framework for considering how to foster the intentional development of academic leaders.

The term "leadership development" encompasses two separate concepts: leader development, which involves increasing human capital for the individual leader, and leadership development, which involves increasing social capital between people (Day, 2000). Included within the concept of leader development, is also management development (Day, 2000), which includes education and skill development for specific managerial tasks, such as financial planning, curriculum development, or personnel actions. Leader development focuses on the intrapersonal, including skills related to self-awareness, self-regulation and self-motivation (Day, 2000). Leadership development builds problem solving capacity for groups to address unknown and future problems in formal or informal organizational relationships, and draws upon interpersonal competencies related to social awareness, building trust, respect and collaboration (Day, 2000). Both human capital development and social capital development are necessary, as Day states, "the preferred approach is to link leader development with leadership development such that the development of leadership transcends but does not replace the development of individual leaders" (Day, 2000, p. 605). In the course of development, individuals typically progress from understanding leadership first from the individual leader's perspective, often beginning with a more transactional view of leadership, to perceiving leadership as a relational

process among people, which is similar to transformational leadership theory (Day et al, 2009; Kezar & Carducci, 2009; Komives et al., 2005; Lord & Hall, 2005).

The leadership development processes described in this section includes a number of experiences, attitudes and behaviors that may be more problematic in the context of higher education institutions than in the context of other types of businesses. The career trajectory to a leadership position in higher education is not necessarily organized and structured in a series of positions with increasing levels of responsibility, complexity or numbers of subordinates, as is often the case in corporations, business and industry. Career ladders of sequential leadership positions have not been identified beyond one or two positions in higher education (Eckel, et al, 2009; Montez et al., 2002; Moore, 1983; Twombly, 1988; Wolverson & Gmelch, 2002; Wolverson & Gonzales, 2000). Length of time spent in entry-level leadership positions such as department chair is also not long, with the average time identified in this position being 3.2 years for deans within research universities (Wolverson & Gmelch, 2002). This career context is important to consider in conjunction with the leadership development theories described in this section, which indicate that leadership development requires the opportunity for practice over long periods of time in leadership experiences of increasing complexity and in different contexts.

Establishing self-identity as a leader is also necessary for motivation to pursue leadership and to continue to develop as a leader, as will be discussed in the following section. In higher education, this also poses a problem, because academics are first invested in research and teaching in their academic discipline (Wolverson & Gmelch, 2002), which requires years of dedication and scholarship in order to attain tenure and recognition. It is typically only after tenure is achieved, and perhaps years after tenure is achieved, that academics begin to experience leadership roles such as department chair (Carroll, 1991). Given such a late start in formal

leadership roles, combined with primary allegiance to one's academic discipline, developing a strong self-identity as a leader may be problematic for academics. This weak identification with leadership is demonstrated by Bright and Richards' (2001) Faculty Citizen-Dean, who considers the deanship a tour of duty before retiring or returning to the faculty, and the Accidental Tourist-Dean, who stumbles into leadership without preparation and may return to the faculty if not successful.

Leadership development theories guided the present study by providing a framework for understanding and analyzing the development of academic leaders. In this study, I sought to identify the career experiences that provided the best opportunities for practicing leadership, enhancing self-identity as a leader, learning the knowledge and skills necessary for leader roles, and helping individuals grow from novice to more expert levels of leadership. I explored the career experiences that made up the career portfolios of academic leaders. Then through interviews with academic leaders, I considered how these experiences, as well as others, combined into a "web of development" (Day et al., 2009) that prepared academics for leadership roles.

Integrative Theory of Leader Development

Day, Harrison and Halpin (2009) developed an integrative theory of leader development that brought together theories from three perspectives: adult development, identity and self-regulation processes and expertise and expert performance. Day et al., described a layered view of leadership development with traits, motivational systems and values at the individual leader's core. Attitudes and beliefs about oneself are built upon these, with observable skills and leadership behaviors on the outermost, visible level (Day et al., 2009). Depending upon one's level of development, these skills and behaviors can range from simple to complex, and the

underlying reasoning and judgment processes also become more sophisticated and complex as the leader develops (Day et al., 2009).

Being an effective leader means drawing from a repertoire of skills and higher order competencies that can require nearly a lifetime of experience, intense practice, and learning to master. This lifelong perspective on leader development explains why continuous and ongoing leader development efforts are especially important. Competence is the backbone of leadership effectiveness and individual leader competence is a requisite condition for the enactment of effective leadership (Day et al., 2009, p. 172).

Day et al., (2009) proposed that leader development continues throughout the course of the adult life, influenced by normal adult development and maturation. They see it as a "web of development," in which leader development can occur through many different routes and experiences and is not linear, or unidirectional (Day et al., 2009, p. 37). In this view, different aspects of leader development interact and influence one another. Some aspects of leader development, such as developing moral reasoning, reflective judgment and wisdom, can be viewed as part of the development of mature leaders (Day et al., 2009).

Adult Development and Life Stages of Academic Leaders

Inman (2011) studied the life stage development of 18 academic leaders in the U.K. and compared their development to models identified by researchers in K-12 education (Day & Bakiglu, 1996; Gronn, 1999 and Ribbins, 2003). She found that in the Formation stage (Gronn, 1999; Ribbins, 2003), which included family, schooling and peer influences from infancy to adulthood, the higher education leaders had received a consistent message about the importance of education (Inman, 2011). The next stage, Accession, included the period prior to assuming a

leadership role and is a period in which motivation to achieve may be activated (Gronn, 1999). Inman did not find academics in the Accession stage explicitly preparing for leadership roles. Instead, she found that academics were motivated by a desire to learn and be challenged, and their career paths could best be attributed to serendipity and a desire to "make a difference" instead of purposefully working toward a leadership role (Inman, 2011, p. 236). Inman (2011) added three sub-phases within the Accession stage that align with her findings among higher education leaders. These include, "experiential" where new jobs and roles are tried, "developmental", in which expertise is developed and "consolidation" as more responsibility is taken on and experiences are consolidated (Inman, 2011). She suggested that during the Accession stage the leadership style and values of the future leader are developed (Inman, 2011).

In the third stage of Gronn's (1999) model, the Incumbency stage, leaders find congruence between their leadership role and their own needs. However, Inman (2011) did not find this to be the case for most academic leaders in her study, who "see the role as a hindrance to their first love, that of research" (p. 236). She found that many leaders who had spent a career within one institution took on leadership as a duty to serve the institution near the end of their careers (Inman, 2011). This finding is similar to the "Faculty Citizen-Dean" described by Bright and Richards (2001). She also noted that some leaders did not feel fully prepared, "with the transition from academic to the role of leader being felt as a period of initial disorientation and surprise" (Inman, 2011, p. 237), which was similar to Bright and Richards' "Accidental Tourist-Dean." During Incumbency, Day and Bakioglu (1996) and Ribbins (2003) identified sub-phases, including initiation, development and autonomy. In her revision of the model, Inman changed development to "informal development" because for the most part there was no formal induction or development for the higher education leaders in her study (Inman, 2011, p. 237, 239).

During the Divestiture stage of Gronn's (1999) leadership model, leaders left the institution. Inman (2011) found that leaders in her study wanted to pursue further research or study in their field of interest, so they did not necessarily leave the institution, but instead "reclaimed" previous interests or retired (Inman, 2011, p. 238). This aligns with the idea that academics' first love is the pursuit of their academic discipline.

For the purposes of the current study, the Accession stage, along with the initiation and informal development sub-stages of Incumbency, were explored through the study of positions held prior to the current leadership role and in interviews with academic deans and CAO/provosts. Evidence of purposeful preparation for leadership roles or a more serendipitous career path, as Inman (2011) found in her study in the U.K., were investigated. Inman recommended that institutions should "develop an environment where academics can be nurtured and exposed to a broad range of experiences from day one of employment" and also enable those not in formal leadership roles to have some type of leadership experience early in their careers (Inman, 2011, p. 239). In this way Inman (2011) suggested that institutions can build a culture of distributed leadership, where leadership is everyone's responsibility and formal leadership roles can be pursued by anyone who is interested.

While Inman (2011) explored the life stages of academic leaders, Wolverton and Gmelch (2002) outlined a series of stages focused specifically on the transition to a deanship. They described faculty members as being in a state of Engagement as scholars and researchers prior to becoming academic deans. Upon becoming a first-time dean, academics entered the first of three stages, Separation, in which they experienced mixed emotions, exacerbated by a lack of focused or formal development as dean (Wolverton & Gmelch, 2002). This first stage also included "disidentification" and "disenchantment" as new deans were socialized into administrative roles,

while disengaging from the faculty role and reducing their level of scholarship (Wolverton & Gmelch, 2002). Hall (1986, 1995) pointed out that the transition to a deanship was made more difficult because it occurs midcareer, when other subidentities have already become routinized and noncognitive. Hall, a professor who had written a body of work on career subidentity development, was unexpectedly asked to serve as an Acting Dean in a School of Management. He described his transition to this role as disorienting -- similar to going through life as a right-handed person who suddenly had to start using the left hand for everyday tasks (Hall, 1995). During the Separation stage, "new deans lose their identities as scholars and start to feel a sense of isolation from faculty and colleagues (Wolverton & Gmelch, 2002, p. 23)."

The next stage, Transition, is an in-between stage in which the person regroups and reflects, having struggled with separating from the faculty role (Wolverton & Gmelch, 2002). Transition is followed by Incorporation, in which the new dean learns and immerses himself or herself in the new role, and initiates and implements organizational changes (Wolverton & Gmelch, 2002). Wolverton and Gmelch note that these three stages are overlapping and not linear. At the end of the three transition stages a new dean emerges feeling competent, comfortable and committed, as part of a "new level of the professional plateau" (Wolverton & Gmelch, 2002, p.26). However, just as Inman (2011) found that most academic leaders in her study did not reach a state of congruence with their leadership role, Wolverton and Gmelch (2002) found that not all deans made this transition successfully. "Some have difficulty and may choose not to settle in. Either they haven't learned, or they don't like their new culture. Some academics reject their new administrative roles and wish to return to faculty status" (Wolverton & Gmelch, 2002, p. 26).

Motivations for Becoming Dean

Bright and Richards (2001) described three types of deans that relate to a new dean's reasons for pursuing a deanship and his or her expectations of the role. Inman's (2011) study on staged development of academic leaders found support for two of these types (Faculty Citizen-Dean and Accidental Tourist-Dean). The first type is the "**Faculty Citizen-Dean**," described as a faculty member who is taking a turn at being the dean, with the intention of returning to his or her own department (Bright & Richards, 2001). The rationale for this type of dean is fulfilling one's obligation to the institution and the faculty by doing the right thing as a model scholar and academic citizen (Bright & Richards, 2001, Inman, 2011). The Faculty Citizen-Dean is more typical of smaller liberal arts colleges and is an older and very traditional model of the deanship (Bright & Richards, 2001).

The second type described by Bright and Richards (2001) is the "**Corporate Dean**" which is more in alignment with senior administrator's and trustee's notions of the university as a well-managed business first, and an intellectual academy second. The Corporate Dean contrasts sharply with most faculty member's conception of the academy and requires a faculty member who assumes a deanship to shift his or her thinking to a more quantitative, problem-solving approach (Bright & Richards, 2001). According to Bright and Richards (2001), the Corporate Dean is now the norm for most research universities.

The third type, the "**Accidental Tourist-Dean**" is the most common (Bright & Richards, 2001). Here a faculty member seeks the role of dean as a logical next step in their career path, perhaps after having served as a department chair, but with "little or no systematic preparation" for the dean's role (Bright & Richards, 2001, p. 10; Inman, 2011). Unfortunately this can lead to a shocking transition from the kinds of activities that a faculty member enjoys, such as research,

teaching, mentoring students and service in professional organizations, to the time consuming administrative responsibilities of the dean (Bright & Richards, 2001).

Deans who assume their roles from each of these three perspectives, have very different expectations about what the deanship is and how similar or different it is from the faculty role (Bright & Richards, 2001). These differing expectations could lead to different kinds of preparation or lack of preparation for the role. The three types also have different implications for one's career path, whether more deanships or higher-level administrative posts lie ahead, or if a return to the faculty is the next step. Having the right fit between the institution's expectations of the dean (the expectations of senior administrators, trustees, faculty, staff and students) and the role expectations of the individual dean is very important (Bright & Richards, 2001). A mismatch in expectations may cause constituents to see the new dean as ineffective or a failure, and may frustrate the dean who finds him or herself in an unexpected and undesirable role.

Eddy (2005) inquired about the construction of leadership among community college presidents. Her study supported the "web of development" described by Day et al., (2009) where many different experiences over the course of a lifetime, contributed to leadership development. Using Weick's (1995) model for sensemaking, Eddy (2005) conducted a phenomenological study of 9 community college presidents and found that "college presidents are constantly learning and adjusting their conceptions of leadership" (Eddy, 2005, p. 721). Past experiences, and the interpretation of these, played a major role in forming the president's impressions about leadership (Eddy, 2005). Positions held outside of a single campus and opportunities to experience other campuses through consulting engagements served to broaden the perspectives of some of the presidents (Eddy, 2005). Mentoring was influential for some and was also noted as a deficiency in leadership development by others (Eddy, 2005). Some community college

presidents cited leadership development programs as contributing to their understanding of effective leadership, in particular internship opportunities and the exposure to wider networks (Eddy, 2005). Geographic moves to a different type of campus (rural, urban, suburban) enabled some of the presidents to experience different contexts, which helped them better understand situations from multiple perspectives. Overall, Eddy found that there was "no one way for leaders to learn about leadership, just as there is no one way of leading" (Eddy, 2005, p. 724). This study points to a number of experiences that helped prepare community college presidents for their leadership roles, including mentoring, internships, leadership development programs and opportunities for geographic mobility.

Professional Identity and Self-regulation Processes

In order to pursue leadership opportunities and persist in practicing leadership skills and behaviors, a person must identify as a leader. In the area of identity and self-regulation processes, Day, et al., (2009) proposed that leadership competence is formed in a spiraling process (also Day & Sin, 2011), where leader identity formation and experience reinforce one another in ways that strengthen or weaken ongoing leader development. Individual differences between leaders influence the speed and direction of change. A number of factors help to accelerate and reinforce leader development including self-regulatory strength, having a learning goal orientation as opposed to a performance goal orientation, general self-efficacy, self-awareness and forming strong intentions about practicing leadership (Day et al., 2009).

In one of the few studies to examine how leadership identity is developed, Komives, Owen, Longerbeam, Mainella & Osteen (2005) used grounded theory in a longitudinal study of college students to identify a 6-stage leadership identity development process. In their model, students' leadership identity was informed by interactions with others in groups, which changed

the students' self-awareness, self-confidence and interpersonal efficacy (Komives et al., 2005). This in turn changed the students' own view of self with others and over time broadened their view of leadership from that of an individual positional leader to leadership as a process among people (Komives et al., 2005; Lord & Hall, 2005). The stages of leadership identity proposed by Komives et al. include awareness, exploration/engagement, leader identified, leadership differentiated, generativity and integration/synthesis. These stages were iterative, with one growing out of the next and each cycling through further group influences. In the last two stages, the students reached out to help mentor and develop other students as leaders, and ultimately became actively engaged in "leadership as a daily process -- as part of self identity" (Komives, et al., 2005, p. 607). The process identified by Komives et al. took place in young adults while attending college. However, it is possible that a similar iterative process for leadership identity development could also occur at later stages in the career (Day et al., 2009; Lord & Hall, 2005). If so, interaction with and reaction from others in the workplace would be essential for developing a positive sense of self as a leader.

Social interaction plays an important role in the development of professional identity in general (Ibarra, 1999; Pratt, Rockmann & Kaufmann, 2006). Ibarra (1999) developed a conceptual model describing the process that people used to adapt to new professional roles. In her study, junior professions in technical roles made the transition to more client-focused senior positions in investment banking through iterative cycles of observation of role models, experimentation with provisional selves, and evaluation of the results based on internal standards and external feedback (Ibarra, 1999, p.782). These junior professionals played an active role in their professional identity development by focusing their role-modeling choices based on their

personal experience and the feedback they received (Ibarra, 1999). Ibarra's study supports the idea that professional identity is constructed through social interaction in the workplace.

In a study of medical residents, Pratt, Rockmann and Kaufmann (2006) found that professional identity was customized to fit the type of work being performed, as residents began to specialize in different areas. Social validation played a role in the identity customization process in two ways: 1) through work feedback from peers and senior physicians, and 2) through validation via role models (Pratt et al., 2006). During this professional identity customization process, two types of learning took place simultaneously, learning about the work itself and learning about one's professional identity. When residents experienced a discrepancy between their work-identity and their professional self-conceptualization, they "customized" their self-identity to fit the demands of the work they were now performing (Pratt et al., 2006). The medical residents achieved identity customization in three ways. Using "splinting" they relied more heavily on their prior student identity until they were able to construct a new professional identity (Pratt et al., 2006). Using "patching" they added on a new identity to fill gaps between the work they were performing and their original self-identity as a medical generalist (Pratt et al., 2006). Finally, when a new professional identity was constructed and internalized, identity construction was described as "enriching," meaning that the original professional self-concept was now part of the expanded new professional identity (Pratt et al., 2006). In this study, participant's sense of competency in their role coincided with the stabilization of their professional identities, indicating a link between identity and expertise.

Returning now to research on self-identity and leadership, Day and Sin (2011), found that over time the stronger someone self-identified as a leader, the higher the perception of their leadership effectiveness by others. This study used a longitudinal design that assessed leadership

effectiveness as rated by team peer advisors and self-ratings of leader identity. Going further, Day and Sin proposed a "spiraling effect" in which a person with a strong identity as a leader is motivated to seek greater opportunities to practice leadership, which in turn enhances leadership development, leading to increased perceptions of leadership effectiveness (Day & Sin, 2011, p.555).

Lord & Hall (2005) hypothesized that if others do not view one's leadership attempts in a positive way, then establishing a self-view as leader is more difficult. This can become circular in either a negative or positive way. Self-identity as a leader may also be more difficult to establish in higher education, where individuals' primary interest is in the academic discipline. Practicing leadership or "administrative" activities may be viewed as a departure from one's field and allegiance to the academic profession, which may be one reason that faculty members try to maintain their research and teaching while in administrative roles (Dill, 1984). In addition, core values among academics include academic freedom, collegial decision making and shared governance that separates academic from non-academic decisions (Dill, 1984). This value structure increases the distance between the role of administrator/leader and that of faculty member. Higher education institutional culture doesn't help, because it rewards and recognizes scholarship and research, not participation in leadership roles (Bisbee, 2007, Wolverton & Gmelch, 2002). With a divided loyalty to one's discipline versus leadership, and an institutional culture that favors scholarship, self-identity as a leader may be weaker in higher education than in other contexts, which may in turn cause potential leaders not to be motivated to seek more and varied leadership roles or engage in sufficient practice of leadership skills and behaviors to fully develop as leaders.

Expanding on self-identity as a leader, Chan and Drasgow (2001) proposed and tested the concept of “Motivation to Lead” (MTL). MTL is based on a combination of personality, leadership self-efficacy, values and the quantity and quality of past leadership experiences. MTL, combined with general cognitive ability, participation in leadership roles and training, social knowledge and skills for leading, and leadership style become part of one’s personal resources, which then leads to different outcomes in leadership performance (Chan & Drasgow, 2001). Chan and Drasgow described MTL as a dynamic construct that can be influenced by experience and social-learning processes, and suggested that leadership development experiences be designed to highlight individuals' self-efficacy and self-awareness of their leadership skills. Adapting this idea for leaders in higher education, experiences that provide feedback on leadership skills (Hannah, et al., 2008) or allow for introspection about one's leadership (Inman, 2011), such as mentoring, internships or training programs may help to enhance the motivation to lead among academics.

Expertise and Expert Performance

In the area of expertise and expert performance, Day et al., (2009) proposed that it is possible to differentiate between expert and novice leadership and that leadership expertise develops as identity changes, particularly during adulthood. Similar to the development of expertise in other domains, basic level skills combine to form "complex and multifaceted leadership competencies" (Day et al., 2009, p. 174), that require intentional practice in order to perfect. Lord and Hall (2005) provide a theory of leader development that illustrates development from novice, through intermediate, to expert, with different ways of accessing knowledge at each stage. This model also indicates the need to change from an individual to a

relational and a collective identity in terms of the context for enactment of leadership as one moves up in an organization's hierarchy (Lord & Hall, 2005).

At the novice level, there is dependence on memory for declarative knowledge of technical, task and generic decision making skills (Lord & Hall, 2005). These are applied and practiced in order to build procedural knowledge/skills (Day et al., 2009). At the novice level, identity is focused on developing one's own leadership identity and skills with generic behaviors applied uniformly (Lord & Hall, 2005). In the context of higher education, examples of novice task and technical skills are more managerial in nature and might include knowledge of academic personnel management, such as recruiting, evaluating and supervising, as well as knowledge and skills for resource management, including budgeting and curriculum planning. In Inman's (2011) model, movement from novice to intermediate expertise probably takes place within the experiential and informal developmental sub-stages of the Accession stage, which then leads to the consolidation of skills and experience.

With enough practice, declarative and procedural skills and knowledge eventually combine to form strategic competencies that no longer require as much conscious focus. This aligns with Lord and Hall's (2005) intermediate level in which there is more use of connectionist networks of knowledge and domain-specific kinds of leadership and problem-solving behavior. It is also at this intermediate level that the leader begins to focus on differentiating his or her relationship with followers, using empathy and understanding of others and more self-monitoring skill (Lord & Hall, 2005). These are the types of skills necessary for enhancing internal productivity (Wolverton & Gmelch, 2002) including maintaining a positive work climate, and communicating goals and mission. This is the beginning of a shift from a more transactional, managerial focus to one of leadership.

As experience and learning continues, even more complex adaptive competencies are developed enabling the leader to successfully navigate in changing and unpredictable situations. At the expert level, there is more meta-management, including self-monitoring and performance adjustment based on feedback (Lord & Hall, 2005). Problems and environments are seen differently than at the previous levels, with experts relying on underlying principles, rule-based symbolic processing or connectionist networks (Lord & Hall, 2005). At the expert level, leaders are operating from “deep structures” including principled knowledge, social expertise and better regulation of emotions (Lord & Hall, 2005, p. 602), which helps them enable development and change in others. It is at this expert level that leaders shift to a collaborative view of leadership as opposed to an individual leader-centric view (Komives et al., 2005). These are the kinds of skills and understanding necessary at more senior levels of academic leadership to lead change and foster innovation and set the academic vision of the institution (Eckel et al., 2009; Kezar & Carducci, 2009).

Developing cognitive complexity can also be considered in terms of developing from a novice to expert level. Cognitive complexity involves *differentiation*, the ability to comprehend multiple characteristics of something, and *integration*, the ability to make complex connections between the characteristics (Bartunek, Gordon & Weathersby, 1983). Cognitive complexity is also developmental in nature, with people in earlier stages of development thinking about things in simpler and more concrete terms (Bartunek et al., 1983). As people develop further, thinking becomes more complex and the ability to take other people's perspective and tolerate ambiguity and conflicting views increases (Bartunek et al., 1983). In addition to enhancing the ability to interact more effectively with others, cognitive complexity improves decision making. Streufert and Swezey (1986) explain that with both cognitive complexity and flexibility in decision

makers, a decision can be reached even under conditions of uncertainty, and if a decision has been made, it can be reopened and modified when needed.

Academic Leadership and Developing Cognitive Complexity

Several researchers have identified the developmental nature of cognitive complexity and its importance for leadership effectiveness in academic leaders (Bensimon, 1989; Birnbaum 1992; Neumann, 1989). Two studies, one by Bensimon (1989) and another by Neumann (1989), used interview data from 32 college and university presidents, collected as part of a 5-year longitudinal Institutional Leadership Project (ILP) conducted by the National Center for Postsecondary Governance and Finance (Birnbaum, Bensimon & Neumann, 1989). Bensimon (1989) considered presidents' "espoused theories" (Argyris & Schon, 1974) of leadership, identifying those who espoused bureaucratic, collegial, political or symbolic frames. She found that new presidents were more likely to have a single-frame orientation and those who had been presidents longer, or at multiple institutions, were more likely to have multi-frame views of leadership (Bensimon, 1989). She proposed that "cognitive complexity relates to experiential learning and the absence of multi-frame theories among new presidents relates to newness" (Bensimon, 1989, p. 120). Bensimon's finding supported the idea that increased cognitive complexity was developmental.

Neumann (1989) looked at presidents' use of linear, adaptive and interpretive strategies in leadership. Linear strategy was categorized as methodical, focused on planning and goal accomplishment, and resulting from rational decision making (Neumann, 1989). Leaders using adaptive strategy tried to align their organization with the environment and focused on external needs and forces (Neumann, 1989). Interpretive strategy was characterized as seeking to shape people's attitudes toward the organization through clarification, consultation and negotiation

(Neumann, 1989). Neumann considered the number of different types of strategies that presidents discussed as an indicator of complexity. Neumann (1989) found that those who had been in office became "more complex, more interpretive, and more adaptive" during their term in office (Neumann, 1989, p. 148). Neumann's study suggested that "presidents become more complex over time, enlarging their cognitive and behavioral repertoires and learning to orchestrate so that they may be more likely to apply the right strategy at the right time" (Neumann, 1989, p. 149). How presidents acquired these expanded cognitive and behavioral skills was not defined and was suggested as an area for future inquiry (Neumann, 1989).

Birnbaum (1992) linked cognitive complexity with leadership effectiveness in college presidents. He went beyond using president's own descriptions of their leadership theories and behaviors and looked at presidential leadership effectiveness as determined by trustee, faculty and administrative support. He then compared this external assessment of effectiveness to a number of factors. He found that the level of support was higher for presidents who were "cognitively complex and using multiple models to understand problems," as well as for those who were using an interpretive strategy, rather than a linear or an adaptive one (Birnbaum, 1992, p. 68). These three studies point to the importance of cognitive complexity and the use of multiple and interpretive strategies for effective leadership. Presidents who exhibited cognitively complex strategies in these studies are similar to the "expert level" described by Lord and Hall (2005), where deep structures of knowledge and social expertise are called upon, and problems and the environment are seen differently than at novice levels. Developing higher levels of cognitive complexity and expertise requires experience and ongoing practice (Bartunek et al., 1983; Day, et al., 2009; Lord & Hall, 2005), which may mean as many as 10 years of full-time

preparation and deliberate practice to move from a novice to expert level (Ericsson & Charness, 1994).

Mentoring provides one approach to enhancing development of cognitive complexity in aspiring leaders. McDade (2005) studied 6 mentor-protégé pairs involving community college presidents and investigated the strategies the mentors used to enhance cognitive leadership complexity. She based her study around Brookfield's (1989) strategies for facilitating critical thinking and found that the mentors used several processes to develop complex thinking in their protégés including, listening-reflecting, motivating to take greater risks, evaluating and giving feedback, providing access to new networks, modeling critical thinking, and making the learning process visible (McDade, 2005). Through the application of these strategies, "protégés saw varied leadership styles and their effects, learned and used multiple leadership lenses to analyze situations, and applied myriad frameworks for organizational diagnosis" and in this way developed the kind of complex thinking necessary for effective leadership (McDade, 2005, p. 776).

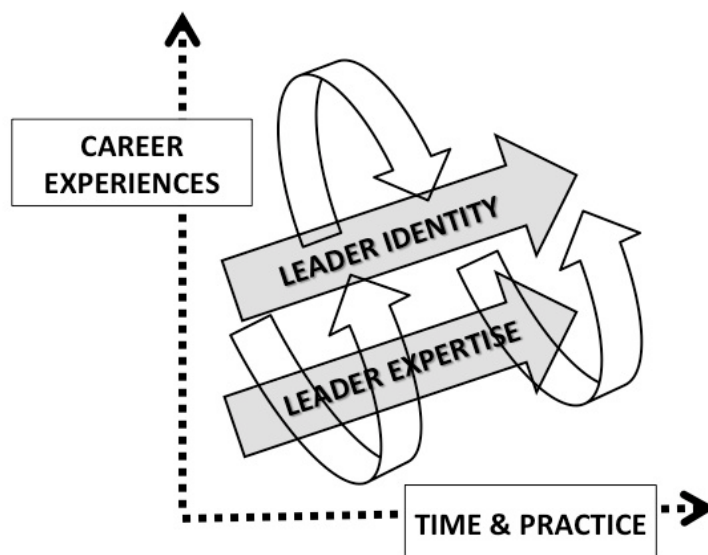
Mentoring and professional development were also studied in a survey of academic leaders in community colleges, which included presidents, chancellors, CAO/provosts and various directors (VanDerLinden, 2005). Fifty-two percent of the sample had a mentor who had helped them obtain their current position through a variety of methods including, providing encouragement and advice, providing exposure to professional growth opportunities, encouraging them to participate in professional development experiences, encouraging development of professional networks, helping with a problem or job politics and helping them to see the "bigger picture" (VanDerLinden, 2005, p. 737). VanDerLinden's (2005) findings match many of the types of experiences attributed to the mentors in McDade's (2005) study and

provide further support for mentoring as a leadership development activity that can enhance cognitive complexity and career mobility.

This section has described leader and leadership development occurring through stages of adult development, related to increases in leader identity and expertise. Day et al., (2009) described this process as a web of development (Figure 2.1) in which leader identity and leader expertise increase in relationship to one another and to the contribution of different career experiences and practice over time. As indicated by the dotted lines and the spiraling arrows in Figure 2.1, this development process should not be interpreted as occurring in a linear, sequential fashion. Instead it is highly individualized, with different components occurring at different points in time, and in different sequences for each person. Career experiences interact with additional individual elements to support increases in leader identity and leader expertise, which constitute leader development.

Figure 2.1

Web of Leader Development



Based on Day et al., (2009).

Self-identity as a leader is necessary to motivate the intentional practice that is required to reach higher levels of leader development, which in turn accelerates and reinforces both leader development and leadership development (Day et al, 2009; Day & Sin, 2011; Komives et al., 2005). Unfortunately, strong self-identity as a leader may be more difficult to attain for academics, whose first love is most often their research and teaching in their academic discipline (Dill, 1984; Inman, 2011; Wolverson & Gmelch, 2002). The institutional culture in higher education rewards faculty for research and scholarship, which signals that other activities, such as leadership are of lesser importance (Wolverson & Gmelch, 2002). In addition, because of the separation between the academic and administrator/leader values and culture (Dill, 1984), academics who become leaders need to split their identity between the two. Weaker self-identity as a leader may lead to a lower motivation to lead, fewer leader experiences and less intentional practice of leadership behaviors and skills (Chan & Drasgow, 2001), resulting in underprepared academic leaders.

Another point of concern for adequate leadership development among academics is the years of practice necessary to attain expert levels (Day et al, 2009; Ericsson & Charness, 1994; Lord & Hall, 2005). Academics may not be taking on leadership roles early enough in their careers, due to the demands of the tenure process and establishing themselves within their disciplines, in order to gain higher levels of expertise as leaders. The time spent in leadership roles, such as department chair, may also not be long enough to provide sufficient practice. Without enough practice, development of cognitively complex leadership approaches may be reduced. Perhaps this may explain why so many senior academic leaders are over the age of 61, because it may only be at the end of a long career that enough time has been devoted to develop leadership expertise.

Lord & Hall (2005) described experiences that allow for practicing leadership skills from novice to higher levels as beneficial for the development of leader expertise and expert performance. Given the lack of sequential career ladders for academic leaders, piecing together such sequences of progressively more complex or organizationally varied leadership roles may be more difficult for faculty members interested in attaining higher-level academic leadership roles. Academic leaders may have to make discontinuous leaps in organization size, scope, level of responsibility and role requirements if moving between positions such as department chair, dean and CAO/provost. Based on the leader development theories presented in this section, academics may face some obstacles for leader and leadership development due to the nature of work in higher education.

Summary- Leadership Development Theories and Research

Leadership development theories and research on academic leaders cited in this chapter identify a number of experiences that precede advancement to higher-level academic leadership positions, as well as kinds of experiences that are believed to help prepare academics for leadership. However, very few studies link specific experiences with developing the skills and behaviors needed to enact the various roles of an academic leader. As described in this chapter, some studies identified a few administrative roles that immediately precede advancement to high-level academic leadership positions (see Work History section in Table 2.3), but if and how participation in these roles serves to prepare leaders is not investigated. Several researchers and authors have identified extracurricular professional experiences, such as committee participation or interpersonal relationships, such as mentoring, which have been proposed as important for leadership development (Table 2.3 in Career Experiences). However, research has not tied these experiences directly to preparation for specific leader roles and tasks. Other studies enumerate

different roles and tasks that CAO/provosts or deans perform (Table 2.3 in Deans' Roles & Tasks). Still other studies examine leadership roles from the perspective of different constituencies, identifying which roles or behaviors they view as most important. Also, different approaches to leadership may be taken (Table 2.3 in Leadership Approaches). Some have been cited as more effective, such as using more cognitively complex and multiple strategies (Bensimon, 1989; Birnbaum, 1992; Neumann, 1989). Over the years, leadership theorists have described a number of approaches to leadership that can be roughly divided into more traditional (positivist) or revolutionary (socially constructed) paradigms (Kezar & Carducci, 2009) (see Table 2.3. in Leadership Approaches). These different approaches have not been empirically linked with their effectiveness for different types of academic leadership roles, such as being an academic dean or a CAO/provost in a research university. Overall, while there has been research on the characteristics of those serving as academic leaders and what their roles entail, very little research in higher education has considered how the career experiences of academics help to develop the knowledge, skills and expertise necessary to effectively enact leadership roles.

Table 2.3

Summary of Career Experiences, Roles & Tasks and Leadership Approaches

Career Experiences	Deans' Roles & Tasks	Leadership Approaches
<u>Work History</u> <i>Roles within academe:</i> • Department Chair • Assistant Dean, Associate Dean • Acting Dean • Director • Faculty Member <i>Administrative roles outside academe:</i> • Major research center • Government agency Career mobility: working in more than one institution <u>Individual productivity</u> • Publications <u>Extracurricular Professional Experiences</u> • Paid consulting • Member of board of directors of professional association (regional, state, national) • Editorship of journals • Member of national professional organization <i>Committee participation and leadership:</i> • Faculty senate • Shared governance committee • Faculty union committee • Accreditation review committee • Committee in another college <u>Education & Professional Development</u> • Leadership or professional development classes, workshops, programs <u>Relationships with others</u> • Mentoring • Professional networks <u>Trial and error</u>	<u>Internal Communication</u> • Faculty • Administration <u>Personnel Management</u> (academic and non-academic) • Hiring • Evaluation • Promotion • Termination • Faculty Development <u>External and Political Relations</u> (trustees, legislators, alumni, parents) • Fund raising <u>Budget and Resource Management</u> • Funds • Facilities • Technology <u>Academic Programs</u> • Review • Maintaining standards • Improvement <u>Strategic Planning</u> <u>Student Affairs</u> <u>Interpersonal Relations</u> (administrators, colleagues, department chairs, faculty, staff) • Negotiation • Conflict resolution <u>University/Committee Service</u> <u>Personal scholarship</u> (research, teaching, publication)	<u>Cognitive Complexity</u> Use of multiple strategies and frames vs. single strategy/frame <u>Social Constructivist Paradigm</u> <i>Revolutionary/Leadership</i> • Cultural and symbolic theories • Transformational leadership • Complexity & chaos theory • Collaborative leadership <u>Positivist Paradigm</u> <i>Traditional/Management</i> • Trait theories • Power and influence theories • Behavioral theories • Contingency theories • Transactional leadership • Authority relationships

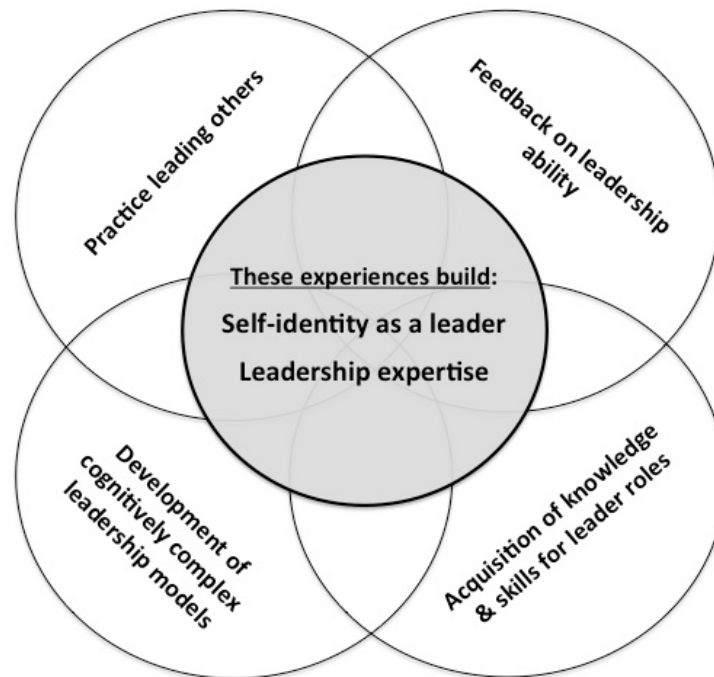
This study investigated the career experiences of academic deans (Table 2.3 column 1, Career Experiences) to identify key experiences and examine how those experiences contributed to preparing academics to enact their roles and tasks (Table 2.3, column 2, Deans' Roles & Tasks). To the degree possible, I also examined whether those experiences tended to foster the development of certain leadership approaches (Table 2.3, column 3, Leadership Approaches). My general approach was to first see whether there tends to be a common set of career experiences listed in leaders' curriculum vitae that precedes advancement to academic leadership. However, identification of a set of common experiences alone cannot explain if or how these experiences contributed to leader and leadership development for academics. Moreover, there may be other key experiences that are not typically listed on vitae and perceptions of experiences might vary depending on leadership role. So the study of the curriculum vitae formed a basis to further probe key experiences through interviews with deans and chief academic officers. Leader development theories presented in this chapter provided a framework to help identify key developmental experiences and provided meaning about their benefits for the leadership development of academics in this study.

Among the basic elements contributing to leader development as captured in Day et al.'s (2009) integrative theory are career experiences, practice over time, leader self-identity and leader expertise (Figure 2.1). In this integrative theory, experiences and practice, over the course of time, contribute to increased self-identity and expertise as a leader. Increasing leader self-identity and increasing leader expertise together constitute leader/leadership development. This study did not attempt to directly measure leader self-identity or leader expertise, but instead identified career experiences that supported the development of leader self-identity and/or leader expertise as described by academic leaders through interviews. Among the kinds of experiences

that contribute to leadership development overall, and in particular to developing self-identity as a leader, are those that enable practice in leading others (Chan & Drasgow, 2001; Day et al., 2009; Komives et al., 2005) and/or those that provide (positive) feedback on leadership ability (Chan & Drasgow, 2001; Day et al., 2009; Eddy, 2005; Hannah, et al., 2008; Komives et al., 2005; Lord & Hall, 2005). Other kinds of experiences that contribute to leadership development overall, and in particular to developing expertise as a leader, are those that enable acquisition of knowledge and skills required in leader roles (Day et al., 2009; Lord & Hall, 2005;), and/or those that enable development of cognitively complex leadership models (Bensimon, 1989; Birnbaum, 1992; Day et al., 2009; McDade, 2005; Neumann, 1989; VanDerLinden, 2005). Practice over time is also needed to increase expertise and develop cognitively complex leadership models (Ericsson & Charness, 1994; Lord & Hall, 2005). These four kinds of experiences and their relationship to developing leader self-identity and leader expertise are illustrated in (Figure 2.2). This framework guided consideration of the contribution of career experiences that academic deans and CAO/provosts described as beneficial to academic leader development. Based on the literature presented in this chapter, these kinds of experiences, as well as other factors, are essential to increase leader self-identity and leader expertise, which together constitute leader/leadership development.

Figure 2.2

Components of Career Experiences that Contribute to Leader/Leadership Development



Based on Day et al., (2009).

This chapter has provided background and context necessary to understand the roles, tasks and career patterns of academic leaders. This background informed the data gathering and analysis of interviews conducted as part of this study. Context was also provided to help understand the nature of higher education institutions and the type of leadership approaches that might be best suited to leadership and leadership development in this setting. As preparation for understanding which kinds of developmental experiences might most benefit future academic leaders, theories of leadership development and studies related to the development of academic leaders were also reviewed. In the next chapter, the methodology for the current study will be presented in detail.

CHAPTER 3: METHODOLOGY

Purpose and Research Questions

The purpose of this study was to deepen understanding of career experiences that prepare academics for leadership positions within research institutions and to identify those that would enhance the preparation of future academic leaders. Higher education institutions, as well as individual faculty members who are interested in pursuing academic leadership positions can benefit from understanding the current pathways and developmental experiences of academic leaders. Establishing foundational knowledge in this area is important in order to identify any gaps, weaknesses and opportunities to enhance current modes of academic leadership development. This study's findings can help institutions seeking to increase the pool of academics prepared, willing and ready to take on academic leadership roles at a time when current leaders are approaching retirement age in large numbers. Specifically, the findings facilitate the ability of institutions to promote, augment and widen avenues to academic leadership roles. This study examined the career patterns and experiences of a set of academic leaders within one public state research university system in order to answer the following research questions.

The primary research question that guided this study is:

1. Which career experiences best prepare academics for university leadership roles⁴ in the 21st century?

⁴ For the purpose of this study, academic leadership roles included formal leadership titles that within research institutions typically also require holding a tenured faculty position, including deans of academic units (academic dean), vice provost, vice chancellor, chief academic officer, provost, president or chancellor.

Three sub-questions helped to answer the primary question:

- a. Are there common career experiences listed in CVs, which typically precede advancement to academic leadership roles?
- b. Which career experiences do academic deans identify as having best prepared them for their current position?
- c. What do chief academic officers (CAO)/provosts point to as key experience/preparation that they look for when considering candidates for academic leadership?

Research Design

Most research on leadership and academic leadership has employed a primarily survey-based methodological approach. In reviewing 10 years of publications, Lowe and Gardner (2000) found that 64% of leadership studies used a survey-based approach. Of the research studies on academic leadership cited in Chapter 2, more than three-quarters relied on survey data. Survey-based research necessitates predetermination of a set of questions or items for data collection, which limits the information collected and does not enable different, unanticipated perspectives to emerge. As a result it does not encourage the emergence of multiple perspectives and meanings that would be expected in a socially constructed world. The context of higher education, as discussed in Chapters 1 and 2, is characterized by multiple constituencies with varied expectations and understandings of the role of leaders in higher education. Leaders themselves are likely to have their own understandings and perspectives on what their role is and how leadership ought to be enacted in higher education. This mixed methods study was designed to allow different perspectives on academic leadership development to emerge: those of academic deans themselves and those of CAO/provosts who oversee deans and who serve a

gatekeeping role in the advancement of academics to leadership roles in higher education institutions. In addition, to identify a more comprehensive portfolio of developmental professional experiences than has been captured by previous survey-based studies, this study utilized content analysis of curriculum vitae (CV) of academic leaders. This method of inquiry allowed for an unconstrained number of patterns of career experience to initially emerge from the CVs, which led to identification of patterns among extramural/professional service experiences not studied in previous research. Participation patterns from the content analysis of curriculum vitae was compared with themes from interviews with academic deans and CAO/provosts in order to find commonalities or unique examples and to provide added meaning and insight about the developmental experiences of academic leaders. These methods are primarily qualitative, although Bryman (2004) notes, that while "content analysis is undoubtedly a technique that is applied to qualitative data, it is not in itself a qualitative technique" (p. 747). Through content analysis, the qualitative data found on CVs was transformed into numerical data analyzed using, what Maxwell (2005) described as "quasi-statistical" methods (p. 113).

No other known study, based on my review of the literature, has utilized content analysis of the curriculum vitae of academic leaders, combined with interviews, in order to identify developmental career experiences that prepare academics for formal academic leadership roles. The setting for the study, a large state research university system, was chosen in order to have a broad selection of leaders in the sample (based on demographic characteristics and by academic discipline). Study of a large public research university enables application of results within many influential academic institutions across the U.S. My methodological approach for this study consisted of: 1) content analysis of the curriculum vitae (CV) of a subset of academic leaders (n=41) within the University of California system (from 3 Carnegie Classification RU/VH

institutions⁵), 2) interviews with academic deans (n=13) drawn from participants in the CV study and 3) interviews with CAO/provosts (n=4) from the University of California system. These three data sets were used to answer the research questions and were also compared to triangulate the data to assess its validity.

This research design primarily used a sequential explanatory strategy, (Creswell, 2009, p. 211) to identify, investigate and validate career experiences that enable the development of academic leaders. Sequential explanatory strategy involves collecting and analyzing quantitative data as a first step to inform the collection and analysis of qualitative data in a second step. The qualitative data in turn helps to add to and interpret the quantitative data. The first phase of this study was the content analysis of curriculum vitae of academic leaders, which was used to establish a baseline of understanding of the career experiences that precede advancement to academic leadership positions. This information informed the second phase of the study, identifying common and less common career patterns, and suggesting career activities to investigate in the interviews with academic leaders. These interviews helped to explain the patterns found in the CV data and provided more in-depth information about how these career experiences, as well as others, helped prepare leaders for their formal roles. Bryman (2004) refers to this combination of quantitative (content analysis) and qualitative (interview) data as providing "general patterns plus meaning" (p.760).

In addition, the three sets of data were compared "to determine if there is convergence, differences or some combination" which Creswell notes has also been described by other authors as "confirmation, disconfirmation, cross-validation or corroboration" (Creswell, 2009, p. 213).

⁵ Thirty-eight of the 41 CVs came from 3 institutions. The other three CVs came from different research institutions within the same university system, and represent CAO/provosts who participated in the interview study.

This triangulation of the data helped to compensate for weaknesses in one method of data collection with the strengths of another. For example, patterns of career experiences that precede advancement to leadership roles, found in the CV study, could not provide insight as to whether or not these experiences were helpful for leadership development. The interview data provided this kind of meaning and enabled a detailed understanding of how different career experiences enhanced preparation for leadership roles for individuals. On the other hand, the larger sample size and quantifiable nature of the CV data revealed general patterns of participation that were not discernable from the small number of participant interviews. The interviews provided detailed explanations about a small number of developmental career experiences, each highly individualized and unique. In addition the use of two different sets of interview participants, academic deans and CAO/provosts, strengthened the research design by providing separate perspectives on the role of the dean and developmental experiences of academic leaders, which supported the reliability and consistency of the findings (Merriam, 2009). Overall, this type of triangulation using mixed methods provided a way to see if the data were "mutually reinforcing" (Bryman, 2004, p. 759).

Phase 1 - Content Analysis of Curriculum Vitae

In order to gain a comprehensive perspective on the career experiences that precede advancement to academic leadership positions, this study utilized curriculum vitae (CV) of academic leaders from within the University of California system as a data source. A set of 38 CVs was collected between January and March 2012 as part of a research study on academic leaders (Drange, 2012) that was reviewed and approved by the Institutional Review Board at UCLA. The total population of all academic leaders who held academic titles of dean, vice provost, vice chancellor, chief academic officer, provost, president or chancellor within 3

institutions in the same university system were asked to participate in the study. Of the 53 academic leaders who were solicited for participation, 38 joined the study and submitted long-form curriculum vitae (CV) and responses to a short (11 item) survey, representing a 72 percent overall response rate. Three additional CVs from CAO/provosts who participated in the interview study, but who were not among the data collection for the earlier study, were added to this sample between November 2013 and January 2014. The final sample consisted of 25 deans, 6 vice provosts, 2 vice chancellors, 6 CAO/provosts and 2 presidents/chancellors, primarily from three research institutions within the University of California system.

Three campuses within the same university system were purposefully selected for the original study for several reasons. All three institutions were classified as RU/VH in the Carnegie Classification system, indicating that they were similar in having very high levels of research activity. The institutions each had student enrollment between 20,000 and 40,000 students and had between 7 and 14 different schools within each campus, including, arts, business, education, engineering, health sciences, law and sciences. This variety of schools enabled participation by a large number of deans representing many academic disciplines. Also, the position titles and organizational structure within one university system were more uniform than if a wider variety of independent institutions or other university systems were combined. This made analysis of the position titles on the CVs easier to categorize, to the extent that the participants held a majority of positions within the same system. All three institutions and the overall University of California system, have a strong culture of shared governance with an active Academic Senate. This Academic Senate system provided an opportunity for leadership experiences that may not be present to the same degree in other universities. Lastly, these three campuses were selected for their potential to provide a demographically diverse sample.

An academic's CV can be considered an historical document of work and educational background, representing a personal narrative in which the individual has identified items from the career that he or she believes to be important. The CV presents a chronological record of an academic's "scholarly lineage" which includes work products, service record and duration of positions held (Dietz et al., 2000). The CV is also used on an ongoing basis for application for positions, grants, and awards, so it is typically kept up-to-date and readily accessible. Through the use of CV data, this study analyzed a more detailed and comprehensive set of career data than is captured by most surveys of academic leaders, such as those conducted by the American Council on Education (ACE). Also, as a pre-existing document, the CV is not biased by the research questions of the study.

Using CV data, however, is also subject to a number of limitations, including difficulty in coding because of non-standard formats, the potential for truncation of data on the CV, missing information and too much information (Canibano & Bozeman, 2009). Coder fatigue and error is also possible due to the time consuming, tedious nature of coding CVs (Dietz et al., 2000). In order to capture information that is not typically listed on CVs, a short survey of demographic and family characteristics, as well as questions about mentoring and preparation for the current role were included as part of the original study (Appendix D).

Content Analysis and Coding

As part of the earlier study (Drange, 2012), CVs of 24 academic deans were coded and analyzed for experiences that preceded advancement to the current position. In this study, I coded an additional 17 CVs of academic leaders including deans of non-faculty units (i.e., undergraduate and graduate studies), vice provosts, vice chancellors, CAO/provosts and chancellors/presidents. Even though these individuals held a variety of academic leadership titles,

as academics their career experiences had similarities. Some held other titles, such as dean or vice chancellor at another point in their career. For these reasons the data were combined into one comprehensive, robust data set of academic leaders' career experiences. I analyzed the data for patterns of career experience in order to answer research question 1.a.: Are there common career experiences listed in CVs, which typically precede advancement to academic leadership roles?

I utilized the same methodology for coding the additional 17 CVs as I used for the coding of the academic dean CVs (Drange, 2012). Content analysis of the curriculum vitae was conducted using a procedure recommended by Insch, Moore and Murphy (1997) for content analysis in leadership research. Their 11-step, iterative procedure combines processes typically used for content analysis coding with processes used for developing traditional measurement scales, and synthesizes recommendations on content analysis from Weber (1990) and Krippendorff (1980). In this procedure, selection of the size of the unit of analysis and the specific categories to be coded are developed based on the research questions and the type of texts to be examined. Categories to be considered for this study were shown in the Career Experiences column in Table 2.3 in the previous chapter. These included career positions studied by other researchers of academic leadership (Moore, 1983; Wolverton & Gmelch, 2002; Wolverton & Gonzales, 2000) and experiences that could contribute to leadership development as identified in the literature, such as career mobility, development of professional networks (Lyness & Thompson, 2000; VanDerLinden, 2005), participation in faculty governance and committees (Bright & Richards, 2001; Buller, 2007). In addition, experiences commonly listed on CVs that are often used to evaluate academic productivity, such as publications, grants and awards were coded. Years were used as the unit of measurement for duration of positions held,

and the number of instances that an activity or item was mentioned was used as the unit of measure for all other categories, such as committee service, awards and publications. These categories are consistent with those that I used in the previous study of deans, summarized for that study in a Career Portfolio Model (Drange, 2012). The Career Portfolio Model is described here, with some slight modifications made to the names of the conceptual areas to better reflect the current study.

The Career Portfolio Model included four conceptual areas, all of which fall under the general concept of Professional Career Experiences: 1) Formal Jobs/Positions, 2) Education and Professional Development, 3) Scholarship and 4) Extramural/Professional Service. In the earlier study of academic deans (Drange, 2012), and in the current study, each category was examined and coded for experiences that occurred between the time of receipt of the terminal degree and the start of the current position. A description of what was included in the four conceptual areas is provided below.

Formal Positions/Jobs was examined for up to 10 positions held before the current position and after receipt of the terminal degree. Coding 10 positions was sufficient to capture the full work history from receipt of terminal degree to the current role for almost all of the participants. Visiting positions and positions held simultaneously were also included.

Education and Professional Development included the institution and year of terminal degree (doctorate, medical degree, law degree or master's degree), additional degrees held, and any professional development such as certificates, workshops and professional development provided on the job that was listed on the CV.

Scholarship included publications (journal articles and book chapters), books (single or multiple-authored and edited books), presentations (conference, keynote and other scholarly

presentations), contracts/grants, awards received (international, national, regional and elected membership in national academies and societies) and patents held.

Extramural/Professional Service included, membership in professional associations, service on committees (including task forces, advisory boards and panels at the international, national, or regional level, or at the university level as part of the Academic Senate or a chancellor-appointed committee), leadership of such committees, editorial service (editor or on editorial board for a journal) and service on review boards (for grants, scholarships and review of academic programs). Memberships on boards of directors (non-profit and corporate) and external consulting engagements were also included within Extramural/Professional Service.

In addition to the categories developed from content analysis of the CVs, two codes were derived from the short survey. Participants were asked whether they had received any mentoring, sponsorship, or both mentoring and sponsorship to prepare or position them for their current role. These responses were aggregated into two different codes, one indicating whether or not the respondent had received any assistance in the form of mentoring or sponsorship for their current role (ALLHELP) and the other capturing only if they had received mentoring for the current role (MENTOR).

After coding a portion of the additional 17 CVs, I made the determination that some of the items being coded occurred quite infrequently and that the use of aggregated categories for types of experiences would be the most useful for data analysis. At that point, all of the CVs were coded only for the aggregate number of experiences of similar kinds, which reduced the number of coded categories from 148 to 23. Appendix H describes the variables in use in this study. Then a pass through all 41 CVs using the updated coding was made to "purify" the coding scheme and examine the accuracy of the coding (Insch et al., 2007). During the

purification process, categories were evaluated for discriminant validity and one category was changed for better differentiation among them. All the coding was conducted by the researcher alone. As part of my overall effort to increase accuracy of coding (Weber, 1990), I developed a set of standards detailing types of items within each category (described in Appendix H) that I referred to in order to check myself during the final pass through the CVs.

Later, some additional codes were developed from the CV data to investigate themes from the interviews. One code was created to capture how quickly after receipt of the Ph.D. or other terminal degree the person first participated in a leadership role (Yrs2_1st). For this code, I re-examined CVs to identify the first role listed on the CV that indicted the likelihood of leading, supervising or managing other people and/or resources and calculated the years between terminal degree and this first leadership role. A code was also created to separate participants by the academic field of their terminal degree and/or the type of school they led, if an academic dean. Codes were also developed for the total years of formal leadership experience and the total years of formal leadership experience prior to the current role type. Overall, 28 variables were created from the CV and short survey data for use in this study (Appendix H).

Data Analysis

After the qualitative data from the CVs was turned into numerical data using content analysis methods, the numerical data was explored using basic statistical methods to find patterns among the job positions and professional experiences in order to answer research question 1.a., Are there common career experiences listed in CVs, which typically precede advancement to academic leadership roles? A data analysis software package, SPSS 22, was used for this study. Frequencies, means and standard deviations were examined for all categories. Cross-tabulations between groups (e.g., gender, minority status, academic discipline), as well as correlations

between different position types, experiences and characteristics were examined. More powerful statistical analyses were not appropriate, due to the small size of the sample, the very limited number of participants within each sub-category (e.g., gender, race/ethnicity, age or academic discipline) and the absence of normality in many data categories. In addition to basic quantitative analysis, general qualitative observations about career patterns were made. This involved visual pattern recognition using a color-coded job/position chart, and also review of the individual CVs to better understand unusual cases and small groups of cases, in conjunction with the interview data.

Each category was examined to determine if there was any pattern to the data, such as normality, grouping, linearity, outliers or large amounts of missing data. Variables with a large number of cases with missing data indicated that either the particular category was not applicable for many of the participants or that many of the participants did not include information about that particular type of experience on their CV. In either case, these differences were considered when selecting categories for analysis, comparing between categories or looking for patterns in the data. Extremely high levels of activity compared to other participants in a particular category (outliers) were identified and considered. Outliers were removed prior to correlation analyses, so as not to over-influence the analyses. Further examination of many of the outliers was conducted in the interview study. Patterns of missing data and outliers provided information about the possible completeness of the data, the value of the particular activity to the participant or the possibility that certain kinds of experiences were more applicable in some disciplines than in others.

In summary, data analysis of the curriculum vitae was a two-part process, first involving content analysis of the CVs which produced a set of coded categories quantified as numerical

data. These categories then became numerical variables, which were analyzed using basic statistical methods to reveal patterns of participation and relationships between variables. Due to the small sample size, more robust statistical methods were not applied to these data.

Phase 2 - Interviews with Deans and CAO/Provosts

For the interview portion of my study I used a social constructivism paradigm, reflecting my belief that the world does not have one shared objective reality, but is constructed from multiple viewpoints. As discussed in previous chapters, leaders within higher education institutions serve multiple constituencies who have varied and conflicting perspectives about the purposes and mission of the institution and the role of its leaders. How leaders develop is also quite varied, which Day et al., (2009) described as a web of development in which each leader's process of development was highly individual, non-linear and not necessarily sequential. In order to gain understanding and insight about these individualized webs of development, as well as multiple perspectives on academic leadership and how leaders develop, I used interviewing as a method. Interviews provide detailed and specific information about "the lived experience of other people and the meaning they make of that experience" (Seidman, 2006, p. 9). While the study of CVs revealed patterns of career experiences, interviews illuminated what those experiences meant to individuals, what they perceived they gained from specific career experiences, and how they believed different experiences helped or hindered their development as a leader. To a lesser degree, interviews also allowed for different understandings of and approaches to leadership to emerge. Given the highly individualized nature of leadership development, face-to-face semi-structured interviews with academic deans and with CAO/provosts provided a research method to gather detailed data to answer research questions 1.b. and 1.c.: Which career experiences do academic deans identify as having best prepared them

for their current position? What do chief academic officers (CAO)/provosts point to as key experience/preparation that they look for when considering candidates for academic leadership?

Sample

Academic deans were selected as one of the two groups for data gathering in this study, because the dean of an academic college is the role most frequently cited as preceding advancement to CAO/provost (Eckel et al., 2009). For this reason the role of dean could be considered a gateway to higher leadership positions. Academic deans also make up the largest group by position within the CV study, which provided the potential for soliciting a larger number for participation. A subset of the academic deans who participated in the CV study was purposefully selected using maximum variation sampling (Patton, 2002) based on their participation in the different kinds of career experiences identified in the literature as beneficial for development of academic leaders, as well as findings and information gathered as part of my earlier CV study (Drange, 2012). Patton (2002) described maximum variation sampling as a strategy to capture and describe a wide variety of examples in order to provide detailed descriptions and also to identify shared patterns that cut across and emerge from the heterogeneous cases (Patton, 2002, p. 235). Using the sample of CVs obtained as part of my earlier study, I selected participants whose career experiences illustrated a variety of formal positions/jobs, extramural/professional service, education and professional development experiences and scholarship, but who also represented patterns of career experience that were not completely different from the overall group. I did select a number of participants who represented outliers in terms of participation in different areas in order to investigate whether or not these extremes in participation had benefits for leader development. In addition, I selected participants who represented a range of demographic characteristics including age, gender, race

and ethnicity, as well as variety in the type and size of school they led. See Appendix F for additional information about the deans' demographic characteristics and school/division.

Twenty-five academic deans participated in the CV study, some of whom were no longer in their positions by the time of the interview study. I initially selected 12 deans for participation in the interview study, with second choice candidates in the event that the initial person declined participation. Of those originally selected, one declined, one could not be reached, and one initially declined, but then became available near the end of the interview process. This resulted in 13 interviews with academic deans.

CAO/provosts were also identified for participation in interviews because this position typically oversees academic deans and other leadership roles, and is also itself the most frequently held prior position on the pathway to a first-time presidency (Kim & Cook, 2013). One of the CAO/provosts who participated in the earlier CV study had left the position since the 2012 study. In order to interview several CAO/provosts it was necessary to select some who were not part of the original study, but who were within the same university system. These CAO/provosts were asked to submit their CV and the short survey as part of the interview process, so that the data could be included in the overall academic leadership database, and also to inform the interviews. CAO/provosts were purposefully selected based on having had at least 3 years of experience in their current position, which allowed for some experience in overseeing academic deans and other academic leaders. Gender and race/ethnicity diversity was also a factor for selection, however given the group of CAO/provosts in the university system, diversity was limited. Ultimately four CAO/provosts were solicited for participation in the interview study and all four agreed to participate. At the time of the interviews these participants had served in their current roles between 3.5 to 9.5 years and included three White males and one White female.

Data Collection

Face-to-face semi-structured interviews were conducted lasting 60 or 90 minutes each with both academic deans and CAO/provosts. All interviews were conducted in the academic leader's office. The time frame of 60-90 minutes per participant interview was selected due to the difficulty of accessing deans and CAO/provosts. Longer interviews, and/or a series of interviews, would have yielded more in-depth and potentially richer data (Seidman, 2006), but I believed that participants would not agree to an interview at all if the timeframe was longer, which would have resulted in a smaller number of interviews and less variety of data overall. As it turned out, two of the interviews had to be shorter due to schedule constraints. These two lasted 30 - 45 minutes. Each interview was digitally recorded and transcribed verbatim, with interview notes taken as a back-up in the event of technical problems.

Two interview protocols were used, one for interviews with academic deans (Appendix B) and another for interviews with CAO/provosts (Appendix C). These, along with the addition of the interview study, were reviewed and approved by the Institutional Review Board at UCLA, as an amendment to my earlier academic leader study. Open-ended questions covered key areas of interest and allowed for further inquiry depending upon the direction of the conversation with the participant (Merriam, 2009). Specific questions in the interview protocol for deans were developed to probe the components of career experiences believed to contribute to leader/leadership development shown in Figure 2.2. Prior to each interview, I reviewed the participant's CV to recall the overall career pattern and made note of job or professional service experiences that were of particular interest for the interview. In addition, each participant was provided the interview questions prior to the interview, to allow them time to reflect and consider the answers if they chose to do so. I hoped that this would enable more thoughtful answers to

questions about career experiences that for some occurred many years ago. The interviews with deans were designed to answer the research question 1. b.: Which career experiences do academic deans identify as having best prepared them for their current position?

During the interviews, I used a diagram as a visual aid to illustrate the Dean's Roles and Tasks derived from the literature and summarized in Table 2.3. This diagram assisted in conversation about which roles/tasks the participant believed were most important for being an effective dean and how their experiences helped to prepare them for these roles/tasks. The diagram, which I modified slightly after the first two interviews, is shown in Appendix E. Lastly, one additional question intended to get at the issue of identity as a leader was added to the interviews as soon as it became clear to me that this was an issue impacting leader development. This question was, "At what point in your career did you first think you might want to become a dean/senior academic leader? Why did you decide to become a dean/senior academic leader?"

As a way to enhance internal validity and credibility of the data gathering process, participants were offered the option of reviewing the transcript and a short summary of key points that I derived from the interview. Of the 17 interviewees, nine asked to see their transcript and summary. Only two of the nine provided any minor corrections or additions to my short summary or their remarks. A second method that I used during the interviews to increase internal validity of the data was active listening. This process consisted of me summarizing key points made by the interviewee prior to moving ahead to the next main question, to ensure that my interpretation coincided with the intended meaning of the speaker. Through the use of these two methods, I believe the interview data had strong internal validity and credibility.

The focus of the interviews with CAO/provosts was in two parts, with the primary focus being on their considerations when selecting deans and other academic leaders and which career

experiences they believe contributed to preparedness for leadership in higher education. This information was collected from CAO/provosts because they serve a gatekeeping function in selecting and evaluating academics for leadership roles. In addition, they were likely to have a broader perspective on leadership within higher education and may have served in leadership roles longer than many deans in the study. The second focus of the interviews with CAO/provosts was designed to gain insight about their conceptualization of leadership. This portion of the interview asked about how their approach to leadership may have changed over time and what kinds of career experiences had led to the development of their leadership approach. The combination of these two paths of inquiry with CAO/provosts provided another perspective on career experiences that helped academics develop as leaders. The interviews with CAO/provosts were designed to answer research question 1. c.: What do chief academic officers (CAO)/provosts point to as key experience/preparation that they look for when considering candidates for academic leadership?

Data Analysis

A set of initial codes was developed for the interview study prior to hand-coding the four CAO/provost interviews. These initial codes included 11 derived from the CV study and seven codes from leader development theory: own scholarship, academic senate, chairing, running a lab, PI/grant, teaching, outside leadership, committee member, board experience, consulting, leadership courses, practice, knowledge, mentoring/formal, role modeling, approach/style, trial and error, and feedback. After hand-coding the CAO/provost interviews, I entered the codes into HyperRESEARCH 3.5.2. and re-coded all of the CAO/provost transcripts using this program, followed by separately coding the deans' transcripts as a second group.

Coding of themes in the interviews was an inductive and iterative process. As I reviewed the transcripts, I identified codes for topics that were suggested by the literature and which were shown in Table 2.3 under "Career Experiences" and "Leadership Approaches," as well as codes for experiences or approaches that were unusual or surprising (Creswell, 2009). I also identified and coded any patterns related to the integrated theory of leadership development (Day et al., 2009), including the web of leader development model (Figure 2.1) and the components of career experiences that contribute to leader/leadership development (Figure 2.2), which were described in Chapter 2. Specific descriptions and quotes useful for inclusion in the findings were also coded. After the first cycle of coding all 17 interviews, there were 515 coded segments, including key quotes and interview questions.

In a second cycle of coding, I considered the data in different ways using several methods. Primarily I used Axial Coding (Saldana, 2013, p. 218) to re-group data into higher-level categories, that illustrated components, examples, aspects or a range of something. This is illustrated in the final group codes shown in Appendix I. Through Axial Coding I considered many different organization schemes for the data, for example organizing by developmental benefits provided by a particular career experience, such as serving as department chair, or by experiences that contributed to development for particular area of the Dean's Roles and Tasks, such as budget/resource management. However, these ways of looking at the data did not help to organize much of it, because only a few things could connect in these ways. I also used Pattern Codes (Saldana, 2013, p. 210) to identify emergent themes and theoretical constructs, looking for consequential words that indicated explanations for things such as developing self-identity as a leader or reasons for selection for leadership. I also used Versus Coding (Saldana, 2013, p. 268) to group codes related to the trade-off between scholarship vs. leadership. At the end of second

cycle coding, 17 overarching group codes emerged. These 17 group codes along with definitions and sub-codes are shown in Appendix I.

In addition to coding and recoding the transcripts, I also developed case summaries from each academic leader's interview, which focused on four main questions: 1) What were the main roles and tasks needed to perform your current role? 2) How did you learn what you needed for your leadership role (knowledge, skills, leadership approaches, etc.)? 3) What part did relationships play in learning/developing? 4) What motivated you to be a leader? In addition, each case summary also captured the career path of formal job positions found on the CV. Through compiling these case summaries, I reconstructed the data and was able to consider the process of leader development experienced by each participant in the interview study. Putting the data back into individual life story context, after having pulled it apart to examine it in the component form, allowed the overarching patterns to emerge.

Triangulation

The last phase of the research study pulled together the findings from the analyses of the CV data, the interviews with deans and the interviews with CAO/provosts to provide an overall understanding of the data. In this last stage of data analysis I constructed a model to show how academic leaders develop in research universities. This provided a way to organize the data of both the CV study and the interview study, and also to answer the overarching research question. In order to develop this model, I considered the components understood through research and theory to contribute to leader development, and compared the framework provided by leader development theory to the leader development process that emerged from my research findings. Ultimately this resulted in the in the Model of the Academic Leader Development Process shown in Chapter 5.

Findings from the analyses of the three parts of the study were compared to look for overlapping and similar themes, as well as differences. Gaps identified across the different sets of data, as compared to leader development research and theory were also considered and included in a revised model. During this last phase of data analysis, cross-checking of data was performed, for example, when something was mentioned as serving as important development in the interviews, but had not been among the most common experiences found in the CV study, I went back to the CVs to take a closer look at it. Also, when findings from the interviews suggested the importance of a phenomenon, such as starting earlier in a leadership role, I went back to the CV study and developed a new variable to examine this further. By triangulating the findings from the three different data sets, new areas to investigate emerged, and a more complete and comprehensive understanding of leader development among academics in research universities was revealed. This triangulation of the data also provided substantiation for the credibility and reliability of the data and the findings, because multiple data sources were considered instead of only a single source (Creswell, 2009).

Reliability and Validity

In a qualitative study, the concept of reliability has to do with whether or not the findings are consistent with the data collected (Merriam, 2009, p. 221) and the concept of external validity has to do with whether others believe that the findings are transferable to their particular circumstances (Merriam, 2009). This mixed methods study relied primarily on qualitative data. I used several methods, including member checking, peer review, maximum variation, quasi-statistics and triangulation to help ensure the consistency, reliability and validity of the findings (Maxwell, 2005; Merriam, 2009). Member checking of the interview transcripts and short summaries helped to ensure that my interpretation of meaning was similar to what the

participants intended. In addition, I used active listening techniques during the interviews to check my understanding. Another graduate student peer reviewed two interview transcripts using my coding scheme. This coding was largely consistent with my coding of the data, with no new or different themes revealed. In terms of the selection of deans for participation in the interviews, I selected people who represented different demographic characteristics and who had a wide variety of different experiences preceding their selection as deans to enable maximum variation in the sample. In this way a broader range of people can relate to and benefit from the findings. The coding of experiences from CVs enabled the use of "quasi-statistics" (Maxwell, 2005, p. 113), which captured trends and quantities of participation that reinforced and supported findings from the interviews. Lastly, the use of triangulation was the most important aspect of the research design contributing to the reliability and validity of this study. The comparison of three data sources: curriculum vitae of academic leaders, interviews with academic deans, and interviews with CAO/provosts enabled cross-validation of findings between different kinds of data from different participants, and also provided for a deeper understanding of the phenomena under investigation.

Limitations

There were also a number of limitations in this study, first being that all the data and participants are drawn from one state research university system and from institutions classified as RU/VH, which may make the findings less generalizable for other types of institutions and potentially unique to this university system. In particular, the type of shared governance model employed within the University of California relies on a strong Academic Senate model, which may be dissimilar to other institutions. Second, the use of CVs as a data source has inherent limitations due to the lack of standardization and the wide variety of information that individual

academics chose to include or not include in the CV (Canibano & Bozeman, 2009). Third, any study that asks participants to recollect past experiences and attribute meaning to them will suffer from the changing nature of human memory and assigning meaning after the fact. What participants recollected as good preparation for their current leadership role, may or may not have occurred or helped in the way that they currently recalled it. Further, study participants varied in their degree of introspection and self-reflection about their development as leaders and the use of a single interview, even with providing the questions ahead of time, did not allow enough time for all participants to reflect deeply about their own leader development. In addition, the social interaction of interviewing is a two-way meaning-making activity, in which each party may understand the exchange differently (Klenke, 2008, p. 121), so despite all my attempts to increase reliability of the data, there may still be misinterpretation on the part of the researcher. Also, this study only includes those who attained senior academic leadership positions as academic dean, vice provost, vice chancellor, CAO/provost and president/chancellor. It cannot tell us about those who participated in lower-level leadership positions and then did not seek or attain senior-level academic leadership positions. Lastly, the small size of the sample limited findings to what this small group experienced, and may or may not reflect the full scope of career-related experiences that contribute to the development of academic leaders.

Position of the Researcher

In a qualitative study, the subjectivity or position of the researcher informs and influences the research, which is referred to as researcher "bias" (Maxwell, 2005, p. 108). In order to help the reader understand the perspective that I bring to this research I provide here a description of my previous and current work. As mentioned in Chapter 1, my position in conducting this study includes more than 20 years of experience as a practitioner in leadership development and

employee communications in the corporate and academic sectors. I have also held leadership positions within the corporate sector and have participated in leadership development programs myself. I am currently a director responsible for faculty diversity and faculty development within the university system under study. In my current position, I have met and worked with some of the study participants. Due to the potential for investigator bias or conflict of interest, I purposefully did not select anyone for interview with whom I am in a reporting relationship or in the same organizational structure. In terms of positionality regarding the subject of leadership development, based on my background and life experience with leadership and leadership development, I take a pragmatic view of the role and influence of academic leaders. I am predisposed to believe that formal leaders have some effect on organizations and that individuals can become better leaders through learning and experience.

Summary of Methodology

This study used a two-phase research design to answer one overarching research question, with three sub-questions, with the aim of deepening understanding of the career experiences that help to prepare academics for positions of academic leadership. In the first phase of the study, the CVs of academic leaders were analyzed in order to identify common career patterns that precede advancement to academic leadership positions. The second phase of the study utilized interviews with academic deans and CAO/provosts to explore their perceptions of career experiences that help to develop academics for leadership roles and how these experiences help. Themes and patterns derived from the three data sets collected in the two phases were compared and examined for similarity, differences, and gaps in the pictures they painted about how academic leaders developed in research universities. Finally, I considered the findings together, and from them developed a model of academic leader development that captured current

practices, and also recommended a revised model to better develop future academic leaders in research universities.

CHAPTER 4: FINDINGS

Understanding Leader Development Among Academics in Research Universities

This study sought to answer the overarching research question, "Which career experiences best prepare academics for university leadership roles in the 21st century?" I have interpreted the term "career experiences" broadly, and include in it formal professional jobs and professional service experiences, as well as influential career relationships that were associated with these experiences. Three sets of data were analyzed to answer the main research question and three research sub-questions. Curriculum vitae of 41 academic leaders in research universities within the University of California were analyzed to answer sub-question 1.a., "Are there common career experiences listed in CVs, which typically precede advancement to academic leadership roles?" Findings from the study of the CVs identified the most commonly held professional job and professional service experiences, as well as different patterns of participation in these experiences. Interviews with 13 academic deans selected from the CV study were analyzed to answer sub-question 1.b., "Which career experiences do academic deans identify as having best prepared them for their current position?" Interviews with four CAO/provosts within the University of California system were analyzed to answer sub-question 1.c., "What do chief academic officers (CAO)/provosts point to as key experience/preparation that they look for when considering candidates for academic leadership?" The answers to these sub-questions are provided throughout this chapter and the findings from these three data sets are interwoven in each of the sections that follow.

The first section on Professional Career Experiences identifies the most common career experiences found on academic leaders' CVs, including formal administrative jobs, scholarship,

extramural/professional service, and professional development activities and explains how these experiences contribute to leader development as described by deans and CAO/provosts in the study. The section on Influential Career Relationships goes beyond the professional job and service experiences captured on CVs and describes and analyzes career-related interpersonal relationships that study participants identified as contributing to and influencing their development as academic leaders. The last section, The Effect of Professional Identity on Leader Development, discusses study participants' expansion of self-identity to include, or not include, self-identity as a leader. This last section presents a number of cases describing academic deans' and CAO/provosts' career experiences, and considers whether academics came to embrace an identity as a leader, as well as an identity as a scholar, during the course of the career and how this impacted preparation for leader roles and participation in positions of academic leadership. Each section will present evidence and examples drawn from CV data and interviews with academic leaders. Pseudonyms will be used for the 13 deans in the interview study⁶ and the label "CAO/provost A, B, C or D" will be used to represent the four CAO/provosts who were interviewed. This chapter explains and analyzes professional career experiences and influential career relationships that helped faculty members develop for academic leadership positions, as well as how these experiences and relationships interacted to motivate or demotivate them to pursue leader roles and expand their professional self-identities to include that of a leader. Taken together, these sections answer the overarching research question posed in this study, "Which career experiences best prepare academics for university leadership roles in the 21st century?"

⁶ See Appendix F for additional background information about the deans.

Professional Career Experiences: Benefits for Leader Development

This section on professional career experiences includes findings from CV data identifying the kinds of experiences shared in common by academic leaders, the length of time spent in different professional career experiences, and patterns among these experiences. It also incorporates findings from interviews with deans and CAO/provosts on the administrative leadership positions held by study participants and their importance for developing knowledge and skills needed for higher-level leadership roles. When considering how professional career experiences contribute to leader development, there are a number of ways to assess "best" preparation for leadership roles. In this section, several dimensions of these activities will be considered including the quantity, quality, and density of the experiences (Day, Harrison & Halpin, 2009; Tesluk & Jacobs, 1998). Quantity relates to the amount of time spent doing something, and was derived primarily from CV data, but also from interviews. The level of quality was identified by study participants as they described which activities were most useful for preparation and development for academic leadership roles. Quality was also considered in terms of the match between a particular activity and the roles and tasks described as important by academic deans. Density is the "developmental punch" associated with a particular activity (Quinones, Ford & Teachout, 1995, p.905). Density can be thought of as the interaction between quantity and quality, so that higher quality activities with longer lengths of participation or practice have the highest density. Another way to consider density is in the developmental benefits offered by a particular experience, such that those with an unusually high number, or variety of developmental experiences packed into them are of higher density. Higher density activities are expected to contribute the most to leader development and expertise according to research and theories (Day, Harrison & Halpin, 2009; Ericsson & Charness, 1994; Lord & Hall,

2005; Tesluk & Jacobs, 1998). The quantity, quality and density of professional career experiences are considered in answering the research question, "Which career experiences best prepare academics for university leadership roles in the 21st century?"

The Professional Career Experiences section includes findings on formal administrative positions/jobs, scholarship, extramural/professional service, and participation in professional development activities. The academic deans in the interview study were selected to represent a wide variety of career patterns and experiences in order to provide information about as many different kinds of potentially helpful developmental experiences as possible. From this sample, along with the interviews of CAO/provosts, the formal positions identified as most helpful for development included the roles of department chair, center director, and serving as interim or acting dean. Findings related to participation in scholarship and research, and indicators of these commonly found on CVs, such as publications and awards are considered in this section. Professional service activities that were described as most useful for development including leading or serving on campus or university system-wide committees and task forces, leading campus initiatives, serving as an officer in a national or international professional society and serving as Chair of the Academic Senate are discussed. Lastly, participation in education, training and professional development activities related to administrative leadership is also considered here, including participation in American Council on Education (ACE) Fellowships. This section provides descriptive examples of the kinds of leader development provided by different professional career experiences, as well as quantitative data about levels of participation in these activities identified by curriculum vitae.

Participation in Formal Administrative Leadership Positions

Of all the professional career experiences that contribute to leader development of academics, the most important developmental experiences come from participation in formal administrative leadership positions. Formal administrative leadership roles provide direct experience working with faculty and staff members, and interacting with the administrative operations of the university. In the sections that follow, participation in formal administrative leadership positions that preceded advancement to senior leadership positions are quantified, and those that were the most commonly held are identified. The leader development benefits provided by these positions will be explored, ultimately highlighting those that provided the best preparation for senior leadership positions.

Formal Administrative Leadership Positions with Highest Participation Rates

This section quantifies participation in different formal administrative leadership positions and helps to partially answer research sub-question 1.a., "Are there common career experiences listed in CV's which typically precede advancement to academic leadership roles?" Looking across the 41 CVs in the study, academic leaders participated in many of the same types of administrative leadership jobs at some point in the career. The positions shared by the largest number of participants during the course of the career were academic dean (n=25) and department chair (n= 25), followed by director (n=23), acting dean (n=12) and associate dean (n=12). See Table 4.1 for a breakdown of participation in different job types.

The two most commonly held lower-level positions preceding advancement to academic dean or vice provost/vice chancellor roles were department chair and director. These positions were held by a majority of the participants across all gender and race/ethnicity categories (Table 4.1). Women participated in these two roles in the highest percentages, with 69% having served

as a department chair and 62% having served as a director. Three other roles with the potential to provide leader development stand out in terms of women's careers compared to men, that of associate dean (46%), Academic Senate chair (39%) and acting director (31%). Higher percentages of minority participants had held the potentially preparatory positions of vice chair (43%) and assistant director (43%) than had other groups.

Table 4.1

Academic Leaders' Work History

Position Held	% Total n=41	% Men n=28	% Women n=13	% White n=34	% Minority n=7	Total N
Academic Dean	61.0	67.9	46.2	55.9	85.7	25
Department Chair	61.0	57.1	69.2	61.8	57.1	25
Director	56.1	53.6	61.5	55.9	57.1	23
Acting Dean**	29.3	39.3	7.7	32.4	14.3	12
Associate Dean	29.3	21.4	46.2	26.5	42.9	12
Vice Provost	24.4	14.3	46.2	29.4	0.0	10
EVC/Provost	19.5	25.0	7.7	20.6	14.3	8
Acting Director	19.5	14.3	30.8	20.6	14.3	8
Academic Senate Chair*	17.1	7.1	38.5	20.6	0.0	7
Vice Chair	17.1	25.0	0.0	11.8	42.9	7
Assistant Director	14.6	17.9	7.7	8.8	42.9	6
Vice Chancellor	12.2	14.3	7.7	11.8	14.3	5
VP-Industry	9.8	10.7	7.7	8.8	14.3	4
Chancellor	4.9	7.1	0.0	2.9	14.3	2

* This role is described under Extramural/Professional Service, but is listed here because the level of commitment is similar to a full-time paid position.

** Two acting deans became deans by the time of the interview study.

In addition to the roles shown in Table 4.1, five participants (12%) listed administrative leadership roles outside of higher education institutions at government agencies, foundations or laboratories and a few study participants listed other types of "acting" leadership roles. This section has provided background information about patterns of participation in formal administrative leadership roles. It has also provided a partial answer to research sub-question 1.a.,

"Are there common career experiences listed on CVs, which typically precede advancement to academic leadership roles?" This section identified the department chair position and the position of director of a center or institute as the two most commonly held administrative positions preceding advancement to higher positions such as academic dean or vice provost/vice chancellor. Later, participation in scholarship, extramural/professional service, and professional development activities will be examined, in order to identify the most common types of experiences shared among academic leaders in these areas, as well.

Patterns in Overall Years of Leadership Experience

In addition to information about the most commonly held administrative leadership positions, the curriculum vitae also provided data about the amount of participation, or years of experience, in these positions. In examining career patterns of academic leaders in this study, years of leadership experience prior to the current senior academic leadership position varied widely. This is of particular interest in terms of preparation for leadership roles, because in leader development theory, more experience is associated with increased expertise (Day, Harrison & Halpin, 2009; Lord & Hall, 2005). More leader experience also influences development of self-identity as a leader (Komives, Owen, Longerbeam & Mainella, 2005), which also relates to interest in pursuing leadership roles and practicing leadership (Chan & Drasgow, 2001). In this section, years of leader experience among the 41 academic leaders in the CV study will be investigated further.

Years of administrative leadership preceding the current academic leadership role, and experience overall, were examined for presidents/chancellors, CAO/provosts, vice chancellors/vice provosts and academic deans participating in the CV study. Leadership expertise increases with time spent practicing in leadership roles (Lord & Hall, 2005) and

generally attaining expert levels of performance can take up to 10 years (Ericsson & Charness, 1994). In this study, the average number of years of total administrative leadership job experience varied widely with a range between 1.5 years and 36.0 years and a mean of 20.3 years. The average number of years of experience prior to the current role type⁷ ranged between 1 and 32 years with a mean of 14.0 years. Using nonparametric tests for independent samples, no statistically significant differences were found between men and women, White and minority participants or among different incumbent position types (CAO/provost, vice chancellor/vice provost or academic dean) regarding the number of total years of administrative leadership experience or the total number of years of experience before the current position type. Table 4.2 provides more detail on the prior administrative leadership job experience by position type.

Table 4.2

Years of Administrative Leadership Job Experience Prior to Current Role Type²

Position	Mean	Min	Max	Std. Dev.	N
President/Chancellor	27.8	27.5	28.0	.35	2
CAO/Provost	14.5	8.0	20.0	4.28	6
V.Chanc./V.Provost	10.3	1.0	17.0	5.41	8
Academic Dean	14.0	3.0	32.0	7.35	25

While differences between positions may not have risen to statistical significance due to the small sample size, the vice chancellor/vice provost position was identified as having the least number of average years of prior administrative leadership job experience, with a mean of 10.3 years. Considering the very wide ranges of years of experience overall and prior to the current role, shown in Table 4.2, it can be said that some participants had much more on-the-job

⁷ Years of administrative leadership experience were counted up to the start of the first instance of the current role type. For example, for a person who had been an academic dean more than once, the years of experience were counted before the first time the person held a deanship.

administrative leadership experience before they began their current position type than did others. For example there was a difference of 29 years between the least years of prior administrative leadership experience (3) versus the most years of prior administrative leadership experience (32) among the academic deans, with a standard deviation of 7.35 years. Among the vice chancellors/vice provosts the difference in years of administrative leadership experience prior to the current role type was 16 years, with a standard deviation of 5.41 years. Based on Lord and Hall's (2005) theory on the development of leader expertise, this would indicate that leaders in the study were also likely to have varied widely in their levels of expertise when they began their current role type.

The Importance of Starting Early for Accumulating Leader Experience

Given these wide variations among individuals in prior years of administrative leadership experience, what points to those who acquired more versus less experience? Based on information from the interviews with deans and CAO/provosts, gaining early administrative leadership experience seemed to lead some to participate in a longer series of leadership roles, either by seeking them out or by being "drafted" into them. To investigate this further, a variable (Yrs2_1st) was created to measure when a participant had their first experience with administrative leadership, as could be discerned from the content of the CV. This variable captured the number of years between receipt of the Ph.D. or other terminal degree to the first position listed on the CV that was likely to include administrative leadership responsibility such as heading a clinic, center or program or serving as Vice Chair of the Academic Senate. The timing of participants' first such experience ranged from 0 (meaning it was simultaneous or even before receipt of terminal degree) to 27 years after the degree. The average length of time from degree to first administrative leadership experience was 11 years. This variable negatively

correlated with total years in roles of administrative leadership (-.542, sig. 2-tailed, .000) and the total years in roles of administrative leadership before assuming the current position type (-.451, sig. 2-tailed, .003). This, as you might expect, indicates that those who did not enter their first administrative leadership role until later in their career had fewer years of accumulated experience in administrative leadership jobs prior to assuming their current role type and also overall. The more important point here is that for those currently in roles of senior administrative leadership, the ones who had started on a leadership path earlier in the career tended to continue practicing leadership, taking on administrative leadership roles, often in a series of roles of increasing responsibility. These became the senior leaders with the most experience. Others did not take on an administrative leadership role until much later in the career, resulting in less overall career experience in administrative leadership positions.

The first pattern, early administrative leadership experience followed by more administrative leadership roles in fairly continuous succession, was found more often among the presidents/chancellors, CAO/provosts and academic deans in the study. The second pattern, taking on the first leadership role later in the career, was demonstrated by more of the vice chancellors/vice provosts in the study. Table 4.3 provides data about the career patterns found among different position types.

Table 4.3

Career Patterns by Current Position Type

Position	Average Years Terminal Degree to First Admin/Leader Experience	Average Years Admin/Leader Jobs Prior to Current Role	Average Age	N
Chancellor	9.0	27.8	62.0	2
CAO/Provost	11.8	14.5	62.7	6
VC/VP	16.6	10.3	62.7	8
Academic Dean	9.2	14.0	61.3	25
Total	11.1	14.0	61.8	41

A comparison of the average years from terminal degree to first administrative leadership experience of vice chancellors/vice provosts and academic deans was statistically significant at the .022 level⁸, indicating that there is a difference between these two groups on this measure. One reason for this difference may be that the vice provost/vice chancellor positions in the study were functional roles (academic personnel, diversity, research, undergraduate or graduate division) that did not oversee a group of faculty members. The CAO/provosts interviewed did not consider it a necessary prerequisite to have served as a department chair for these vice provost/vice chancellor roles, which may play a part in the different career patterns shown in Table 4.3.

When considering the issue of whether or not starting early in an administrative leadership role contributes to accumulation of more total leadership experience over the course of a career, this study misses those who held a lower-level leadership position and then did not continue to senior academic leadership positions. There may be a group of academics who took an early administrative leadership role and decided it was either not something they enjoyed or

⁸ Independent samples - Mann-Whitney U Test. Exact significance displayed.

felt they were good at, or perhaps others did not view them as effective administrative leaders, so they did not continue to senior academic leadership roles. We cannot identify such a group given this study's sample. However, among those in the CV study, there were few senior leaders who had an early leadership position, followed by many years of no leadership positions, with a return to leadership late in the career. The importance of this finding is that if we believe that more years of leadership experience equates with more expertise and more effective leaders (Day et al., 2009; Lord & Hall, 2005), then having an early start in an administrative leadership position, for those who later become senior administrators, will likely result in the accumulation of more years of administrative leadership experience, which benefits both the institution and the individual leader. If we want to develop better academic leaders, it is important to find ways to give academics an early experience in an administrative leadership position.

CAO/Provosts' Perspective: Scholarship and Administrative Experience as Prerequisites

In order to answer research question 1.c., "What do chief academic officers (CAO)/provosts point to as key experience/preparation that they look for when considering candidates for academic leadership?" four CAO/provosts were asked what they looked for when selecting academic deans, as well as other senior administrative leadership roles. In answering this question, the CAO/provosts focused primarily on factors they considered when selecting deans from among candidates internal to the institution. Three of the four interviewed emphasized the importance of high academic achievement in candidates for academic dean positions, and then pointed to the need for some administrative leadership experience, as well. None of the CAO/provosts quantified how much administrative leadership experience would be sufficient, but all four cited experience as a department chair as the most important development

for serving as an academic dean. On the other hand, the CAO/provosts interviewed found it easier to articulate what constituted high academic achievement.

CAO/provost A

First and foremost, since this is going to be an academic leader, we are looking for somebody that's had success in their career in reaching a fairly high level of distinction as a scholar. Somebody that is above Professor 6⁹.., and has been recognized with national or international awards, or book awards in the book arts, and is well respected in their area and in their field as a whole.

The main reason given for requiring high academic achievement for the dean position was that the faculty would respect a dean who was a very accomplished scholar.

CAO/provost C

They've got to provide some degree of intellectual leadership to their school or division or college and if they can't provide that they will have a hard time justifying the budgetary choices that they make and the regulatory choices that they make.

High scholarship was seen as adding weight to a dean's decisions and someone with a very high level of academic accomplishment was expected to better understand how to improve weak departments and maintain strong ones.

Evidence of the level of scholarship required of academic leaders was provided through analysis of 41 curriculum vitae (CV) as part of this study. On average, prior to taking on their current administrative leadership role, members of this group had published 101 articles or 6

⁹ The University of California has a series of ranks and steps. Professor Step 6 is considered one of the highest ranks and steps.

books and listed 75 academic presentations. Leaders in the study had been recognized with 7 major awards, on average, during the course of their careers (Table 4.6). At the top end of each range, one person had published 576 articles, one had received 36 major awards, one had made 260 academic presentations, and one had published 20 books.

In addition to high scholarship, the CAO/provosts did look for some demonstrated administrative experience. The department chair role was considered the preferred prerequisite for any academic dean. Other roles, such as a center or institute director were also considered as providing similar experience in managing a staff, and interacting with a large group of faculty.

Only one of the four CAO/provosts emphasized management and administrative experience over the need for very high scholarship, believing that high scholarship was not necessarily an indicator of the ability to manage.

CAO/provost D

I think you've got to be a decent scholar. But I think sometimes in hiring committees they get overwhelmed, it is kind of like star-struck by the caliber of the academic research ... that's nice, can you manage a budget? It was a wonderful essay, it was a wonderful study, it is a great piece of literature, but can they (laughing) manage a budget? Can they tell faculty members if you are not using the lab you don't get to keep it? Those are tough things and scholarship often is not something that is needed right then.

In addition to high scholarship and experience as a department chair, experience leading a campus-wide or university system-wide project was also seen as helpful. Also, experience in a leadership role in the Academic Senate, or at least a strong understanding of how the Academic Senate and the administration work together was seen as important for success as a dean. In

addition, one CAO/provost described looking for evidence of a candidate's academic "entrepreneurialism", when considering dean candidates for professional schools who were external to the institution. While these additional types of experience were seen as valuable, they did not rise to the level of importance for selection as having proven administrative experience in the department chair role and high academic achievement.

The CAO/provosts also identified a number of skills that were important for success as dean, including being well organized, having good interpersonal skills and the ability to think broadly beyond the department-level. They also pointed to a number of approaches to leadership that they found useful themselves, including taking a problem solving approach to things, being a decision maker when needed, and working with others to build consensus and guide the decision making or planning processes for larger initiatives. In terms of their own personal attributes that they saw as useful for academic leaders more generally, the CAO/provosts identified the importance of having a thick skin -- not taking people's words and actions personally, but instead understanding that they were aimed at the title or position. They also emphasized the importance of being a good listener, being fair and truthful, having a sense of humor and also having self-awareness, confidence and self-esteem. Lastly, the CAO/provosts expressed that an academic leader should be interested in the welfare of others, for example, wanting the school to succeed or wanting the faculty to do well, and not in their own personal gain or aggrandizement.

CAO/provost C

These positions, whether department chair or dean or above, have to be a 'no jerk zone'. [It] can really do damage to the institution if someone is in those jobs that just likes to act out or likes to do power trips or what have you. So there is an

informal selection process that goes on within departments I think, as people are looking out for potential -- well-organized folk, with interpersonal skills.

Both deans and CAO/provosts in the study expressed the idea that academics in leadership positions ought to put the welfare of others before self-interest.

Differences in prerequisites for vice provost and vice chancellor positions. The prerequisites needed for academic dean positions were not the same as for some of the other academic leadership positions. Some of the CAO/provosts made a distinction between the kinds of prerequisites needed for the academic dean position, which oversees faculty, versus functional leadership roles like vice provost or vice chancellor of academic personnel or the vice provost/dean of the undergraduate or graduate division. Experience as a department chair was not seen as a necessary prerequisite for these functional roles, because overseeing faculty members or managing a complex budget was not involved. These functional positions were seen as more of a strategic planning or problem-solving role. Here experience related to the specific function was more important, for example experience on the Council for Academic Personnel (CAP) in the case of the vice provost (or vice chancellor) for academic personnel. This is an important factor to be considered when looking at the differences in career patterns between incumbents in academic dean positions versus incumbents in vice provost/vice chancellor positions, which was discussed in the section on Patterns in Overall Years of Experience. This may help to explain variations in years of prior leadership experience. The difference in the type of prerequisite experience needed for vice provost and vice chancellor positions may also set up a difference in future leadership career paths for academics who serve in these roles, as those who lack department chair experience may be less likely to be considered in the future for

academic deanships or for higher positions such as CAO/provost which oversees deans and faculty units.

This section answered research sub-question 1.c., "What do chief academic officers (CAO)/provosts point to as key experience/preparation that they look for when considering candidates for academic leadership?" CAO/provosts pointed first to the importance of high scholarship and an established academic reputation on the national or international level as a very important prerequisite for being considered for an academic dean position, as well as for other academic leadership positions. They also cited having had prior administrative leadership experience as a necessary prerequisite, pointing to the role of department chair as the most likely and most important preparation for a deanship. Beyond these two factors, high scholarship and some prior administrative experience, CAO/provosts also described experience working with the Academic Senate and campus-wide committees as additional useful preparation for the role of dean. The emphasis placed on high academic achievement, as a prerequisite for senior academic leadership positions in research universities, sets up some conflicts for individual academics who participate in leadership positions. The time conflict between accumulating high academic achievement and administrative leadership experience, as well as the conflict between holding professional identity as a scholar and identity as a leader will be further explored later in this chapter and also in Chapter 5. Next, formal administrative leadership positions will be evaluated for their benefits for leader development from the perspective of deans participating in this study.

Formal Administrative Leadership Positions that Provide the Best Preparation: The Deans' Perspective

This section provides findings about the developmental benefits of the three formal administrative leadership positions that academic deans in the study identified as having best

prepared them for their current positions (sub-question 1.b.). These included the positions of department chair, director of a center or institute, and acting or interim dean. In order to fully appreciate how aspects of these positions prepared academics for the role of dean, it is helpful to establish what the role of academic dean entails today, as this study found it to be somewhat different than previous research (Wolverton & Gmelch, 2002).

Understanding the Role of Dean in Today's Research University

Wolverton and Gmelch (2002) outlined the roles and tasks of the academic dean based on 1996 data from deans representing research, comprehensive and baccalaureate institutions (Table 2.2). Interviews with deans and CAO/provosts in research universities in this study found agreement with the general categories of roles and tasks found in earlier literature, however, the rank order of importance of these was somewhat different than earlier research. The biggest change in priority between the 1996 survey of deans and the current study was in the ranking given to budget and resource management. This was seen as the most important of the roles by both deans and CAO/provosts in the current study, while it was listed as the fifth highest priority by deans in the 1996 study (Wolverton & Gmelch, 2002). Table 4.4 groups dean's roles and tasks into high, medium and low priority as discussed by interview participants and compares these to results from a 1996 survey of deans that was discussed in Chapter 2 (Wolverton & Gmelch, 2002).

Table 4.4

Current Importance of Dean's Roles and Tasks

Importance	Deans' Ranking- 1996 Survey*	Academic Deans' Perception 2013-14	CAO/Provosts' Perception 2013-14
High	• Internal Productivity (1) • Academic personnel management (2) • External & Political Relations (3)	• Budget & Resource Management • External/Political Relations & Fund Raising • Strategic Planning • Personnel Management (hiring, promotion)	• Budget & Resource Management • Interpersonal Relations & Conflict Management • Internal Communications (within school)
Medium		• Internal Communications (within school) • Interpersonal Relations & Conflict Management	• Personnel Management (hiring, promotion) • External/Political Relations & Fund Raising • Strategic Planning
Low	• Leadership (4) • Resource management (5) • Personal Scholarship (6)	• Academic Programs • Student Affairs • Personal Scholarship • University Service	• Student Affairs • Personal Scholarship • University Service

*Wolverton & Gmelch, 2002, p. 43

Two differences to note between the priorities identified by CAO/provosts and those identified by deans in the current study are the level of importance of external/political relations and fund raising, and strategic planning. External/political relations and fund raising was listed as a higher priority by deans (who also noted this as an area they were less prepared for), and was identified as more of a medium priority for deans by the CAO/provosts interviewed. This may have to do with the pressure that the deans felt to ensure that their schools had sufficient budget and resources following a period of financial crisis within the University of California¹⁰.

¹⁰ University of California budget crisis is described in Keller, J. (2010).

This same pattern was shown regarding strategic planning, with deans rating it as having higher importance and the CAO/provosts seeing it as having medium importance for deans.

In the current study the size of the school, the level of staffing in the dean's office and the developmental phase that the school was in (new vs. established) all influenced the importance of roles and tasks for individual deans. This discussion has provided an updated understanding of which roles and tasks are considered to be more important for the role of dean in a research university. This provides important context for considering which career experiences help to best prepare academics for the role of academic dean in a research university today, as well as for considering if preparation for any important functions is missing.

Benefits of Serving as Department Chair

Both Deans and CAO/provosts in the interview study pointed to the role of department chair as the single most important prerequisite experience for faculty members as preparation for becoming an academic dean. In this study, and in previous studies, the department chair role was also the most common administrative leadership position held prior to the deanship (Moore, 1983; Wolverton & Gmelch, 2002). Within the University of California, the department chair is typically a 3-year appointment¹¹ and many faculty members, once they reach the level of full professor, take a turn as chair. As one CAO/provost described, the current chair or dean sometimes grooms or encourages a faculty member to serve.

CAO/provost C

It is not always so easy to find department chairs. Often times you have to sort of
draft them, or arm twist them, or guilt trip them. "It's your turn, we all have to pay

¹¹ University of California Academic Personnel Manual 245 indicates that department chairs may be appointed for a term of up to 5 years, however the most common length of appointment for a department chair is 3 years.

our dues," that kind of thing...it's really the incumbent department chair who is looking for potential successors and sometimes mentoring them.

The fact that the term is relatively short enables many faculty members to gain experience as department chair and in this way it serves as an important gateway to higher positions. Deans and CAO/provosts said the department chair role also provided an opportunity for faculty members in the department and senior administrators to observe and evaluate a person's administrative leadership ability and interpersonal skills.

CAO/provost B

I think the department chair is a really critical position, of course, on the campus, but it also is a position that we rotate a lot of faculty through, and so faculty who take that position have the opportunity to try their hand at leadership. So it's sort of a testing ground. They can determine if they really do enjoy leadership and can find out if they're good at it, and at the same time the members of their department can determine if they are a good leader.

So the department chair role serves as an important prerequisite to higher-level roles in a number of ways. It allows individual faculty members to test their own skills, abilities and interest in academic leadership. It also allows other faculty members and senior administrators to judge a faculty member's leadership ability while serving as department chair. In these ways the department chair role can provide a pathway to other academic leadership positions.

The department chair role also provides a high quality development experience, because it provides practice in a number of key areas that are also important in higher-level administrative leadership positions. Deans and CAO/provosts in the study described department chairs as handling a number of roles and responsibilities that are also part of a dean's functions,

but on a smaller scale. Personnel management was described as one of the primary responsibilities of the department chair and it was also among the most important roles and tasks of the dean (Table 4.4). This included managing and overseeing the academic personnel function in terms of faculty hiring and promotions, as well as overseeing some staff personnel. Many of the deans in the study described becoming involved in interpersonal relations and conflict management among staff and faculty when they served as department chair. Interpersonal relations and conflict management was also ranked as having medium importance in the role of dean (Table 4.4). Several study participants described their lack of preparedness for handling difficult interpersonal situations among faculty or staff when they first became chair.

Steven

You know things happen when you are in positions like an administrator that you just absolutely have no preparation for.... As an administrator, people expect you to solve their problems. And sometimes the things they ask, you wonder what kind of upbringing they had (laughs).

One dean, James, described his first chairship, when he was hired to serve as department chair over four groups that had just been combined into one large department.

James

I had to deal with this incredibly difficult situation where there were four ... departments for a real specific reason, because there were four groups of people who just completely disliked each other. But the odd thing about it was when I asked why, no one could remember why because it had been so long ago.... So my first couple of years was really about bringing those groups together and that

was a very political dance, and trying to assuage, you know, some fears...It really took a lot to kind of get everybody moving in the same direction and onboard.

Interestingly, and probably not coincidentally, James attended a mediation training program during his tenure as chair of this department and became certified in mediation and conflict resolution. In this case, James experienced a chairship of higher developmental density, meaning that he had a more intense development experience than other department chairs typically experience, in learning how to reconcile four separate and conflicted departments into one. In his case, more development than usual was packed into this department chairship.

In contrast, another dean, John, had chaired a small department, overseeing one staff person before he became dean. His experience did not provide the same quality or density of practice with interpersonal conflict or with managing staff positions that other deans in the study had experienced as chairs.

John

My experience has been, I know about faculty. I'm not saying they haven't been a pain, but I knew about that part--totally unprepared for staff. Totally. And to this day is my biggest problem...I had one staff person who worked for me (when department chair) and had not ever been in charge of a large staff infrastructure before. The way I tend to describe it to people is, you know, two faculty members don't get along, they just don't get along. They don't want to talk to each other; they don't talk to each other. It's all good. Staff, they have to keep talking to each other, and these problems don't go away....I have found it very challenging.

John's case provides another example of all department chairships not being equal in terms of development punch or density of experience. In John's case he missed out on important experience overseeing a group of staff employees at the chair level, which proved to be a gap in his skill set at the dean level.

Occasionally an academic's field of study proves to be helpful in academic leadership. Another dean, Sandra talked about how her professional training helped her as a new department chair.

Sandra

I was supervising the childhood family clinic...as part of my role there and so I was heavily involved in reading about supervising doing family therapy. And I have to say that many times during my early times as department chair, I thought that being a department chair was like family therapy, because it was a lot like who is talking to whom, who should be in charge, are we being clear, have we set the right boundaries, are we helping the right people, you know, so those frameworks actually were very helpful.

In Sandra's case her professional training was useful for the interpersonal conflicts she had to mediate in the role of chair and subsequently also during multiple terms as dean at different institutions.

The interpersonal skills developed during department chairships continued to serve the deans and CAO/provosts in this study while in higher-level positions. Interceding and resolving conflicts among faculty and staff were also described as part of deans' (Table 4.4) and CAO/provosts' roles, however they described only the more difficult and intractable conflicts as being brought to these positions. As we have seen, not every chairship provided the same density

of developmental experience in conflict management and interpersonal relations, however participants described any interpersonal skills they had developed as department chair as important preparation for higher-level positions.

Budget and resource management was also cited by study participants as part of the department chair's responsibilities and also a very important part of the role of academic dean (Table 4.4). However, as in the case of interpersonal skills, some chairships provided more or less developmental opportunity in this area. Depending upon the type of management structure within the school or division, and the size of the department, participants described the chair as having more or less control over funds, or decisions about resources such as space allocation. Some deans described the chair role as not providing a lot of experience regarding the budget. Instead, they learned about budget management at the dean level or through other avenues, which will be discussed in later sections.

In general the role of the chair lacked much developmental opportunity for strategic planning, or external/political relations and fund raising, which deans in the study pointed to as important aspects of the deanship (Table 4.4). However, as with other skill areas, this also depended upon the department's situation, and in some instances a chair might gain experience in these areas as well.

Barbara

As department chair I got a lot of experience with academic personnel. I started understanding how this university does fund raising and development. I started really understanding how you can move an agenda. So we did some strategic planning, and how you have to sort of break down into committees, and use a

process and take your time to try to move things forward. I think the experience as chair was very important.

For most study participants, fund raising and strategic planning were not part of their experience as chair and these skill areas had to be developed through other means or on the job.

Finally, for deans to be effective it is important for them to understand the role of the department chair, and the best way to understand this role is to have experienced it first-hand.

Steven

As a dean ...you deal predominantly with chairs. Sometimes with faculty members, but that tends to be individual issues, when it is departmental questions it is almost always the chair. So you need to know what it means, what it is like to be a chair. What you can expect a chair to be able to do, the kinds of pressures that are exerted on a chair, the kind of dilemmas that face a chair. I think if you don't, then your effectiveness as dean is going to be severely compromised.

So it is important for deans to understand what department chairs do, including understanding the areas of academic programs and student affairs, which deans in the study described as significant responsibilities of the department chair, but not as important for the role of dean in a research university (Table 4.4).

Despite the developmental importance of the department chair role for building skills needed in deanships and more senior academic leadership roles, not everyone in the study had the chance to serve as a chair. For some, the department chair role was described as something that senior faculty members rotate through, or as an expected duty to be assumed at some point in the career. However, for other faculty members this was not the case. For example, faculty members who serve in single-department professional schools, such as a law school, do not have

the opportunity to become a chair, because there is no department chair, only a dean. Or, as one participant described, every faculty member may not be asked to serve as chair, because in the case of very large departments there are more interested candidates than opportunities. Of the 25 people in the CV study who had served as a dean, 16 (64%) also had the experience of serving as a department chair. For those deans who had never served as a chair, empathy for and understanding of the department chair role had to be acquired through other means, possibly while in the role of dean.

In summary, the department chair role was the single most important position that both deans and CAO/provosts pointed to for gaining developmental experience for a deanship. It was also described as helpful development for other senior academic leader positions. Serving as department chair was seen as broadening a faculty member's understanding of the campus and the university. As department chair, a faculty member had to grapple with difficult interpersonal relationships and conflicts and find a way to resolve them. The chairship provided a great deal of experience with academic personnel cases, and varying levels of exposure to budget and resource management. It also provided personal understanding of the challenges faced by a chair, which was a valuable insight for academic deans, who predominately deal with department chairs. However, while the department chair role was the highest quality developmental experience available for deanships, not all chairships provided the same type or density of leader development, and not all deans had the opportunity to serve as a chair.

Benefits of Serving as Director of a Center or Institute

For some in the study, serving as the director of a center or an institute provided similar experiences and skill development as found in the department chair role. Of the 25 who had served as a dean in the CV study, 18 had also served as a director (72%) While center directors

did not have the same responsibilities for academic personnel issues as department chairs, they may have had oversight of staff positions. Through oversight of staff and interacting with faculty in the center, the director often gained experience in interpersonal skills including conflict management.

For some participants, serving as a director provided experience in fund raising and budget oversight. One of the CAO/provosts described his experience as an associate professor leading a research center as good preparation for later becoming a chair. He learned about writing grants and entrepreneurial development from the previous head of the center.

CAO/provost C (and former Dean)

In my own case, before I became department chair I had served for 10 years as chair of a research center and there I had to be well-organized, good interpersonal skills, relate to donors and all that. I wasn't looking for that job, I was sort of drafted into it and I was afraid that I wouldn't be up to it. I had to learn a lot on the job, some of it by trial and error. But after having done that for such a long period of time, and demonstrated that I wasn't incompetent at it, I became a lead candidate for department chairship.

Serving for 10 years in one administrative leadership position, enabled CAO/provost C to develop a sense of competence and confidence in the role. It also showcased his leadership talent and positioned this CAO/provost for the role of department chair.

Spending such a long period of time in a high quality development experience is an example of an activity that provided a dense leadership development experience. The majority of academic leaders in the study did not have a similar opportunity in terms of length of time served in a high quality developmental role. Among the 23 participants in the CV study who had served

as a director, six had done so for 10 years or more, and in the same position. Of the 25 participants who had served as chair, only four had served for 10 years or more, and of those only one had done so in the same position. So overall, only seven of the 41 participants in the study (17%) had what was likely a key opportunity to develop leader expertise (Day et al., 2009; Lord & Hall, 2005) earlier in the career by serving for 10 years or more in a single directorship or chairship. It may be that participating in these kinds of high quality, developmentally dense experiences laid a strong leader development foundation, as four of these went on to serve as a president/chancellor or CAO/provost.

Serving as the founding director of a center provided addition experience that may not be developed as a chair or as a director of a pre-existing center. A few of the deans interviewed described serving as a founding director where they gained the experience of taking an idea for a center to a reality, including fund raising, strategic planning and building support. In some cases, serving as a founding director also provided experience in academic program development.

Barbara

Early in my career, which started my path, I was founding director for a center that supported both research and graduate education, and that center really gave me a sense, because I did fund raising. I had to start the center from scratch. I started a Ph.D. from scratch and this was supposed to create an intellectual home for students of that Ph.D. and faculty. So that was small scale, but it started really getting me aware of the connection between having an idea, finding the resources, building support for it, and that's kind of set me on the trajectory of maybe should I consider a greater role in administration?

Another dean, Debra, also had the early career experience of being the founding director for a collaborative project with IBM that developed into an undergraduate business-engineering curriculum.

Debra

I was then asked to lead this competition for this IBM (project). They were going to give out \$8 million grants on TQ, and I was in the president's office and he said, why don't you lead this, and I had to put together this whole thing. ... I'd never run a multi-million dollar project, and then as part of that, we had promised that we'd create this interdisciplinary program. And so it all started from sitting in the president's office and seeing the diversity and complexity of the university. One thing leads to another, leads to another, leads to another, and now it's an even more multi-disciplinary program.

For both of these deans, early experiences as founding directors furthered their interest in pursuing administrative leadership roles. Serving as a founding director was a developmentally dense experience. The challenge of creating something from scratch provided developmental opportunities for fund raising, consensus building, academic program development and both strategic and financial planning. These examples came from the sciences and business/engineering, however leading a center or institute is an opportunity broadly available across many disciplines in the humanities, social sciences, arts and professional schools, as well. For those interested in learning about and gaining practice in many aspects of academic leadership, the possibility of founding a center or institute, while a considerable amount of work, is open to all faculty members.

Benefits of Serving as Acting or Interim Dean

The last formal leadership position type that was mentioned by deans as helpful development for their current role was that of acting or interim dean. Looking across the CVs in the study, there were 24 mentions of any type of acting or interim leadership role held at some point in the career before the current position. It is likely that there was even more participation in such roles that was not indicated on the CVs, for example if someone began in an interim role and then became permanent in that position, they may have only listed the permanent position on the CV. In any case, this study found that interim and acting leadership roles were frequently used in research universities. Academic deans in the study found service in acting and interim leadership positions to have benefits for their development as leaders.

Among the current academic deans in the study, nine (36%) listed serving as an acting dean immediately prior to their current appointment and two of the six CAO/provosts (33%) in the study had begun their current appointment in an interim or acting role. Overall, 51% of the study participants had served in some type of acting or interim leadership role, some more than once. Study participants described these acting or interim roles as having some utility as training or testing grounds for academic leaders. They can be a way of drafting someone into a position without making it permanent. These positions were described as allowing higher-ups time to evaluate a person's performance in the temporary role and also allowing the individual an opportunity to experience the role and decide if it is something he or she would like to continue. Given academics' primary professional identification as scholars and researchers, there may be times when it is difficult to fill academic leadership positions, and use of these temporary roles may ease the transition to leadership for some scholars.

Michael (on accepting an interim deanship)

I had not been thinking about this role at all. I didn't think I was at all in a position to do that, so the interim year was useful in that sense. I did get plenty of support, but the expectations were lower, "he's just interim," and that's actually very refreshing. If things had not gone well, if I hadn't been happy, or if other people had not been happy, I could have gone away easily.

Depending upon the situation and one's interest in pursuing higher-level administrative leadership roles, the approach one takes to an interim role may be either more active or passive.

John

The first time I was acting dean I acted--I'm not saying I was told to act--but I acted, really acted as a caretaker, so I did not do the dean job very much. I did not do anything related to academic personnel. I went to a bunch of meetings, which deans used to do, but I didn't try to change the direction. The dean was in town a lot of the time, if a retention came up the dean would handle it rather than me, the acting dean. That changed about 18 months later when I was the acting dean--the dean was actually in having medical procedures, so was really out of touch--and also the provost and I spoke and he encouraged me to be more engaged. So I did deal with retention and some academic personnel issues and a variety of things like that.

In John's case his second term as acting dean provided more developmental benefit, as he participated more fully and experienced all the roles of the dean.

Another dean, Steven, described his entry into administrative leadership through an interim department chair role. He had just arrived on campus as a newly hired 42-year-old full

professor, when he was asked to become interim chair of a very divided and dysfunctional department.

Steven

And a friend of mine, ... told me you should take the job, he said, first it was only a year, and second you will learn a lot about yourself (laughs) and the process.

And he was right. I did learn a lot about myself. I did things I never felt I was prepared for or able to do by temperament...and what happened is after I had been there for a few months, and I think had clearly established that I was doing a good job I got a call from the dean and he said how would you like to do this permanently? ...And so I served out a 3-year term.

Steven's story highlights a change in his self-perception during his term in an acting position. He had not previously seen himself as able to do certain kinds of things, but with some practice, he and others could see that he had some propensity for the role of chair. In this way the acting experience propelled him into administrative leadership. In this study, acting or interim roles served as a pathway to permanent academic leadership positions for some participants.

There may be a gendered pattern in terms of who is asked to "try out" higher or lower levels of acting or interim administrative leadership positions within research universities. Among the participants in the CV study, a higher percentage of men had participated as acting deans (39%) than women (8%) and a higher percentage of women had participated as acting directors (31%) than men (14%). Other gendered patterns among who held different types of leadership positions were also found in this study. In examining the demographics of participants by their current administrative leadership position, a gendered pattern was found between the vice chancellor/vice provost group, which was 71% female and the academic dean group (73%

male), as well as the primarily male CAO/Provost group (83% male). These patterns may indicate a difference in administrative leadership career paths for women in research universities as compared to men. The gender difference between the number of current VC/VPs and academic deans was statistically significant at the .044 level (exact, 1-sided). However, given the small sample size of this study and its location in one public research university system, further investigation using a larger sample is needed in order to generalize from the findings and to determine whether or not gendered patterns exist for these positions more broadly.

In general, serving in any acting or interim leadership role lasted only a short period of time. Among those who had served as an acting or interim dean (12), for example, the average length of service in the position was 1.3 years, with a range of 0.5 to 3 years of service. For development of expertise, a longer length of service is needed (Day et al., 2009, Ericsson & Charness, 1994; Lord & Hall, 2005). Even though the majority of study participants had served in some type of acting or interim leadership role, because the typical length of service was short, these cannot be considered as among the most useful or best forms of leader development. Instead we should consider these acting and interim leadership experiences as a way for academics to experience a leadership position to try it out, and possibly for higher-ups to test a person's ability to perform in the position.

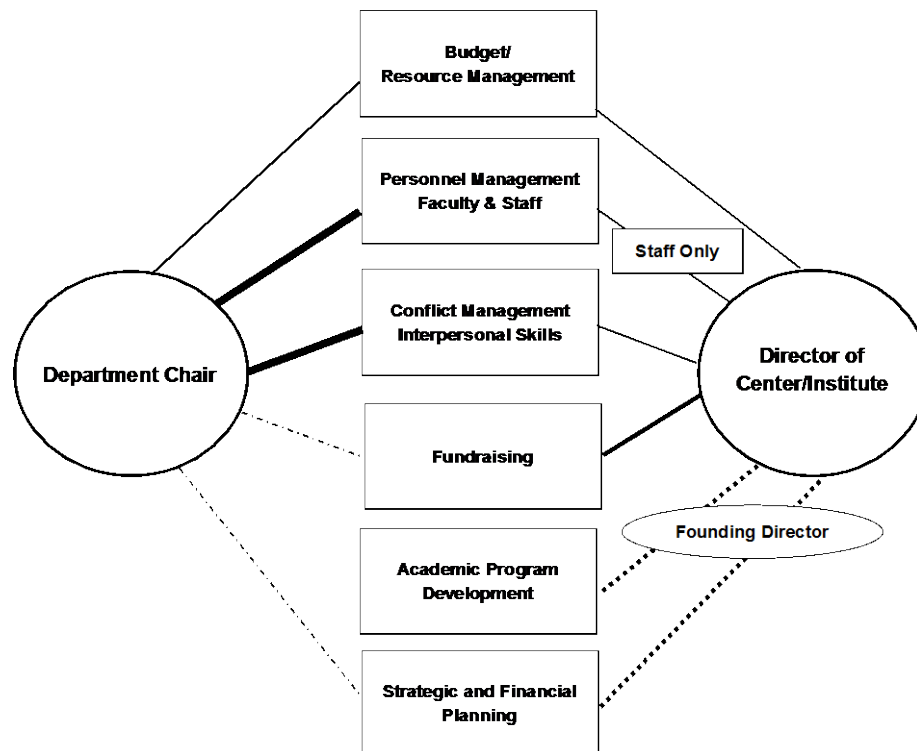
Comparison of Department Chair vs. Director Positions for Providing Best Preparation

The formal leadership positions of department chair and director are the two positions that provided the most "developmental punch" or density of preparatory experience (Quinones, Ford & Teachout, 1995, p.905) for the position of academic dean. In making this determination, a number of factors have been considered, including the number and types of experiences that these positions provided that were also among the dean's roles and tasks (Table 4.4). Both deans

and CAO/provosts in the study described the department chair position as the single most important preparatory experience for serving as an academic dean. However, when comparing the kinds of roles and tasks or functions that study participants described performing in each of these position types, the director position provides practice in a slightly broader array of experiences as described by deans in the study. The position of founding director, in particular, provided deans who were interviewed with the broadest number of experiences that were also part of the dean's roles and tasks (Table 4.4). Figure 4.1 illustrates the differences in density of developmental experience provided by the position of department chair compared to the position of director, as described by study participants. In this figure, thicker lines indicate more and better practice provided in a particular kind of role or task, and thinner lines indicate less or less rich practice provided. For example, the department chair position has a thick line to Personnel Management while the director position has a thinner line to this same task. Study participants described the personnel issues that they handled as department chairs as including both faculty and staff personnel actions, which were much more similar to the kinds of personnel issues handled as a dean, while in the director position only staff were managed. The dotted lines in the diagram indicate that some roles and tasks were mentioned only in conjunction with particular positions, such as the founding director position, or in one chairship, and were not described by study participants as typical of the position.

Figure 4.1

Comparison of Developmental Opportunities in Department Chair and Director Positions



Overall the founding director position was likely to have the broadest number of roles and tasks that were described as also part of the dean's roles and tasks. The role of director provided study participants with an opportunity to practice fund raising, which participants did not describe as typical for department chair positions that they had held¹². Fund raising was also one of the dean's roles and tasks that most of the deans in the study felt least prepared for when they began as deans. In comparing the positions of department chair and director with the dean's roles and tasks in Table 4.4, it would appear that those who had served in both of these positions are likely to have been better prepared for the dean position than those who had served in only

¹² It may be that department chair positions today involve more opportunity for fund raising, however during the time when study participants had served as department chair this was not the case.

one or the other. Among study participants, 10 of the 25 (40%) who had served as a dean had also served as both a department chair and a director.

Another factor considered is the length of time spent in these two types of positions. Of the two positions, participants on average spent 2.4 more years in director positions than in department chair positions. Table 4.5 provides aggregate information about the length of time participants spent as department chairs or directors.

Table 4.5

Average Years of Experience in Department Chair and Director Positions

Position Type	N	Average Years in Position	Min.	Max.	Std. Dev.
Department Chair	25	5.5	0.5	12.0	3.17
Director	23	7.9	2.0	26.0	5.14

When considering aggregate length of time spent in a particular type of position, it should be noted that for some study participants this included serving in either or both of these positions multiple times and sometimes over different departments or centers, and at more than one institution. Among the participants in the study, four had been a department chair twice and four had been a department chair three times. Of those who had been directors, nine had been a director twice, two had been a director three times and one had been a director six times. It is likely that those who had served multiple times, versus one longer stint, had a wider variety of experiences in a role due to differences in organizations, people and situations encountered. Those who served multiple different times are likely to have reaped more development as a result of this variety. Two deans reported this to be the case, pointing to differences in chairships or differences in deanships and learning different things from each. It is also likely, as some deans reported, that the learning acquired during one term in a position type was built upon in

subsequent terms. In this way multiple shorter service periods in different chairships or directorships might expose the participant to a wider variety of experiences or challenges, which would likely provide better preparation for subsequent leadership positions. However, as described by CAO/provost C earlier, one long 10-year stint in a single directorship or chairship may build a feeling of mastery or expertise in a leadership role that multiple shorter periods of service in multiple different directorships may not. So length of service alone doesn't tell the whole story of experience, expertise and leader development benefits gained in a particular type of position.

Of the two positions of department chair or director, which provided the best preparation for academic leadership roles? It depends. As described by study participants, each chairship or directorship provided a unique mix of experiences. Some were quite developmentally rich, while others were lacking in experience in one or more roles or tasks that one might typically expect to find in the position. Overall participants who served as a director, did so for a longer aggregate amount of time, and perhaps the longer length of service provided a better leader development opportunity, however given the differences between individual directorships, this is not certain. As a partial answer to the overall research question, "Which career experiences best prepare academics for university leadership roles in the 21st century?" and sub-question 1.b., "Which career experiences do academic deans identify as having best prepared them for their current position?", the formal administrative leadership positions of department chair and director both provide valuable leader development and should be considered as the best formal leadership positions currently available as preparation for higher-level academic leadership positions.

Summary of Findings on Formal Administrative Leadership Positions

Study participants had served in a variety of administrative leadership positions prior to their current senior academic leadership role. While no two career paths were exactly the same, the positions of department chair and director of a center or research institute were the two most commonly held positions preceding entry into senior-level leadership roles. For most deans in the study, these two positions provided the majority of the leader development preparation received prior to being appointed as an academic dean. However, serving as a department chair or director did not provide experience in all the different roles and tasks required of the dean's job. In particular, deans identified working with the budget and fund raising as two areas in which many needed to learn more on the job. In addition, no two chairships or directorships were exactly the same, so each study participant who served as a chair or director engaged in a unique and somewhat different set of experiences with different degrees of leader development benefits. Others didn't have the chance to serve in these key developmental roles, and for these individuals, other experiences had to substitute for this kind of leader development.

In looking at participation in administrative leadership positions overall, study participants had a wide range of years of formal administrative leadership experience. Some participants only had a few years of experience prior to taking on their current senior academic leadership position, while others had much more, with 14 years of leadership experience as the average prior to the current role type. In general, it was found that those in the study who had started in their first leadership position early in the career tended to continue in a succession of leadership roles, accumulating more leadership experience before their first senior academic leader position than those who took their first leadership position later in the career. This points to the importance of encouraging and supporting academics in taking early leadership roles, if

the institution is interested in nurturing more experienced and likely more expert academic leaders (Day et al., 2009; Lord & Hall, 2005).

While CAO/provosts pointed to the importance of having both high academic achievement and some administrative leadership experience as necessary prerequisites for advancement to senior leadership positions, having enough time to acquire both is problematic. In this section, participation in formal administrative leadership positions and their benefits for leader development were explored. The next section on scholarship quantifies just how high the levels of academic achievement were among participants prior to advancement to the current senior leadership position. In addition the trade-off between time spent on scholarship and time spent practicing administrative leadership will be explored further in the next section.

Participation in Scholarship

Scholarship comprises the primary part of every faculty member's job in a research university. As such, scholarship can be considered the most commonly shared experience that precedes advancement to academic leadership roles for academic leaders in this study (sub-question 1.a.). In this section, participation in scholarship will be examined in order to establish an understanding of how much scholarly achievement is typical for senior academic leaders in research universities, and also to consider how scholarship contributes to or detracts from leader development among academics. As discussed earlier, the CAO/provosts interviewed emphasized the importance of high academic achievement by candidates for academic dean positions, as well as for other types of senior academic leadership roles. They also pointed to the need for some prior administrative leadership experience before taking on senior administrative leadership positions. In this section, participation in scholarly activities prior to taking on the current senior

academic leadership position will be examined, along with considering what effect such levels of participation may have on accumulation of administrative leadership experience.

Levels of Scholarly Productivity

In order to consider the level of scholarly productivity exhibited by the academic leaders in this study, several variables were created to capture and measure scholarly productivity based on items found on curriculum vitae. These included a measure for scholarly articles and book chapters (publications), one for books authored or co-authored and a combined variable for both publications and books¹³. Awards for scholarly work, including membership in national academies were counted. Publications and awards were the most commonly listed indicators of scholarly productivity found on the CVs. All of the CVs in the study, except one, included listing of some scholarly publications. Books were included among the list of publications. Only 73% of the participants listed academic presentations made at conferences or academic institutions and an even smaller percentage (63%) listed grants on the CV. Teaching awards were listed least frequently of any of the indicators of scholarly productivity, with 46% of the academic leaders in the study listing a teaching award on the CV. Publications, books and academic presentations were counted up to the year in which service in the current academic leadership role began, so the data for these categories shown in Table 4.6 represent levels of participation that preceded entry into the current job. Awards were counted in total, as a year of receipt was not always listed on the CV.

¹³ In order to rationalize publication counts across all academic fields, a combined variable was created in which one book was counted as equal to 10 articles or book chapters.

Table 4.6

Awards and Activities Related to Scholarship

Type of Award or Activity	Total Number Listed on CV (Un-weighted)					
	N	% Listing	Mean	Min.	Max.	Std. Dev.
Publications & Books combined**	40	97.6	128.4	21	576*	100.3
Publications (articles & book chapters)	40	97.6	100.6	10	576*	95.1
Awards	37	90.2	6.7	1	36*	7.9
Academic Presentations	30	73.2	74.8	3	260	64.5
Grants	26	63.4	14.3	1	47*	11.2
Books	20	48.8	5.6	1	20*	4.6
Teaching Awards	19	46.3	2.3	1	8*	1.9

*Includes outliers that were removed for correlation analyses.

**1 book = 10 articles or chapters

Many academic leaders did not list all of their awards, grants or presentations on the CV. Some made note that portions of this information were selectively included and others indicated that some years were truncated from these entries on the CV. While most seemed to include their complete list of publications, some indicated that the CV did not contain all publications. A further limitation of the scholarly productivity data is that no attempt was made by the researcher to assign a level of quality to any of these variables. Instead, the number of entries of a particular type on each CV was simply counted. The purpose of this study was not to evaluate the scholarly achievement of the academic leaders in the study, but instead to understand overall levels of participation in different types of activities that may or may not be useful in development for academic leadership positions.

In reviewing Table 4.6, large ranges and standard deviations for the statistics on publication and academic presentations are evident. When comparing these data across academic

fields, statistically significant differences¹⁴ were found related to the number of publications and books (.046, sig. .05) and the number of grants (.049, sig. .05) listed on the CVs. This means that participants from different academic fields had different patterns in terms of the quantity of publications and grants that they listed. The wide variation in publication rates found in the study is likely due to these academic field differences, for example participants in the health sciences published at much higher rates than did others, such as those in the arts and humanities.

Several statistically significant correlations were found among the scholarly productivity variables. Publications and books correlated with awards (.582, sig. .000, 2-tailed) and also with grants (.635, sig. .001, 2-tailed). These relationships make sense, since more awards and grants are typically made to those who exhibit higher levels of scholarship and academic productivity, which is often judged by a person's publication level.

Many participants in the interview study continued their research, and sometimes their teaching, even after becoming a dean. For many doing so was important to maintain credibility, respect and a connection with their faculty. Some saw it as a fallback position in the event that they decided not to continue in an administrative leadership role. Others continued their research and/or teaching because they enjoyed it. For most who continued active research programs, these reasons overlapped and were not mutually exclusive.

CAO/provost C

People who resent deans ...will make catty comments like "failed academic" so he went into administration. That is pretty unfair. When you become a dean, it is awfully hard to keep your scholarship up, but some people pull it off, it may

¹⁴ Independent samples, Kruskal-Wallis Test.

depend on how overwhelming large the job is. We have a dean...that just pours out the publications, doesn't even take vacation.

Maintaining one's research and scholarship is difficult in senior academic leadership positions. The more time consuming the administrative job is, the less time there is for scholarship. Nevertheless, many deans in the study, and even some of the CAO/provosts, continued some level of scholarship.

William

I think it's very important [to continue some research] in my view to gain the respect of the faculty. ...Even now I have my own grants, I have a few students and I can't continue at that level which I will do as a professor, but as a dean because my responsibilities are administrative; however, I do find time, some on weekends and so on, to do research, but at the lower level. And it serves also as an example, in my view, to the chairs and vice chairs. Many times I've seen chairs come to me because they have been chairmen their research has suffered. So then I give them counter example, "Look, I have been chair, and I am dean, and I'm still doing research, so why can't you do it?" And that has been, in my view a strength.

William believed very strongly in the importance of continuing his research, even while a dean. He also spoke proudly about his school's increase in prestige and academic ranking during his term as dean, which reflected William's high value for, and emphasis on scholarship.

Barbara

I maintain an active program now because I love doing research, but I also think that it's important to the faculty to see that there's an active researcher. So for women at research institutions, you've got to keep up your scholarship.

Barbara continued to teach and conduct her research as dean, primarily because she enjoyed doing so. She also believed that women in science received increased scrutiny on their level of scholarship. She advised that women interested in leadership roles maintain high scholarship if they wanted to be considered for senior leadership positions.

Michael

I miss teaching. In my first year I did teach one seminar, but I decided it was too much. Maybe I'll be able to do that again in the future. But I think on the question of personal scholarship, even if you only keep up the tiniest thread of a pulse of personal scholarship, it's very important to continue that investment--probably because it's always a fallback position. You know, four years from now maybe I've had it with this and I just want to read and write. It will still be there and I'll still have a connection with the field. But even beyond that fallback position, ...like the other 214 faculty members in the division, I'm a scholar and I have an investment in certain models of scholarship. It's very useful to have that in common with people.

At the time of the interview Michael was a relatively new dean. His comment reflected some ambivalence about his professional self-identity as a leader and staying in an administrative leadership position for the rest of his career.

Robert

I continue to teach a full load. I just decided that there are many things I love about being dean, but I love teaching ...and I continue to write. I just finished a book, and so it's juggling all of these things.

Trying to maintain one's research, teaching and publishing while also filling a full-time administrative leadership role is extremely time consuming, yet many participants in the study continued to do so at varying levels. This reflected the high value placed on scholarship by participants, as well as by the institutional culture within the research university. In some academic fields it is possible to have graduate students or researchers in one's lab continue the research in your absence, while in other fields where research and writing is a more solitary activity, continuing one's research while in a high-level administrative leadership role may not be possible. In any case, as participants described, there is not enough time to do both administration and scholarship well. So for most participants taking on higher-level administrative leadership positions typically meant that scholarship, teaching and research had to become a lower priority. Shifting from practicing scholarship to administrative leadership also affected professional self-identity, which will be discussed in the last section of this chapter, The Effect of Professional Identity on Leader Development.

High Scholarship versus Administrative Leadership Experience

This same time trade-off between scholarship and administrative leadership duties that participants described in their current senior academic leadership positions also presented a dilemma before advancement to these positions. Gaining experience in lower-level administrative leadership positions, such as director or department chair, also took time away from one's scholarship. Yet according to the CAO/provost's interviewed, both high scholarship

and sufficient administrative experience are needed before advancement to senior administrative leadership roles.

One finding in the analysis of the CV data suggested that serving in administrative leadership roles slowed down advancement through the academic ranks, and such advancement is typically associated with increasing levels of scholarly achievement. A positive correlation was found between the length of time spent between receipt of the Ph.D. or other terminal degree and achieving the rank of full professor (variable name PhD2Full) and the length of time spent in administrative leadership jobs prior to assuming the current job. The correlation¹⁵ between the time between doctorate and the rank of full professor and length of time in administrative leadership jobs prior to the current job type was .354 (sig., 2-tailed, .025) for the entire sample (n=40) and the correlation was even stronger for men (n=27) in the sample at .492 (sig., 2-tailed, .009) and stronger still for minorities (n=7) at .904 (sig., 2-tailed, .005). This indicates a relationship between taking on more early administrative leadership roles and slower career progress in the academic ranks. This could mean that time spent on administrative leadership duties takes away from the time available for one's pursuit of scholarship and academic achievement. This finding was reiterated in interviews with both deans and CAO/provosts. The statistically significant relationship between more years of early administrative leadership experience and taking a longer time to reach full professor, speaks to the dilemma academic leaders face when both very high scholarship and sufficient administrative leadership experience are expected prerequisites for senior administrative leadership roles. Doing both takes more time.

¹⁵ Before examining the correlations for the PhD2Full variable, one outlier was removed, representing one unusual study participant who had spent 35 years outside of academe, becoming a full professor at the same time as being named dean.

Structurally, the faculty career ladder within research universities is designed to focus on scholarly productivity, and movement through the faculty ranks is paced to take the majority of one's career to complete. During the early years of a faculty member's career, the focus is on achieving enough scholarly productivity and distinction to earn tenure and move up to the rank of associate professor. In the University of California assistant professors have up to eight years to achieve tenure¹⁶. The first leadership experience for study participants began on average 11 years after receiving the Ph.D. or terminal degree, which would mean most began some type of administrative leadership experience during their years as an associate professor. Participants took on average 14 years from receipt of Ph.D. or other terminal degree to reach the rank of full professor. Then, it took another 15 years on average for the participants to begin their current administrative leadership position. The average age at receipt of the doctorate or other terminal degree for this group was 27 years old, reaching full professor around the age of 41 and then beginning their current position on average at age 56. This is already within the window of possible retirement age. If serving a five-year term¹⁷ for a deanship or other senior academic leadership position, at the end of one term a person who began at age 56 would be 61. In order to serve two terms in one role, or to take another five-year position, the person would be 66 by the time he or she finished. So just as a person reached an expert level of 10 years of practice (Ericsson & Charness, 1994) in a senior administrative leadership role, it would be time to retire. This pattern robs the individual of the opportunity of continuing in senior academic leadership positions after accumulating sufficient experience to feel a sense of expertise. In this scenario,

¹⁶ Academic Personnel Manual (APM) 220-17(b).

¹⁷ Per Academic Personnel Manual (APM) 240-17 (a) academic deans in the University of California are appointed for a five-year term and then may be reappointed.

the institution also loses the benefit of having more experienced and expert leaders, due to old age and retirement. Continued employment of these experienced academic leaders is one reason why the oldest senior academic leader in this study was age 71 at the time of the interviews and why senior academic leaders in U.S. higher education institutions are now older than ever before. (Cook, 2012).

Taking on administrative leadership positions takes away time for scholarship, which may also be why some academic leaders' career patterns indicate taking on the first administrative leadership role late in the career. For academics in research institutions conducting scholarship is the first career priority and also the reason that people enter a tenure-track faculty career in a research university. It is also necessary to achieve a sufficient level of scholarship early in the career in order to attain tenure¹⁸. As we have seen from the CV data, for most of the study participants it was some time during the post-tenure period when the first administrative leadership role was taken. For some this was as an associate professor, for others it was much later in the career, after having fulfilled a high level of academic achievement. The dilemma of needing to have both high scholarship and some administrative leadership experience in order to be considered ready for a senior academic leadership position created for some a two-staged career: first a career focused on scholarship, followed by a shift to a career more focused on administrative leadership. This pattern will be further illustrated later in this chapter.

¹⁸ In the University of California there is an eight-year limit for achieving tenure as a regular rank assistant professor.

Scholarship Activities that Contribute to Leader Development:

The Deans' Perspective

In addition to being one of the prerequisites that CAO/provosts pointed to as necessary for consideration for an academic deanship, some forms of scholarship may also help prepare academics for administrative leadership roles. A number of academic leaders talked about drawing upon aspects of their academic disciplines in their leadership roles. One described how his training as an engineer enabled him to be comfortable making decisions in the absence of complete information. Another described his background in statistics as helpful for "understanding and dealing with uncertainty and variability" encountered as a dean. One dean found leadership theories amidst literature from other cultures and another academic leader had done research and reading on leadership theories as background for his study of political leaders. Another found her skills as a psychologist and counselor helpful in working with academics as a chair and dean. In general, academics tried to apply the knowledge and skills acquired from their academic disciplines in their leadership roles when possible.

Heading a Research Lab. One leadership opportunity, heading a research lab, is directly related to conducting research in some scientific fields. According to study participants, running a research lab provided some of the experiences found in a department chair role or a directorship, which were described earlier as the two formal administrative leadership positions which best prepared academics for higher-level leadership roles. For some, leading a research lab provided experience in grant writing, fund raising, interpersonal relations and management of budgets and personnel.

Barbara

I think that the fact that you manage in sciences, you manage labs with many people, so you're not alone. My lab isn't as big as some in the sciences, but still having a technician, the postdocs, and graduate students and undergrads and trying to move forward and get work done, and you have to have some management skills for that and be comfortable being able to delegate and have a lot of things done by a lot of people.

Another dean, Richard, described himself as having had two academic leadership roles before becoming dean of a medical school: serving as a department chair and running his research lab.

Richard

One was during my span at (another) university for 17 years, I had my own laboratory. So I led my own lab, which at any given time would have anywhere from two to, I think when we finished, 15 people in it. So that is a different form of leadership, because the people in the lab are very much beholding to you and you have hand-selected those people.

As Richard noted, the interpersonal power dynamics among members of a lab are different than those in a department, so the type of personnel management experience received from heading a research lab is not similar to serving in a chairship. In the case of a lab, there is a dependency for funding between the students, researchers and the head or principal investigator that creates a unique dynamic that is not found in other kinds of academic leadership situations.

Running a research lab was described by participants as having some developmental value, however it did not provide the same quality of leadership development experience as found in the roles of department chair or center director. This particular type of leadership

experience is found in certain academic fields in the sciences and would not typically be found in other fields such as humanities or the arts. So, while running a research lab provided developmental opportunities for some academic leaders, it is not available to all faculty members. Since this is not an experience common to most academics and also because the developmental experiences provided in leading a lab are on a smaller scale and lower level than those found in a chairship, leading a research lab is not counted here as among the experiences that best prepare academics for university leadership roles.

Summary of Findings on Scholarship

Conducting research and scholarship was the most common career experience shared by all study participants prior to advancement to academic leadership positions (sub-question 1.a.). As a group, study participants had achieved very high levels of scholarly achievement before advancing to their current senior academic leadership position. However, participants did not describe participation in scholarship as helpful preparation for leadership roles. A few study participants found ways to apply aspects of their academic discipline to their work as an academic leader, however this was not seen as an expected benefit of one's scholarship, but instead a helpful coincidence. Running a research lab was the only exception. Study participants described practicing grant writing, fund raising, interpersonal relations and management of budgets and personnel while running a lab. These were seen as similar to some of the skills practiced as a department chair or director, but on a smaller scale. Only some of the study participants in certain types of academic fields had the opportunity to run a research lab, so this was not likely to be a commonly shared experience nor was it discernable from the CV data.

The biggest impact that participating in scholarship had on leader development was likely a negative one. Spending time on scholarship interfered with having time available to serve in

formal administrative leadership positions. In this way, scholarship detracted from leader development, because it took away time from practicing leadership. This study found that there was a positive correlation between more years in formal administrative leadership positions prior to the current position and taking a longer time to reach the rank of full professor. This indicates that those who spent more time in formal leadership positions earlier in the career advanced more slowly academically. Basically there is a time trade-off between practicing scholarship and leadership, and study participants juggled this career trade-off in different ways. Some study participants pointed to this trade-off as a disincentive for taking on leadership positions earlier in the career.

Most participants in the interview study had come to work in a research university soon after receiving the Ph.D. or other terminal degree, early in their careers. Their intention was to be a scholar, an academic and a researcher. This was their first love and even though they were now serving in administrative leadership positions, many tried to keep a hand in their research -- some had active laboratories, some continued to teach. The majority of these academic leaders continued to hold professional identity as a scholar, which will be further explored later in this chapter under The Effect of Professional Identity on Leader Development.

Participation in Different Types of Extramural/Professional Service

In addition to participation in formal administrative leadership positions and scholarship, an academic's career experience often also includes professional service, which may be extramural or inside the university. This study goes beyond previous research on academic leaders' careers (Cejda et al., 2001; Cohen & March, 1974; Moore, 1983; Moore et al., 1983; Montez et al., 2002; Twombly 1988; Wolverson & Gmelch, 2002; Wolverson et al., 2001; Wolverson & Gonzalez, 2000) by documenting participation in a wide range of professional

service activities, in addition to the administrative leadership jobs held. Participation in professional service activities contributed to leader development and leader expertise, and for some in the study this was the most important form of preparation for the deanship. This section examines professional service activities that were not necessarily part of the formal job, but were listed on the CV. It helps to answer research sub-question 1.a., "Are there common career experiences listed in CVs, which typically precede advancement to academic leadership roles?" Different kinds of extramural leadership service, committee and taskforce participation, membership in professional associations, editorial service, and different kinds of advisory activities including service on review boards for grants or scholarships, programmatic review boards, service on corporate or non-profit boards of directors, and outside consulting work were identified and quantified through the curriculum vitae and also discussed during interviews.

More than 20 codes were created to capture different types of professional service and these were aggregated into eight overall categories as shown in Table 4.7. Campus or extramural leadership experiences included things like chairing a campus or university system-wide committee or taskforce or serving as an officer of a professional association at the state, national or international level. Committee participation included service on committees or taskforces at the campus-wide level or higher (system-wide, regional, national) and did not include committee service within the department or the school/division. The various advisory or review board activities were also counted only at the campus-wide level, university system, state, national or international levels.

All of the professional service activities were counted up to the year in which service in the current academic leadership role began, so these data represent levels of participation that preceded entry into the current job. Each instance listed on the CV of participation in a particular

activity was counted as “1.” For example, a listing as chair of a taskforce at the campus level was counted as one instance of campus or extramural leadership experience. A listing as “editor” of two different journals for one year each or editing the same journal for two different years would count as two instances of editor/editorial board service. Depending on the way that information was provided on the CV it was not always possible to determine the duration of the professional service, so in such cases the activity would be counted as one instance. Professional association membership was counted as one per association without regard to the number of years of membership. Table 4.7 only shows those who listed participation in a given activity on the CV and counts as "missing data" those who did not list the activity. For more information on the methodology used, see Chapter 3, pages 76-82.

Table 4.7

Participation in Professional Service Activities

Type of Professional Service	N	%	Measure of Participation			
			Mean	Min.	Max.	Std. Dev.
Campus or Extramural Leadership Experiences	37	90.2	6.6	1	18	5.1
Committee Participation	35	85.4	11.2	1	60*	13.7
Editor/Editorial Board	34	82.9	13.8	1	48	13.2
Professional Association Membership	29	70.7	5.4	1	17*	3.8
Advisory/Programmatic Review Board	27	65.9	8.7	1	39*	9.4
Corp. or Non-Profit Board Member**	22	53.7	3.6	1	11	3.2
Review Board: Grant or Scholarship	21	51.2	6.0	1	31*	7.0
Consulting Work**	18	43.9	11.6	1	56*	13.2

*Includes outliers that were removed prior to data analysis for correlation.

** May be compensated, but is not the primary form of employment.

Participation by academic leaders in different professional service activities varied widely. Some types of professional service were reported on CVs by fewer participants (e.g., consulting work), while other types were reported on the majority of CVs (e.g., campus or extramural leadership experiences, committee participation or editorial service). Table 4.7 lists the activities

in order from highest to lowest participation levels. This listing shows the most common professional service career experiences that preceded advancement to the current academic leadership position and provides a partial answer to research sub-question 1.a. With the exception of consulting work, each of the categories of professional service shown in Table 4.7 had a 50% or higher level of participation by academic leaders in the study.

The frequency of participation in professional service categories also varied widely among those who did participate. For example, while 83% participated in editorial-related service, some served on only one or two editorial boards and others indicated more than 40 different instances of editorial-related service on the CV. In several categories, participation levels varied so widely that extreme cases more than three standard deviations from the mean were removed prior to analyzing for correlations, so that these outliers would not unduly influence analyses given the small sample size. Table 4.7 indicates these categories with an asterisk.

Deans and CAO/provosts identified some of these professional service activities as being good preparation for administrative leader roles, and for gaining exposure as a potential candidate for such positions. Part of the answer to research sub-questions 1.b. and 1.c. includes three types of professional service activities that were identified by deans and CAO/provosts as providing the best preparatory development for the position of dean and other senior academic leadership positions: serving on campus or university systemwide task forces, committees and initiatives, leading professional associations, and serving as the Chair of the Academic Senate. These activities will be explored further in the next section.

Extramural/Professional Service Activities that Provide the Best Preparation:

The Deans' Perspective

Leading or serving on campus or university system-wide committees, task forces and initiatives, serving as an officer in a national or international professional society, and serving as the Chair of the Academic Senate (shown earlier in Table 4.1), were cited as the most helpful for leader development among professional service experiences. These roles were seen as enabling development of a broader perspective or providing practice in different leadership skills, as well as providing exposure and recognition as a leader. Each of these three types of professional service will be examined for the benefits they provided for leader development.

Benefits of Leading Campus Task Forces and Committees

Almost all of the participants (90%) in the CV study had the experience of leading some type of campus or extramural committee or task force. This activity was one of the most widely shared professional career experiences found in the CV study, second only to participation in scholarship. These experiences helped to broaden the perspective of participants, by helping them consider things from outside their own academic field, department or campus. Faculty members have a great deal of knowledge within the relatively narrow band of their discipline, but for leadership roles, a broader perspective is necessary.

Debra

You have to have a view of the whole, and it is very hard to have a view of the whole if you come up through the ranks as I did. It's in your foxhole. You know you get taller and taller in your foxhole, but it's still your foxhole. And so you have to make an effort to go outside of the natural comfort zone and boundaries of your discipline.

Michael

The Humanities Task Force was a good experience because we were asked to think about how to maintain or improve the quality of humanities research or teaching ...in a time of financial stress... So the resource questions were there right up against questions of academic quality. That's the basic problem one is continually dealing with in the position of dean. ...I think the experience of thinking with other people that way and then watching the consequences after the task force was over, that was key. ...I guess the general lesson to be drawn there is to give anyone who looks like they have some potential for leadership an experience in committees that are campus-wide or division-wide that ask them to think beyond the department.

In addition to broadening a faculty member's perspective, leading task forces, committees and initiatives can allow practice in planning, organizing, interpersonal communication skills, running effective meetings and leading a group toward consensus. According to CAO/provosts in the study, senior administrative leaders may also take notice of successful leadership of initiatives and task forces, which may lead to consideration for administrative leadership roles.

Benefits of Leading Professional Associations

Seventy percent of the study participants listed membership in one or more professional associations on the CV and several deans and CAO/provosts pointed to leadership in these organizations as helpful for developing one's leadership skills. One CAO/provost explained that this type of service showed that one was interested in leadership roles and also that others were willing to put their trust into the person. One dean, Mark, pointed out that taking on leadership in professional societies was a low risk entry point for a novice leader.

Mark

I would certainly recommend they get involved in professional activities because I think there's ...opportunity to gain experience in the kinds of skills you need as a leader. There's an opportunity to do that in a way that--professional societies wouldn't like to hear this--but for which the consequences are not so severe. You can test things out; you can do things there. If they don't work, it's not like your employer says, "Oh, you're failing." Right. You don't want to do that because it's going to affect your career. But you should feel like that's a testing ground--that's a place to try some of that.

In addition to being another type of testing ground for finding out if leadership is something that one would like to pursue further, leading professional associations can also provide knowledge and skill development. One dean pointed to experience she gained in budget and resource management while leading a professional organization through a period of crisis, that later helped her as dean.

Linda

I think what helped me, certainly helped me during the financial crisis, is that I have been president-elect of (a national professional association) when it pulled out of San Francisco because of a labor issue and we relocated [a conference] to San Jose. ...It hurt us, but if we had a stable financial situation to begin with it wouldn't have been that big of a hit, but it exposed our weaknesses as an organization and some of the mismanagement...That's really where I learned how to be more disconcerting about a budget. Then as dean, it enabled me to see that

there are a lot of contingent parts and that...it is so important to have your financial house in order.

Serving as an officer of a professional association provided one study participant with direct experience managing financial problems. For others it provided an experience in a leadership role, without as much reputational risk as taking on a first-time leadership experience in one's academic institution.

Benefits of Serving as Chair of the Academic Senate

Although it was among the less common professional service activities, service as Chair of the Academic Senate emerged as an important leadership experience for several participants in this study. While this is not a paid position and is considered a type of professional service, it was included among the leadership career experiences in Table 4.1, because in the University of California the responsibility and time commitment required of this role approaches that of a full-time position. Seven of the study participants had served as Chair of the Academic Senate, six of them within the University of California and one in a private university. Five of the 13 women (39%) in the study had served in this role, including the only female CAO/provost, who pointed to her service as Chair of the Academic Senate as influencing her to pursue higher-level administrative leadership roles. One of the female deans in the CV study, who had served as the Chair of the Academic Senate on her campus and subsequently served as the Chair of the System-wide Academic Senate, also indicated to the researcher that these experiences had been beneficial for her development as a leader. Since the time of the initial data collection for the CV study, this dean moved on to become the provost of a major university system.

Thomas

I think in general, (in) the University of California, the way the faculty get involved in the Academic Senate broadens their experience and...it gives faculty members a chance to put their toes in the water and find out if it's for them.

...I took a slightly unusual path to the deanship in that I've never been a department chair and that, of course, would have been very useful. ...The senate chairship was probably my main real training to be dean as opposed to the more tangential training of being a professor, so I know pretty well how the campus works, and I know quite a bit about how the university as a whole works.

Thomas' case is unusual, in that his participation as Academic Senate chair was his only significant leadership experience prior to becoming dean. However others in the study also found chairing the Academic Senate to be an important part of leader development.

CAO/provost D (on Academic Senate service)

I think the biggest thing is you move from wanting to get things for your department or program, to understanding a campus perspective and representing the breadth of the campus. ...That's kind of what we are looking for when we see people moving from the Senate or moving from a department chair to dean position. You're not moving to a dean so that you can get all the resources back to your department, it's you're now leading a number of departments and you're having to represent those interests at the campus level.

Serving as Chair of the Academic Senate provided study participants with a broader view and understanding of the university than they had in their role as a faculty member. In this study a

higher percentage of women than men utilized the Academic Senate chairship for enhancing their leadership skills and opportunities.

CAO/provost D

Just before I finished up my term as Senate chair, the vice provost for academic affairs position came open and I was asked to fill it on an interim basis. I think at that point I was realizing that I was stepping down as Chair of the Senate and it was going to kind of be a gap in my life. And so moving into that role was actually fortuitous. I realized, and I talked to some other people, and you get to a point where you kind of miss having that broader perspective, and the information, and being in the thick of things.

In this passage, CAO/provost D talked about a shift in professional identity. By recognizing that stepping down as Senate Chair would leave a "gap" in her life, she was describing her own self-identity as having shifted to encompass a self-identity as a leader. She had come to enjoy the broader perspective of a campus-wide leadership role.

Thomas and CAO/provost D's cases also demonstrated the value of gaining exposure in a campus-wide leadership capacity with senior administrators. In this case, CAO/provost D was tapped for an interim vice provost position after her service as Academic Senate Chair. Thomas, was asked to serve as an acting dean, and then named as dean, after having served as Academic Senate Chair, even without having served as a department chair. The Academic Senate Chairship allowed both of these individuals to gain a broader perspective, demonstrate their leadership ability, and gain exposure with senior leaders who later asked them to serve in interim, and then permanent, senior administrative leadership positions.

Besides the Academic Senate Chairship, two Academic Senate committees were also mentioned as useful for leader development by deans and CAO/provosts in the study. These included the Council on Academic Personnel (CAP) which handles academic personnel appointments and advancement cases, and the budget and planning committee, which provides committee members with a broad understanding of the campus' financial situation and strategies. Other kinds of Academic Senate committee service were not seen as particularly useful for preparation for administrative leadership roles.

Steven (served as vice chair of CAP)

It was useful in getting a kind of bird's eye view of the university. You know especially through what the faculty do and what counts as scholarly attainment in the various units and what the kind of culture is -- teaching and research culture -- which is not uniform throughout. And what would be considered extraordinary productivity in one area would be judged as quite weak in another just in terms of paper count. It was a good broadening experience.

This section has described how participation in the Academic Senate, and especially serving as the Chair, can provide important leader development opportunities for faculty members in research universities. Service as Chair of the Academic Senate enabled some study participants to gain a broader perspective of the university and how it works. This kind of professional service also enabled study participants to be noticed by higher-level academic leaders, which led to further opportunities for selection for interim and permanent academic leadership positions.

In addition to service on academic task forces and initiatives, or leadership roles in professional societies, experiences outside of academe can also prove very useful for leadership

development. One of the deans in the study had the unusual experience of running for election and being elected to a commission to rewrite a City Charter. Once on the commission, he was elected by his fellow commissioners to chair the commission. As a faculty member in a single-department professional school, he had not had the opportunity to serve as a department chair. Instead, this singular experience proved to be the best preparation that he could point to for his current role as the founding dean of a professional school.

Robert

There were 15 elected commissioners, one from each City Council District in the city... and it was a tremendous preparation for this role. To do anything took a majority of the commission; they were very independent people; ...It was much like leading a faculty on one of the votes. I had to manage a staff, and hire the staff, and oversee the staff. I was responsible for the budget. We had no money to begin with. I was responsible for doing fund-raising at the beginning because neither the mayor nor the city council wanted to. I had to chair meetings. I had many constituencies that I had to respond to. So I think of all the things I have done, even though it was outside of academia, it was the best thing that prepared me for this.

While Robert had not had the chance to serve as a department chair, he did have the opportunity to serve as Chair of the Academic Senate. However, in hindsight he described his professional service chairing a city commission as the most important development for his later service as dean. Robert provides a good example of the completely unplanned nature of leader development experienced by most of the study participants.

Summary of Findings on Extramural/Professional Service Activities

The examples of leader development received from professional service experiences both inside and outside of academic institutions provide further evidence of the varied, unplanned, and sometimes coincidental nature of leader development among academics in research universities. For some, professional service experiences helped to fill in gaps in leader development prior to assuming a deanship, such as learning additional financial and budgetary skills while leading a professional society through an unexpected challenge. For others who had not had an opportunity to serve as a department chair, professional service experiences, such as chairing the Academic Senate or chairing an outside commission, became the most important form of preparation before becoming a dean. None of these activities were taken on with the conscious motive of leader development for senior academic leadership positions. Instead they became part of the serendipitous patchwork of leader preparation described by study participants. In terms of which extramural and professional service activities academic deans identified as providing the best preparation for their current role (sub-question 1.b.), leading or serving on campus or university system-wide committees, task forces and initiatives, serving as an officer of a national or international professional society, and serving as the Chair of the Academic Senate were cited as the most helpful for leader development. In the next section we will consider academics' utilization of purposeful leader development through participation in professional development workshops and programs.

Participation in Professional Development Programs

Review of the curriculum vitae of academic leaders revealed little participation in leadership or executive development programs prior to assuming the current position. Nor did the CVs typically list orientation or training programs that academic leaders may have taken at

their current university. Overall, participation in professional leadership development activities was listed so rarely on the CVs of study participants that it couldn't be considered as an important source of leader development for academics in research universities.

The one exception was participation in the American Council on Education (ACE) Fellowship program, which is a program designed for academics who are interested in pursuing higher administrative leadership roles. Two participants in the CV study listed this on their CVs and this experience was pointed to as very helpful for leader development during interviews with these two deans. This program will be discussed further in this section. Only one other person in the CV study could be considered to have participated in a leadership development program as preparation for a senior leadership position. This vice provost had participated in the Hedwig van Ameringen Executive Leadership in Academic Medicine (ELAM) Program for Women immediately prior to assuming her current role.

Several had participated in leadership programs at Harvard while they were already in some type of leadership role. One dean had participated in a certificate program for Chiefs of Clinical Services at the Harvard School of Public Health and also a Physicians Leadership Program at his current institution while he was a department chair. Another dean in the arts had attended an Institute for Management and Learning In Education at Harvard while he was dean at another institution. Also one of the president/chancellors had attended the Harvard Business School Advanced Management Program while serving in a vice chancellor-level role and during the same year that he began his current position.

Like previous studies (Bisbee, 2007; Del Favero, 2006; Inman, 2011), this study found very low participation in professional leadership development programs or training as preparation for academic leadership positions. This should be considered an uncommon form of

leader development among academics in research universities. Also, of those who participated in any type of leadership development program, many did so not in preparation for a role, but while already serving in a leadership position.

Benefits of Professional Development Programs for Leader Development:

The Deans' Perspective

Among those interviewed, a few had attended some type of professional leader development. The two deans interviewed who attended Harvard programs did not find either of them to be very helpful in an immediately applicable way, however both described the programs as being helpful for increasing their networks. In addition to these programs, two deans commented on the usefulness of specific training programs in fund raising that they attended while serving as deans. Both found this type of training helpful, as they had had little prior fund raising experience.

William

I had no experience prior to that, and that was very revealing to me because after I became dean, I had no idea about fund raising. I knew it was done, but how to proceed? And I attended one conference with one of the staff members and that's when I really learned the A-B-C of fund raising, and that I think was very useful to me personally because they gave some pointers on how it's done and so forth. And it builds on with experience.

Linda

Anyone can learn how to fundraise. Go to a case development for deans...go to the beginning workshop, the boot camp, well worth it. I learned not to be nervous and ask someone for a million dollars and not blink an eye. I mean it

was great.

Another dean pointed to department chair training as helpful in explaining legal issues and responsibilities and how to reach important contacts on campus for advice when needed.

With the exception of the ACE Fellowship described in the next section, academic leaders did not express interest in attending training and development for leadership. Some found specific, targeted programs helpful once they were in their leadership roles, and others found expanding their peer network through leadership programs to be useful. In general, those interviewed did not volunteer the idea of training and development workshops as helpful preparation for academic leadership roles, however, based on CV data and interviews, the majority may not have had sufficient experience with these kinds of programs to form opinions about them.

Benefits of Participating in American Council on Education (ACE) Fellowship

In contrast, two deans described the ACE Fellowship program as very helpful preparation for academic leadership positions. They also cited it as having a big impact on their career paths and the decision to pursue higher-level academic leadership positions. The ACE Fellowship is a year-long fellowship that involves training and development workshops related to leadership, combined with the opportunity to shadow a senior academic leader and work on special projects. Of the two female deans who participated as ACE Fellows, one worked for two years as a special assistant to the president at her home university and the other participated as a fellow-in-residence at a university where she subsequently was employed as a special assistant to the president/chancellor and as a full professor. The ACE Fellowship is an opportunity to broaden one's view of higher education and administrative leadership, while also receiving mentoring from a senior administrator.

Barbara

I decided to do the ACE fellowship because (through founding a center I had) just kind of a glimpse of what it takes to get something done, and I realized that once you get into Higher Ed, it's hardball. If I was going to go any further in administration, I was going to have the tools to play well...So the ACE Fellowship in terms of a credential on my resume didn't get me anywhere, you know. But what it did is it gave me skills of how to get things done and it helped me make the transition from running a lab to moving an agenda.

After the ACE Fellowship, Barbara moved to the institution where she had done her fellowship year, eventually serving as a department chair and then dean. The ACE Fellowship was a significant career turning point for both of the deans in the study who had participated in it. It provided a type of preparation and development for later leadership roles that most academics do not have the opportunity to experience.

Summary of Findings on Professional Development Programs

While professional leadership development, such as the ACE Fellowship, was very important for two deans in this study, overall very few academic leaders had cited professional leadership development on their CVs, or described it as helpful to their development for leadership positions. Based on the findings of this study, professional leadership development is not being utilized as preparation for senior academic leadership positions in research universities. This finding reinforces similar findings by others (Bisbee, 2007; Del Favero, 2006; Inman, 2011). However, this form of development could be better utilized and as a few in this study pointed out, professional development did help some academics develop for leader roles. How to utilize

purposeful professional leader development in research universities will be considered further in Chapter 5.

Summary - The Benefits of Professional Career Experiences for Leader Development

This section presented findings regarding the commonality and usefulness of different types of professional career experiences that are typically cited on curriculum vitae for preparing academics for senior administrative leadership roles such as academic dean. The role of department chair was the most commonly shared role prior to serving in senior academic leadership positions, and was also described by both deans and CAO/provosts as the single best preparatory experience for an academic deanship. Department chairs were described as dealing with interpersonal conflict, overseeing faculty hiring and academic personnel cases and gaining some exposure to budget and resource issues. These were also identified by deans and CAO/provosts in the study as important roles and tasks of the dean. Chairs also interacted with the dean and gained a broader perspective on university affairs. However, experience in fund raising, as well as strategic planning, were typically not part of the role of the chair. Fund raising was described by deans in the study as the part of their job for which they had the least preparation. So, while the job of the department chair provided developmental preparation for many aspects of the job of dean, it did not cover everything. In addition, the experiences provided by each chairship were somewhat different, depending on the circumstances. Furthermore, while a majority of study participants did serve as chair, not all had this opportunity. On average, for those who did serve as a department chair, the length of service in the position was only 5.5 years, which may not be enough time to gain a high level of leader expertise (Lord & Hall, 2005; Ericsson & Charness, 1994). So while the position of department chair was the most commonly held formal administrative role prior to a senior academic

leadership position, and it was seen as the best preparation for higher-level academic leadership positions, it had a number of shortcomings in terms of leader development.

The role of director of a center or institute was seen as providing many similar experiences to that of chair, along with the potential for fund raising and strategic planning, which were less likely in many chair roles. In particular, serving as the founding director of a center or institute provided a wider variety of developmentally rich experiences than many chairships. In addition, because study participants tended to serve as directors for longer periods of time during the career (7.9 years) than as chairs, depending upon the particular circumstances, the role of director may have provided many with a higher quality and more dense leader development experience than the role of chair. The role of director, and founding director in particular, should be considered as another of the best leader development experiences available to academics.

Several types of professional service activities were also found to be useful for preparation for administrative leadership roles. Chairing the Academic Senate was described as helping to broaden a faculty member's view of the university and how it works. This role served as a training ground and a testing ground for future administrative leaders, allowing them to experience and appreciate a campus-wide leadership role and also gain recognition in the eyes of higher-level administrators. This was the best of the professional service activities in terms of leader development. Unfortunately only 17% of study participants experienced serving as Chair of the Academic Senate. In contrast, the vast majority of study participants had the experience of chairing a campus or university system-wide task force, committee or initiative or serving as an officer in a national or international professional association. These kinds of experiences were

seen as helping to broaden one's view of the university, while gaining recognition and experience leading others, and should be considered as beneficial for leader development.

Professional leader development programs were utilized very infrequently as preparation for academic leadership roles. Few of the academic leaders in the study indicated participation in professional development activities on their CVs. Of the interviewees who had participated in them, some programs such as workshops on fund raising, were seen as more valuable than other kinds of professional development. These were not attended as prior preparation for the deanship, but after the fact, once already on the job. The ACE Fellowship program, which had helped two deans gain significant insights into academic leadership and helped to influence the path of their careers, was the only kind of professional leader development program that study participants pointed to as valuable preparation in advance of university leadership positions.

In terms of answering sub-question 1.a., the most commonly shared professional career experience found on CVs that preceded advancement to academic leadership roles was first and foremost personal research and scholarship as evidenced by publications (listed on 98% of the CVs in the study). Among professional service activities, the most commonly shared experiences were participation in leadership of campus or extramural task forces and committees (90%), participation on committees (85%), editorial boards (83%), professional associations (71%) and advisory or programmatic review boards (66%). Less commonly shared, but still shared by the majority of academic leaders in the study was participation in the formal administrative leadership positions of department chair (61%) and director (56%).

However the degree of usefulness of these experiences as leader development or preparation for senior academic leadership positions, such as dean, was not proportional with the level of participation in these experiences. Among professional career experiences, deans and

CAO/provosts in the study described the formal administrative position of department chair as the single best preparation for higher-level academic leadership positions, followed by experience gained from the position of director. Both deans and CAO/provosts also described experience gained from some professional service experiences as useful preparation, including chairing the Academic Senate, followed by leading campus-wide committees or extramural professional associations. CAO/provosts also pointed to a high level of academic achievement as necessary for consideration and selection for senior academic leadership positions, in particular for the position of dean. Scholarship itself was not described as directly applicable to learning how to perform the roles and tasks of senior leadership positions, such as dean, but it was seen as important for gaining the respect of the faculty. If answering the overall research question, "Which career experiences best prepare academics for university leadership roles in the 21st century?" based only on the professional career experiences found on curriculum vitae, the best leader development and preparation available to the academic leaders in this study would be found in formal administrative leadership positions such as department chair and director, and professional service chairing the Academic Senate, leading campus-wide committees, or extramural professional organizations. However participation in these experiences was typically not intentional, as preparation for academic leadership positions. Instead the CVs of study participants revealed varied and uneven participation in the types of professional career experiences that provided the best preparation, which resulted in an incomplete patchwork of leadership development for study participants.

This section also revealed the major trade-off that academics must make between time spent on scholarship and time spent in administrative leadership roles. In order to be considered for senior academic leadership positions in research universities, academics must first be

recognized in their field for a high level of scholarly achievement. They also must have sufficient administrative leadership experience. Each of these takes a great deal of time to achieve and this becomes a dilemma for leader development among academics in research universities.

Moving beyond different professional career experiences cited on CVs, the next section considers different types of influential career relationships that were identified during the interviews with academic deans and CAO/provosts. These types of interpersonal relationships can also be considered as part of the overall career experiences of academic leaders. Findings related to mentoring and role modeling will be presented for their value in helping academics develop for administrative leadership roles. The developmental benefits provided by staff members and external resources, such as executive coaches and consultants, will also be discussed.

Influential Career Relationships: Filling in Gaps in Leader Development

This section examines a number of different types of interpersonal relationships that academic leaders described as important for learning their administrative leadership roles and responsibilities. While some of these career relationships served as preparation for future leadership positions, many of them were important for filling in gaps in leader knowledge and skill and contributed to development that occurred on-the-job, for the current position. These relationships represent career-related development that is not found on curriculum vitae, so this study was not able to quantify participation in these kinds of influential career relationships. These kinds of relationships were very memorable and sometimes powerful as leader development for those interviewed. Compared to talking about ways in which different professional job and service experiences prepared them for their roles, it was much easier for

participants to recall specific interpersonal moments or relationships that enabled career or leader development.

Deans' and CAO/Provosts' Perspectives on Influential Career Relationships

Deans and CAO/provosts in the interview study described a number of different types of career relationships that influenced their development as academic leaders, including mentoring, role modeling, staff members as teachers and the use of external consultants and executive coaches. Mentoring from higher-level administrative leaders was very important in a number of people's careers. Sometimes mentoring occurred earlier in the career before someone was appointed to a senior leadership position and served to help prepare them for later leadership roles. At other times mentoring was provided about the current role. Many in the interview study did not receive much or any mentoring of either kind. Instead, those who didn't have strong mentoring pointed to role modeling as a means of learning how to be an academic leader. For those who had resources to afford it, outside consultants and executive coaches were also used to fill in the areas in which the academic leader had little experience, or as professional mentors/advisors to help in leadership development. Typically, these external resources were sought out after a person was already in a senior leadership position and not as preparation for it. The role of staff members as on-the-job teachers, advisors and surrogates was also described as important for developing and supplementing skill or knowledge that the academic leader lacked. Lastly, the areas of developmental feedback and encouragement emerged from the interviews as elements missing from the leadership development of academics in the study.

The Benefits of Mentoring from Higher-Level Administrative Leaders

Good mentoring had a powerful impact on several academic leaders in the interview study. This kind of powerful mentoring was typified by relationships in which the mentor would

discuss his or her decision-making process with the mentee as opposed to telling the mentee what to do. This enabled the mentee to understand different issues, considerations and nuances of a situation and see it through the eyes of the more experienced administrative leader.

VanDerLinden (2005) and McDade (2005) found similar themes among community college presidents and administrators, where mentors helped mentees understand job politics and the big picture view of the institution, as well as provided encouragement and advice. McDade found that this kind of mentoring helped to "pack more developmental opportunities into a shorter period of time than could have been encountered naturally" and helped to increase leadership cognitive capacity (2005, p.778). The best example of this type of mentoring was provided by a dean who first experienced it as part of the ACE Fellowship program and then continued to experience it in her subsequent role as an assistant in the president/chancellor's office.

Barbara

(My mentor as part of the ACE Fellowship) would talk about what he was doing, why he was making decisions. He would put me in a lot of positions so I could see a lot of different aspects of the university. He was really good at opening doors. He was very willing to comment on his analysis. He was a very good mentor. (Later the president/chancellor) was a great mentor, because in doing things for him, he would sort of think out loud and I could see how he thinks and I really valued that.

In this example, Barbara's mentor also provided exposure to different career opportunities that helped to broaden her perspective and network (VanDerLinden, 2005).

Another example of this kind of mentoring was provided by one of the CAO/provosts who had served as the Vice Chair of the Academic Senate with a Chair of the Academic Senate

who later became the president/chancellor of the campus. While Chair of the Academic Senate, this mentor started the practice of bringing the vice chair to important meetings with senior administrators on campus, such as the CAO/provost and president/chancellor. After these meetings the Chair and Vice Chair of the Academic Senate would debrief and discuss what had happened.

CAO/provost D

It wasn't formal, "this is what you should be doing for your career", but it was exposure with a little bit of protection, because he was in the forefront of it...I learned a heck of a lot in that couple years that helped me for years afterwards. The two developed a collaborative leadership style that continued in their current roles as president/chancellor and CAO/provost.

Two deans described being formally mentored by senior administrative leaders for a period of time after they were named to the deanship. One dean, Linda, moved up from a chairship at the same campus to the dean position. She was mentored about the role of the dean by the CAO/provost in 60-90 minute sessions once a week for the first two months of her deanship. The president/chancellor assigned a senior vice chancellor to mentor James after he arrived from a deanship at another university. The two met once a month for coffee for two years until the senior vice chancellor retired. James described this as very helpful because the mentor had been an administrator on the campus for a long time and was able to help him learn about campus politics.

James

It was good because she knew all of the players, and I think that if anything that is important, just to find out who the players are, and to figure out kind of their

territory, because as the new person--it really didn't matter that much here -- but my previous two deanships, it was pretty territorial and you kind of take everybody for face value, but everyone has an agenda.

James also pointed to mentoring he had received from the president of his previous university and also another president who recommended him for his first chairship at a different university. He remains in contact with the retired senior vice chancellor, as well as other senior leaders whom he calls upon for advice when he is "stuck."

Another dean had been able to find and maintain mentoring through many different kinds of relationships, and also pointed out that mentoring may be a mutually beneficial relationship.

Debra

I have benefitted from having mentors. I mean, first of all, that whole ACE experience was a mentoring experience in various ways, whether it's official training or unofficial. My former dean at (a previous university), who I became acting dean after, who was an outside corporate person, was a mentor. I mentored him about academia and he mentored me about leadership, and he's remained my mentor. I've had peers that have been phenomenally useful and friends that have helped me resolve issues--some of them in academia, some of them in business -- board members. One executive search head has been very, very helpful and candid.

Both Debra and James are examples of academic leaders who maintained a leadership mentoring network built from relationships formed over time, across multiple institutions.

A few study participants also described receiving job-related advice and mentoring from peers. One dean, Richard, had cultivated a group of colleagues whom he had trained with and

who were now in leadership positions at different institutions. Richard described calling upon his peer network for advice and counsel and appreciating the perspectives and support he received from this group. One of the CAO/provosts described learning from other CAO/provosts within the UC system when he was first appointed. Now as one of the most senior members of this group, he found himself providing advice and guidance for newer members. So in addition to mentoring from higher-ups, this study found that deans and CAO/provosts also benefited from mentoring and advice from peers.

Several of the deans who could point to receiving good mentoring had been the recipients of mentoring at more than one institution and in different roles. This may have occurred for a number of reasons, for example, the person may have sought out mentoring, been open to it and/or fortunate enough to be in positions where senior administrators supported a model of good mentoring. Overall, 44% of the participants in the CV study indicated on the short survey that they had received some type of mentoring for their current role. Among the interviewees, some who received good mentoring in some roles did not receive any mentoring in other roles. Unfortunately, many of those interviewed never had the experience of having a good mentor in any leadership role.

The Benefits of Role Modeling

Learning by observation, or role modeling, was the single most frequently described method for learning how to be an academic leader. Some also described a kind of reverse role modeling, where they did the opposite of what they observed in a "bad" leader, purposefully not practicing what they had observed from negative examples (Eddy, 2005). Ibarra (1999) developed a model of adaptation to a professional role that involved observing role models, experimenting with provisional selves, and then evaluating the provisional self against internal

standards and external feedback. Pratt, Rockmann and Kaufmann (2006) found construction of one's professional identity was influenced by social validation, including receiving feedback from higher-ups and peers, and identifying with specific role models. In both of these previous studies, role modeling had a strong influence on development of professional identity, as well as on understanding one's professional role. In this study, participants described remembering how other leaders had performed their roles in order to understand how to enact their own leadership role. In the last part of this chapter, issues of professional identity will be explored further. Here role modeling is discussed primarily as a way to learn what to do as an academic leader. This form of development by observation is available to all academics, however, one cannot understand the reasons or thought process behind another person's actions by simply observing them. In order to gain a deeper understanding, mentoring, as described in the previous section, is necessary.

Thomas

So I've never had what I would call a mentor. Lots of people give me advice. I do have a retired faculty member I eat lunch with regularly and bounce ideas off of. No, certainly until I became dean, I would say mentorship, certainly there was never any formal mentorship, and I would say not even very effective informal mentorship. I just kind of watched everything going on around me and tried to absorb the positive stuff and ignore the negative stuff.

Thomas' experience was more typical of those interviewed than was the experience of strong mentorship for a leadership role. Like many of the deans interviewed, he tried to learn from watching others as role models.

CAO/provost A

I've learned from people I worked with, from the two chairs for which I was vice chair, I learned leadership experience from them. From the dean for whom I was associate dean, learned from them as well. So it wasn't intentional mentoring, it wasn't like I am your mentor so listen to me. It was watching them in action and doing the things that I thought they were doing right. That's been very helpful.

CAO/provost A described his own vigilance in learning by observation and role modeling. Once in positions such as vice chair or associate dean, he purposefully paid attention to what the more senior leader was doing in order to develop his own skills and abilities. It is not clear that he would have done so without already having been in a junior leadership position.

One of the deans, Sandra, described a career in which she received mentoring, support, encouragement and sponsorship for higher-level positions from a number of deans, CAO/provosts and presidents at multiple institutions. In addition to drawing from this wealth of influential relationships in her career, she also described being able to learn from simply observing and listening. In particular she learned about political savvy from a former head of the CIA, who served as a university president.

Sandra

I overlapped with him for most of the five years I was there. I can see the impact he had on me because he was a whole different thing. He had come from a whole different world of political astuteness.

This example raises a crucial point about practicing role modeling. In order to do it, you have to be paying attention. While seemingly a passive process, the person learning must be a keen observer. It is likely that those who were learning in this way must have already been interested

in administrative leadership on some level or they would not have been paying attention to how administrative leaders performed their roles.

Robert

I've served under a number of deans, some of whom were tremendously successful, some of them weren't, and you often learn more from those who aren't successful than those who are. ...There's no doubt that I've picked up from the better deans. I'll give you examples, and there's things that they did that I couldn't do. At (another university), where I was 21 years, I had the same dean for 20 years, and my first 15 years he was dean under somebody else. Whenever he would go to meet with faculty, he would go to their office, so I try, though it doesn't always work out that way, to go to their office, or when I meet with my assistant deans every week, I go to their office. I think it's a sign of respect. It's small but, you know, I'm thinking of the little things I got from him. He always taught, and I saw how valuable it was that he taught. At that school there was an elected faculty advisory committee to advise the dean...and I copied that. (A dean at another university) was wonderful at making people feel valued, and I saw a very warm personality in that regard, and I've copied things that she did in that regard. So, no I can't say I've had anybody who directly said, "I'm going to mentor you as dean," but I had lots of deans to observe over the time I was a professor, and I copied a lot that they did well and have hopefully avoided some of the mistakes of some of those who it didn't go well.

Robert spent his career keenly observing leaders and practiced role modeling when he became dean. He is one of the deans in the study who considered taking a deanship early in the career,

but then decided against it for family reasons. He had an early interest in leadership. He served as the Chair of the Academic Senate. He also served as an elected member and chair of a commission to re-write a city charter. However he also loved his scholarship and teaching, and only finally decided to become a dean after 27 years as a professor, when he was offered the opportunity and challenge of founding a new school. This is a good example of an issue to be illustrated further in the next section on The Effect of Professional Identity on Leader Development -- the dilemma that someone like Robert faces as a faculty member interested in a senior academic leadership role, who also has a strong professional identity as a scholar and teacher.

The Benefits of Staff Members as Teachers

CAO/provost B

I remember the first day when I became chair of the ... department, I walked in, sat down and said, "Well, now what do I do?" you know, and fortunately, I had a good assistant who could tell me a little bit of what I was supposed to be doing.

This example makes the point that staff members are called upon to orient and train faculty members for administrative leadership positions. Most academic leaders in the study learned portions of their role from staff members at one point or another in the career. This was especially true in the areas of budget and fund raising, two areas in which academic deans in the study frequently rated themselves as less experienced. Some may find it surprising that staff members in research universities help administrative leaders to understand and learn their roles.

CAO/provost A

Faculty have to learn to rely on staff. They are not used to doing that, they were trained to do everything themselves as a Ph.D. student and continuing that on as

an assistant professor, often without a mentor, and they are not used to relying on staff. You get into a department chair position, you better really rely on your business officer because they know a lot more than you do. ...People that are successful in administration are the ones that have learned to rely on their staff and to delegate jobs, and to hire good people and then rely on them, instead of trying to micro-manage everybody.

Most study participants could describe a time in their career when a staff member played a key role in teaching or advising them. Learning how to work with and rely on staff members is part of the development necessary for faculty members who take on administrative leadership positions.

Several deans spoke in glowing terms about the staff members who helped guide them through the process of coming into their first deanship. Most deans relied on development staff to conduct fund raising activities and to provide advice and counsel about fund raising. The budget proved to be another area in which staff members coached and developed the dean. Here deans told different stories about staff members who were very helpful and took the time to explain and teach them about the budget or about staff members who did not want the dean involved in the budget and preferred to do it all themselves.

Sandra

I guess the most I learned was as dean at (another university). I had a chief financial officer there who was very capable and she really helped me. We would go over the budget together, we would kind of imagine scenarios, and I think what I learned was I had a pretty good grasp at the big picture. What constantly, and even here, will get me a little frustrated is all the different fund sources... (When I

came here) I had a great assistant dean for finance, she was used to deans kind of coming and going and she had kinda gotten weary of trying to explain it and she would rather I would just say to her, "I want to do this," and then she would go off and figure out how to do it. And I realize now that she retired, I probably shouldn't have let her just do it, but it was very convenient to just say, can you figure it out? Go do that. But now I have to do it myself.

One CAO/provost pointed out another problem with deans over-relying on staff members to handle the budget.

CAO/provost C

There are budgetary deficits, so you can't be inattentive to this but you've gotta have a really well-trained budget person. And not take the view, and this a real problem in academia, I'm sure its true elsewhere as well as here, "my staff right or wrong." (When) they tell you your budget person doesn't know what they are doing, listen (emphasizes) because it may be that they don't know what they are doing and they are just digging a hole for you. Maybe not invidiously, but just out of incompetence.

This passage speaks to the importance of deans and other administrative leaders understanding enough about each of the functions of their office to be able to effectively oversee the function and realize if a problem exists. In most cases being trained by one's staff may be the best way to learn for those who are not fully prepared to oversee an area, however, if the staff person is inept, deceptive or unwilling to teach, this presents a problem for one of the current modes of academic leader development.

The Benefits of External Consultants and Executive Coaches

Two deans discussed using external consultants for development of strategic plans. This is a viable option for those administrative leaders who do not have experience in a particular area, especially if it is something that is not encountered frequently, such as strategic planning. However, hiring outside consultants to either coach the leader through the process, or handle it themselves, can be expensive and is only an option for those organizations with enough available resources.

Hiring executive coaches for leadership development was discussed by two of the deans. One, upon his wife's recommendation, had hired a psychiatrist who specialized in organizations to coach him for several sessions on the role of the leader in an organization. He found these sessions to be very helpful for orienting him to the way people in the organization view the leader and for understanding counter-intuitive strategies to employ in order to be more personally effective. The other dean described using executive coaches more frequently, and after having found them personally useful, he also engaged executive coaches for his department chairs, as needed. This dean also used 360-degree survey tools to help him better understand his strengths and weaknesses as a leader. Based on this feedback and coaching about his communications within his school, he revised his strategy and approach to become more effective.

Richard

The other thing is that the executive coach can serve as, if you will, a mother confessor to a large extent. Because it's some person who is not in the organization but who understands the organization, so you can say, I've got a real problem with this particular... Here's the situation, here's what I am thinking,

what am I missing, what would you do, what are alternatives? So, a good executive coach is worth his or her weight in gold (and) can provide you with tremendously insightful information. ...You know, you start learning about, positions versus interests. You start learning a lot about conflict resolution. You start learning about how you can confront people who are basically not telling you the truth, but do it in such a way that you don't basically come out and insult them to the point that they completely close up. I mean, just a whole lot of nuances of leadership, which you would not otherwise (understand) because you weren't trained that way.

In this example the executive coach filled the role of an expert mentor and also a person providing targeted training in problem solving, decision-making, interpersonal communications and conflict management. These types of individualized coaching sessions substituted for leader development resources that may not have been readily available to the administrative leader earlier in the career or from other sources. Here, as with mentoring, the external coach accelerated the development process and enabled on-the-job leader development gains in a shorter period of time than would have occurred without the aid of the coach. Unfortunately only a few academic leaders in the study experienced these powerful leader development resources.

The Lack of Developmental Feedback and Encouragement

The most striking finding in the study regarding influential career relationships was the almost complete lack of actionable developmental feedback given to academics in administrative leadership roles. Encouragement and positive reinforcement of good job performance were also largely absent. When deans and CAO/provosts were asked where in the career had they received

feedback about their ability as a leader, almost all of the participants paused and could not come up with any example.

CAO/provost A

If I did not get feedback I was doing it well, if did get feedback I was doing it wrong (laughs)... There's not many 'atta boys' and positive reinforcement in these jobs. But you do know about it if you have done something that people feel was wrong. They will tell you instantly.

Informal feedback, when it was received tended to be negative. Formative developmental feedback to help improve academic leadership ability was infrequent, if given at all.

Barbara

It's amazing how many leadership roles we can have and not get formal feedback. You know you're doing a good job (when) they keep you in it, and you know you're doing a good job because you're successful at either bringing in money or, getting more graduate students, or gathering prestige or hiring faculty, so you have to assess your own effectiveness by what you're getting done, and sometimes people give you positive feedback...Even as dean, I barely get any feedback whether I'm doing a good or a bad job as dean, ... it's not particularly systematic and so you've really got to just be doing it because you think you're doing the right thing.

Barbara, and others in the study, described using metrics, such as money raised, student and faculty recruitment, or looking to external forms of feedback, such as the ranking of one's school in national polls, for signs of whether they were doing a good or poor job as dean.

Steven

To tell the absolute truth I never got formal feedback about my leadership ability (laughs) from anything. I think that doesn't happen. You know I think that I've had people say "good job" or otherwise. You know that kind of point out where I could have done things a little better. Well I haven't gone through a formal review as dean. When I applied for the job I assumed there was a kind of review of my performance as acting dean and I was told, you know informally, that the faculty in the division were really happy with it, but I never got anything written. And as it turns out I never will (because he is retiring.) So in the end I will never have any kind of formal feedback.

At the time of the interview Steven had been in the role for 7.5 years, including his time as an acting dean, without any formal review. Many would talk about having received a performance review at some point in the career. Only a few could say this happened on a regular basis. However, most found the performance review unhelpful in terms of developmental feedback about their leadership ability. One dean who had spent the majority of his career in industry compared the performance review process in academe with that in industry and found it to be lacking.

Mark

When I first got [a position in industry], there was very little feedback, but eventually, [it became] one of those things that industry just kind of did... Here, I would argue that [we need to find] ways to provide feedback to our faculty in a way that's consistent with the whole model... In principle you'd say there is feedback because they can read everything [i.e., in one's personnel case], but in

ways that's actionable, and as a formal process, we don't do so much of it. And to what extent that impacts people who want to get more involved in administration... I don't know whether there's even positive ways that we would say, "Yeah, by the way the committee felt like you demonstrated some nice capability in this area over here, which suggests you might be interested in administration. Have you thought about it?" I mean that's the kind of thing that happens in industry, right? But in general I don't see it happening here at the university.

Mark suggested that that the public nature of all written information in the academic personnel process at a public university may inhibit candor and pointing out any areas for improvement, no matter how small they might be. It may be that silence on areas for improvement, unless absolutely egregious, is the norm. This doesn't help administrative leaders in terms of developmental feedback. In contrast, one CAO/provost indicated that the review process she used for her direct reports was more developmental in nature and also helped to encourage academics to seek higher-level leadership positions, when appropriate.

CAO/provost D

So I have some direct reports with whom I meet specifically and give them feedback. But deans and vice chancellors, vice provosts, the president/chancellor and I both meet and I write the responses, he edits, we discuss a little bit before the person comes in, and we give again positive and negative feedback. It is also a time when we ask them what they want to do, where they want to go, what we can do to support that. ...I will tell people, "I think you could be, if you wanted to be, a provost or a president. I see that as a potential in your future that I think these are things you need to work on and what can we do to support you and help you in

that work?" Sometimes we know that that means that they may very well leave this campus, for a period of time. Just because we don't have those opportunities here.

Another CAO/provost also raised the importance of encouragement for those with potential for leadership roles.

CAO/provost C

Formally mentoring others in order to prepare them to become competitive for a leadership role? Not really. I don't spend a lot of time on that, although I will if I have got my eyes on someone for a potential rise within the hierarchy, tell them what skills I perceive them having and encouraging them to think expansively about their career. You do it too formally and it looks as if you are pre-picking the winner of what is supposed to be a competitive search. At the same time if you never encourage somebody they are rarely going to set their sights higher. And you have to help build their self-confidence.

Such encouragement was fairly rare among those in the study, making it highly memorable if ever received. Two deans vividly recalled conversations from decades ago, in which someone recognized their leadership ability.

Steven

The first time...I did actually hear something that was very, very gratifying. And that is my predecessor in the job said that I may have been even a better chair than (a legendary chair, who became President of the University of California). So I was deeply gratified when I heard that. I don't know if that count's as feedback. It was an appreciation.

John

I was an assistant professor at Harvard...and it was clear I was not going to get tenure at Harvard. So a couple of senior faculty came to me and said, you know, "We've been having this conversation, which is we don't quite know how to give you tenure, but we'd like you to be the department chair." So they kind of put a bug in my ear that they could recognize that I could potentially be a leader.

Developmental feedback is very important in order to improve one's ability as an administrative leader and also for construction of professional self-identity (Ibarra, 1999; Pratt et al., 2006). Unfortunately, as described in this section, it was not commonly provided to administrative leaders in this study. Encouragement of those who are seen as having leadership potential is also helpful for building their self-confidence, self-efficacy and moving academics to consider taking on administrative leadership positions (Chan & Drasgow, 2001; Komives et al., 2005). Here again, such encouragement was rarely given to the academic leaders in this study.

The Influence of Partner/Spouse or Family on Career Path

One other kind of relationship that influenced academic leaders' career paths was the relationship with one's partner/spouse or family. While this does not fall within the category of Influential Career Relationships, because these are personal and not career-related relationships, it became apparent during the course of the interviews for this study, that family relationships also influenced the career path and opportunities for leader development. Career mobility, and also deciding whether to take or remain in a senior administrative leadership role, was influenced in some cases by a spouse or partner. Robert cited "family reasons" for not being able to take several deanships offered because they required moving to another city. Another dean, Sandra, described her agreement with her academic spouse regarding career movement as "taking turns,"

where they would move for one partner to take a job and then the next time they would move because the other person wanted to take a job. Another dean, Linda, had also moved at times because of her spouse's job and at other times took a position because she wanted the new role. James described taking two of three deanships because of family reasons, once to be closer to an ailing parent and once because his spouse wanted to relocate. He also described his initial reason for transitioning to a career in higher education as being financially motivated for family reasons. Sandra, Linda and James were among the more mobile participants in the study, with each of them serving at five institutions and James also working in two previous roles outside of academe. Lastly, whether or not a spouse or partner enjoys participation in official events and appearances is a consideration for senior administrative leaders who are required to represent their school, division or campus at events on weekends and in the evening. A partner's dislike of participating in official events played a small part in the decision of one dean who decided to step down from a deanship at the end of the term. Overall, family relationships did play a role in different career-related decisions made by academic leaders in this study. In particular, the decision to relocate, or not, which impacted both timing and acceptance of administrative leadership positions was influenced by partner/spouse and family relationships.

Summary - The Contribution of Influential Career Relationships

As a partial answer to the overall research question, "Which career experiences best prepare academics for university leadership roles in the 21st century?" the influential career relationships identified as providing the best leader development were mentoring and executive coaching. Both of these kinds of relationships provided a high quality and developmentally dense experience in which learning and leader development was accelerated. Some study participants described relationships with staff members that also provided important skill and

knowledge development, however these relationships overall were not of the same developmental strength as was described in the best mentoring and executive coaching relationships. Unfortunately, role modeling was the most frequently reported form of leader self-development, but this kind of relationship was primarily one of observation, and as described by study participants, did not provide the depth of insight about cognitive processes that mentoring or executive coaching provided. A significant gap was found regarding the practice of giving developmental feedback or encouragement about leadership ability. Very few participants could point to times in their academic career when they received encouragement or actionable developmental feedback about their performance in a leadership role. This is a serious flaw in the academic leader development process found in the research universities studied, because feedback and encouragement are important for the development of professional self-identity as a leader, for increasing expertise, and also for increasing motivation to pursue and persist in leadership positions (Chan & Drasgow, 2001; Day et al., 2009; Ibarra, 1999; Komives et al., 2005; Lord & Hall, 2005; Pratt et al, 2006).

In terms of the academic leader development process, influential career relationships can be thought of as contributing to learning skills and knowledge needed for the administrative leadership position, and also as providing important social feedback to help make sense out of one's leadership experiences. Influential career relationships modify and supplement these experiences and help in forming professional self-identity as a leader. Pratt, Rockmann and Kaufmann (2006) described constructing professional identity as a process that involves an interplay of learning about the work itself and learning about one's professional identity. Work-related feedback and validation through role models occurs as part of influential career relationships (social processes) that can enhance professional identity development (Pratt et al.,

2006). When the nature of one's work and professional self-identity are in alignment, a sense of competency, self-esteem and agency occurs sooner than when these are out of alignment (Pratt et al., 2006). "Achieving alignment between identity and work is a fundamental motivator in identity construction" (Pratt et al., 2006, p. 255). In the last part of this chapter, we consider the professional identity of study participants and whether or not they had come to include self-identity as a leader in their professional identity.

The Effect of Professional Identity on Leader Development

The final section of this chapter provides findings related to academics' professional self-identities as scholars and leaders. Participation in different kinds of professional career experiences and influential career relationships, as well as one's personality, values, self-assessment of leadership expertise, and interpretation of one's leadership experiences, moved some academic leaders to reconstruct their professional identity as a scholar to also include the identity of a leader. While this study did not set out to investigate professional identity development, in seeking to understand the ways that academics develop for administrative leadership positions, the issue of professional identity emerged as an important factor. For many in the study, being asked a question about early preparation and development for a leadership role made little sense to them, because they had never pictured themselves becoming an academic dean or a CAO/provost and therefore had not actively prepared for such a role. Others, after getting some experience in leadership, were able to see themselves continuing in senior academic leadership positions. However, even for those interested in continuing in leadership roles, the tension around professional identity as a scholar versus identity as a leader was evident in the way that participants spoke of missing their research, scholarship and teaching when they moved into senior academic leadership positions.

Holding some self-identity as a leader contributes to the motivation to seek leadership experiences, and persist in leadership roles (Chan & Drasgow, 2001; Komives et al., 2005). Early leadership roles provide practice in leadership and help to develop leadership expertise (Day et al., 2009; Lord & Hall, 2005). Holding a professional identity as a scholar early in the career provided little motivation for most in the study to pursue early leadership roles, which contributed to the wide range of years of leadership experience found in this study. The cases presented in this section provide insight about how the interaction between professional experiences and influential career relationships affected interpretation of leadership experiences and self-assessment of one's own leadership expertise. These interpretations, combined with one's personality, and values related to scholarship and leadership, influenced whether or not professional self-identity was expanded to also include self-identity as a leader. The cases provided in this section portray senior academic leaders on a continuum from those who had expanded their professional self-identity to also include that of a leader to those whose self-identity was primarily as a scholar.

The Tension Between Professional Identity as a Scholar and Identity as a Leader

Academics in research universities enter faculty positions holding a professional self-identity as a scholar. Some move beyond a faculty role to an administrative leadership position, such as academic dean, vice provost, vice chancellor, CAO/provost and president/chancellor. The following passage clearly illustrates the tension between professional identity as a scholar vs. identity as a leader for academics who take on administrative leadership roles in research universities.

Barbara

I have always been ambivalent about an academic leadership role and the reason is I love doing my research, and I love the role of professor. It's something that I think is such an honor to have and it's an important position and a lot of my own identity and pride comes from being a successful professor. On the other hand, I frequently get called on to make things happen, and so that part of me that kind of can see something big, figure out how to pull together resources, leverage them, get people together and make something bigger happen, there's a certain kind of reward in that. And I've never thought, "Oh, gee, I like doing that, I want to become an academic administrator." But I could see as...people ask me to play increasing roles, it's because of that ability to do it, and because I say "yes" because I think, "Oh, that's rewarding as well." There's a certain intellectual reward in having a vision and figuring out how to move it forward. ...My own value is I don't want to be doing administration if I'm not effective at making positive change, because I could be doing my research and my life would be in some ways a lot simpler and a lot less stressful and, perhaps, rewarding, but what makes the rewards is being effective.

Barbara still felt a strong pull towards her research and role as a professor, even though she was one of the study participants with the most preparation for leadership, having served as a founding director, a chair and also an ACE Fellow. She also found value and personal reward in being able to enact positive organizational change as a senior academic leader. Each participant in the study struck his or her own balance in this trade-off between embracing a professional identity as a scholar and an identity as a leader.

Professional Entry as a Scholar

The vast majority of academic leaders in the study came into higher education careers through entry-level academic positions soon after receipt of their doctorate or other terminal degree (Appendix G). Fifty-nine percent began higher education careers as assistant professors, 27% as instructor/lecturers and 10% in entry-level research positions. Self-identity at that point in their careers was likely that of a newly minted scholar. Two participants entered higher education at higher levels after careers in industry, one as an academic dean and the other as a full professor and director. One participant began his career as a working artist and later entered higher education in a teaching capacity. None of the deans or CAO/provosts interviewed indicated that they had an early interest in academic leadership. To the contrary, if they developed an interest in academic leadership it came later in the career, if at all. Instead many participants talked about their interest in pursuing their research and scholarship and described taking their first administrative leadership role after being asked to serve, often in an interim or acting position. The career path of one of the CAO/provosts illustrates this pattern in the extreme.

CAO/provost B

When I became a faculty member...I had zero interest in being an administrator.

And I've never really sought out administrative positions...since I've been here, I was chair for six years and a confirmed dean of a college for one year, that's seven.

Dean of the Graduate Division for five, that's 12, and now it's about five here--17.

So I've been here 28 years and I've been an administrator 17. Never by choice.

The use of interim or acting positions is one way to "draft" faculty members, who may not be pursuing these roles, into academic leadership roles. Looking across the 41 CVs, there were 24 mentions of service in acting or interim roles for the positions of director, dean, vice provost,

vice chancellor and CAO/provost. This practice presents some problems for those who do not self-identify as a leader, and as a result, have not prepared themselves for senior leadership positions. Debra pointed to the importance of the union of preparatory experiences and one's own feelings about being a leader as necessary components of leader development.

Debra

One is about the explicit or the preparation, and the other is about the internal awareness. And I think both are important. You can be internally aware that (administrative leadership) is a career track you might want to pursue, but you might not have the opportunities to develop into that role or the aptitude, and/or the other is that you might be purely reactive and thrust into it without the self-awareness, and I don't think that one or the other is ideal. I think that in some sense an intersection between the two is better.

This passage highlights problems for leader development in academe. Many of the administrative leaders in the study were “drafted” into interim or acting leadership roles, often without having much forethought about what an administrative leadership role would entail. In addition, while some in the study had the fortunate experience of a long and gradual series of administrative leadership roles of increasing scope, or good mentorship from higher-level administrators, many did not have such preparation. In the following sections different administrative leaders' stories will be presented as case examples to illustrate the onset of interest in pursuing leadership roles, or the lack thereof. Different career paths, academic ambitions, and motivations influenced whether or not individuals came to embrace a professional self-identity as a leader with strength, with ambivalence or to reject this identity. The next section presents the cases of three study participants who had served in administrative leadership roles for many

years, embraced the professional identity of a leader, and had sought out their current senior leadership role.

Embracing a Professional Identity as a Leader

After receiving her undergraduate degree, Debra worked for a high-level political leader on strategic issues. She described it as “very high intensity, high activity, high kind of stress, and I liked it a lot.” She felt that she was having an impact on strategy and policy issues and she liked the pace of the work. She said that this experience created a preparatory moment of self-awareness -- that she “liked this high activity level and I liked having impact beyond self.” After this experience, Debra went on to “inadvertently” get a Ph.D., which then evolved into being on the academic career track. As an assistant and associate professor she was asked to take on various assignments, and while on an international trip with the provost, he suggested that she look into the ACE Fellowship. Her experiences as an ACE Fellow and working in the university president’s office had a profound impact on her.

Debra

I mean I had never seen somebody outside of a business school kind of thing, and it opened up my thinking about issues at a university. It was really fascinating and so between that kind of preparatory moment, as well as at some point I realized that while I did the academic thing well and could do it, it was an isolating experience for me and I missed the early life of the stress and multi-tasking and impact. And so it was this kind of preparatory moment with recalling what I liked doing, and so at some point I was asked to become the senior associate dean at the University after the two-year stint (in the president’s office), and I did. And then I became acting dean and then went to (another university as dean) and then here.

So, it's this cumulative set of experiences that build greater self-awareness, but also prepare you incrementally. It was never deliberate that I said I want to be an academic or that I want to be a dean. It never occurred to me.

In this case, Debra, who was the dean of a school of management, may not have entered academe with as strong an identity as a scholar as some of the others in the study, but after her experience working in the president's office, a growing interest in administrative leadership began. Her professional self-identity, after more than 12 years in two deanships, combined identity as a scholar and identity as a leader.

During her academic career, Sandra worked for five universities, sometimes moving from institution to institution for a job she was interested in and sometimes because her faculty spouse wanted to move for his career. At her third institution, she served as department chair and then associate dean, but did not describe herself as interested in seeking any higher levels of administrative leadership at that time. She went to her fourth institution as dean and found herself in the company of "a number of very generous men" who were very supportive, good role models, and mentors.

Sandra

There was a president there who kept recommending me for provost jobs and I finally said to him, "are you unhappy with what I am doing here as dean? I feel like every time I turn around I get a phone call that says (the president) says that you should..." But that was a great thing because it starts you thinking about what your next steps are.

At the time, this university had a 10-year limit on the length of time that one could serve as dean and during her 10 years, Sandra came to realize that she really liked being dean. This 10-year

term matches up with the length of time that Ericsson and Charness (1994) described as the length of time it takes to develop to an expert level. So as Sandra gained expertise, she felt comfortable as a dean and her professional self-identity shifted to that of an academic leader.

Sandra

So it probably was around 2005-2006 that I saw that 10-year limit coming and I was offered a couple of other jobs there. I could have been an endowed chair and be in charge of this big learning community... So certainly by 2005 or so I had decided that this is what I was good at, and that's what I really wanted to do, and then the decision was whether to look for another dean's job or look for a provost job. So I actually did both. And I decided on the dean's job because ... I was realizing as a provost you got 10 or 12 or how many deans and that wasn't so much fun. That's who you worked with. It wasn't that you had faculty and students. But certainly around that time, I think in the early years of being dean I thought at any moment I could have gone back to the faculty, but certainly at the end of that I thought that being on the faculty seemed too small. That it wouldn't have been fun to do that. I think in a similar way you know eight or nine months (as an interim president/chancellor) has made me reflect whether being dean is too small, because it is really fun to be at another level.

After having enough time in the role, Sandra had grown to enjoy her work as a dean. Sandra's professional identity had expanded to also encompass the identity of a leader. At that point, going back to a faculty role no longer seemed to be enough and she took another deanship at a different university. More recently, Sandra served as interim president/chancellor. As of July 2014, Sandra began a new role as president of a state university.

One of the CAO/provosts in the study provided another example of embracing the professional identity of a leader. He described a gradual path of administrative leadership roles of increasing scope. He also had the opportunity to serve as a chair of a center (similar to a director role) for 10 years, beginning as an associate professor. This extended run in an administrative role early in the career enabled him to develop expertise in that role (Day et al, 2009; Ericsson & Charness, 1994; Lord & Hall, 2005), which may have laid the foundation for the roles that followed.

CAO/provost C

Every administrative job that I took, I assumed would be my last administrative job. I never imagined when I became chair of the ...center that I would become chair of (the department) a decade later. When I was chair of (the department) I never imagined that I would be a dean. When I was dean I didn't want to become provost, because I assumed it would eat up seven days a week, and I had a family life and I didn't want to eat up seven days a week. But then my predecessor as provost took me to lunch and convinced me that it didn't have to be that way. Only six days a week (laughs). And so by then my self-confidence had grown. I had enough jobs already at different levels and places at the university that I felt I knew the place, and so once I overcame the inhibition about taking a job that would be overwhelming of all my free time, once I overcame that inhibition, I started at that point thinking yeah, I want to go for this. Interestingly, I had no self-doubt when I became provost. I felt I had a broad view of the University, I had been a center chair, I had been a department chair, I had been a dean, I had been executive dean of the college, and so I felt I had as much preparation as you

possibly could have for this job. I knew this job was going to be a lot bigger still, but I sort of welcomed the challenge.

As this passage illustrates, work-life balance is an issue for administrative leaders. Senior administrative roles take time in the evenings and weekends and can be all-consuming. Once this CAO/provost was convinced that he could maintain some personal life while in the role, he embraced the opportunity to become provost. By this time in his career, his self-confidence in his ability as a leader had grown, indicating he had embraced a professional identity as a leader.

This CAO/provost served for more than 40 years in the same institution. Over the course of his career, he had other opportunities to accept higher-level administrative leadership roles elsewhere, but he liked his institution and described himself as a “nester,” meaning someone who had settled in to one place and was happy there. In contrast to the “nester,” this CAO/provost raised the idea of academic leader “nomads” who moved from institution to institution in order to take deanships or other higher-level roles.

CAO/provost C

Others who don't get (a deanship or other administrative leadership role), they have bitten into the apple already and they don't get it and they are severely disappointed and they look for jobs elsewhere... We just had a dean who wanted my job. Came to me four years ago and asked me how long I planned to stay in this job (laughs). I told him, it's only been 3-and-a-half years ... I'm not going anywhere anytime soon. And so next thing I knew he had been appointed provost at [an Ivy League] university and now he's just been appointed president of [a flagship public research university].

...There are nesters and there are nomads. Now nomads could be people who are never content with where they are. Or they could be people who are seeking ...to move up a ladder and that's what they view as the way they have to do it, because they are not going to do it internally. So they have become nomads and that's not bad. That's just an alternative strategy.

This passage illustrates the choice that academics who seek high-level administrative leadership roles must make. At each institution there is typically only one dean in your field and one CAO/provost and one president/chancellor. If you want to attain one of these roles and the incumbent isn't leaving, you have to leave – become a nomad – to seek such roles. Of the 41 academic leaders in the study, 37% fell into the "nomad" category, having moved to their current institution to accept a senior administrative leadership role (Appendix G). Age also plays a part in this, because many academics who decide to seek administrative leadership roles, only decide to do so late in the career with a limited number of years left before retirement. In these cases, moving may be the fastest way to move up the career ladder. In addition, as one CAO/provost described, there is a great deal of competition for all of these roles, so mobility to pursue them at different institutions improves one's chances of being selected. Of course there are also other reasons why academics may move from institution to institution, for example dissatisfaction with one's department, higher wages, tenure, or family reasons, as was discussed earlier. So in addition to making a choice between scholarship and leadership, an academic must decide to move from institution to institution in order to more quickly pursue higher-level administrative leadership positions.

Ambivalence about Identity as a Leader

This section presents the stories of three academic leaders who did not pursue administrative leadership roles by choice, but instead where “drafted,” or asked to serve, sometimes in a series of roles over the course of the career. It is likely that these academics came to have some level of professional self-identity as a leader, given their many years of service in such roles, however, none of them talked about having desired a leadership role. The first case is of another CAO/provost, now retired, whose entire career was spent at one institution.

CAO/provost A

So I didn't come here thinking I was going to be the provost of the campus someday, I came here as an assistant professor hoping to get tenure and have a successful academic career. So 15 years into my career I am asked to be a vice chair, and I do that job and I go away and I am asked to be another vice chair and an acting chair when the chair goes on sabbatical, and I do that job, and go back to my professorship and then get asked to be an associate dean, and go back to my job, and get asked to be a (acting) dean, and so it's always been an advance for me in terms of the next job up, not that I was seeking it, but that the job sought me out. ...I have done a bunch of stuff in the Senate in terms of Senate leadership for various committees and then the [president/chancellor] had asked me to chair two campus wide committees for him successfully and so when he went looking for someone to be an interim [CAO/provost] he had had that experience with me and felt comfortable with me in my leadership skills and asked me to do this for a year--11 years ago (laughs)...Certainly the gradual leadership path has helped, where I didn't have to learn it all as a vice chair of a department or a chair of a

committee or a subcommittee. So every little piece of that leadership experience, I built on that, basically, as time has gone on. So I certainly couldn't have jumped into this position without having had any of those others before it. Even then it was a pretty big jump to go from being an associate dean of a college ...to being the [CAO/provost] for an entire campus. ...So the combination of the academic background and the Academic Senate experience and the gradual administrative experience, I think all came together, all converged in this job.

Interestingly, this CAO/provost had gotten a very early start in leadership roles. While in graduate school he had been elected to the Graduate Student Association chairship just before an external review of the department was conducted. He had to learn how to represent student complaints to external reviewers in an effective manner and found himself in faculty meetings for the rest of his time there. He felt that some of his ability to be effective as an administrative leader was inherent and part of his personality. Despite the early start and possible predilection for leadership, this CAO/provost described his administrative leadership career as unplanned.

CAO/provost A

Throughout my career I have thought what am I going to do when I am done with this administrative job? (laughs) ... My administrative career path is much like boiling a frog. So if you take a pan of boiling water and throw a frog in they jump right out. If you take a frog and throw it in a pan of cold water, it'll stay there and then you turn the heat on and as it warms up it relaxes the frog and before you know, you're cooked. So that's me. I'm cooked. (laughs)

People come in to academe not ...Not to be an administrator. They consider it as

service as part of their portfolio, but not a goal. But then some early on decide this is something I really like to do and I am going to make it my career and then they are the ones who start hopping around (from institution to institution) and moving up the ladder. The boiled frogs like me decided they want to go back to the professoriate each time and then are called back in.

This CAO/provost enjoyed his role and it is likely that he developed a stronger professional identity as a leader sometime during his 11 years in office, even though he never had to make the conscious choice to seek a leadership role.

The next two cases provide examples of people who had a strong interest in raising the quality and the ranking of their school or campus. Both insisted they had never wanted to be an administrator and that serving in administrative leadership roles was a service to the campus. Both continued their research to some degree throughout their service. The first example is of a CAO/provost who started his career at another institution and came to his current campus as a full professor 28 years ago.

CAO/provost B

Well, I've never been interested [in being an administrator]. When I became a chair, which was my first foray into administration, some members of the department were pushing me to do it. There was another faculty member who really wanted to do it, but the faculty and I did not want him to do it, so that was sort of a matter of self-interest, self-preservation. And I guess it was sort of a downhill slide from that point on. You know, from there I went to be interim dean of the college for a year, and could have continued on, but I really didn't want to give up my research, so I got out of that and then not long thereafter I ended up

being appointed dean of the graduate division. And that ended in June of '08, and I figured by then, ok that's the end of my administrative work and then ended up getting a call from [the president/chancellor] in February of '09 and he asked me to do this. And I agreed to do it through June of 2010 (laughs). So, it hasn't worked out quite the way that it was planned.

This CAO/provost also enjoyed his role, but spoke of administrative service in slightly negative terms. In the next passage he describes his motivation for serving as a leader and links it to his high scholarly and academic standards.

CAO/provost B

I try to lead by example. I work very hard and even though I'm over here in this position, I still have an active laboratory. ... I try to have a vision for what we're going to be doing. I try to be more than a manager. I don't want to just be a manager or paper pusher. I try to have a vision. ... So I try to present a vision for the campus. And some people are skeptical, and I just say look, we need to be the very best we can be, period. I've personally always wanted to be at a very good university, and so I think we always need to be raising the bar a little bit and increasing our expectations a little bit, but in a fair way.

This passage points to a difference between management/administration and leadership. Being a "manager or paper pusher" is described negatively, as a passive, unimportant role. Having a "vision" and being a change agent are active leadership roles that were seen positively by this CAO/provost. In addition to his interest in increasing the academic standing of the institution, in the next passage he also described a strong interest in helping others succeed. This points to one of the qualities that most of the participants in the study described as essential for all academic

leaders -- holding the benefit of others above the benefit to self and always seeking what was best for the school or the institution as a whole.

CAO/provost B

I think to be successful in these positions--all the way from department chair up to being the chancellor--I think one has to approach it--it's not all about me. Because if a person is in a position and it's building their ego and if they really thrive on the power, whatever little there might be, they're in the wrong position. They're the wrong person for the position. And I've never done any of these administrative positions, held any of these positions to build my ego, to feed my ego. And certainly I don't consider it to be all about me. ... You've got to find out if you really enjoy providing leadership that results in success for other people. ...That has to be a benefit that keeps you going... because, you know, you're not going to get rich doing it.

This CAO/provost was motivated by helping others and leading his institution to a higher level of academic standing. He might also be something of a "boiled frog," who had slowly grown accustomed to a senior leadership role. In this case, his professional identity as a scholar remained strong, as evidenced by his active research program. Both he and the CAO/provost in the previous section felt that high scholarship was a very important quality for hiring administrative leaders. However it is also likely that he had developed some level of professional identity as a leader, since he had persisted in administrative leadership roles for more than 17 years at his current institution. As of June 2014, CAO/provost B stepped down from his leadership role and retired.

In the next case, William felt very strongly that academics should not want to pursue administrative leadership roles, which probably indicates that he was only weakly self-identified as a leader and more strongly self-identified as a scholar. Like the CAO/provost in the previous example, William felt that it was very important that he had continued his research during his deanship.

William

The premise of somebody coming to academia is to do research and teaching, not to become an administrator. Administrators are a call made to you. Somebody asked you to be a chair of a department, and I think there's an obligation we have to the institution, that if the institution needs us, and we should always be up for providing and I should be available. And that's how I look at it.

...I stepped down as a chair in 2000, I took a sabbatical for a quarter and then I came back, and in 2001 the dean stepped down and then the campus appointed an interim dean who, again, asked me--I had just come back--and that could I be associate dean with him, and I said, "No, I'm done with my service and now I'm going back with the faculty." And he said, "No, I'll twist your arm and just do this job of associate dean for academic personnel." So I agreed to that and I served that, and in 2001 he passed away, the interim dean. So for about three or four months we were just, you know, reporting, there were three associate deans, and we were just reporting to the provost. And then in 2002 I was appointed as acting dean. So during that period from when I was acting dean, I really made up my mind that I would want to be considered as one of the candidates for the deanship because at that point I realized that I had obtained whatever I could in my

research, to some extent, and I was already an above-scale professor, so I was accomplished, and now I could really dedicate myself to doing something for the school.

William only decided to pursue the permanent deanship after reaching the highest level of full professor within the University of California system, the "above-scale professor." In addition, he was proud of the trajectory of his research career and had come to a point where he felt he could step away from it in order to serve as dean. This coming to terms with one's academic achievements and feeling fulfilled in that area before taking on a senior administrative role was important to several of the academic leaders in the study. This represents a two-staged career, first as a scholar and then as an administrative leader.

William

Dean, I find it very rewarding in that I can really bring the school to a certain level of excellence in a number of ways. I have the opportunity to hire faculty and there I can really play a big role in quality control...that is one of the motivators for me to really be dean that I can really affect the excellence of the school. And I have said since day one that I became even acting dean that I wanted to have people better than me, and that's how we can raise the level of excellence. And I'm not looking to blow my own horn, but now you can ask outside what the school was in 2001/2002 and where it is now. And quality of faculty research, outside recognitions of the faculty, whatever parameter you want to choose, we have done much better.

In William's case, like the CAO/provost in the prior case, pushing the school to higher levels of academic standing and achievement was very important. This motivation aligned with William's professional identity as a scholar and was important in his decision to take on the deanship.

Professional Identity as a Scholar

In this last section, two cases are explored in which the deans decided to step down after their service was completed. The first case features a dean of a school of medicine who never anticipated being a dean, and the second features a woman of color who took on the deanship after a failed national search. Both of these deans wanted to help their schools during difficult times.

In the case of Richard, the organization was facing a challenge because it was entering a period of difficult economic times, already in poor financial condition, and lacking a senior leader. Richard was a long-serving and outstanding chair of his department, which made him a likely candidate.

Richard

I had enjoyed wonderful success in the department of [name]. We had taken it from a division to a department, from a program that had never ever been in *U.S. News and World Report* and within six years it was ranked number 18 in the country. And the seventh year it was ranked number 18 in the country again and we were on our way to trying to crack the top 15, ... and we were the most highly ranked department in the ... school of medicine. Period. And during my time here no other department has ever cracked the top 20. But I had a great group of people that I was working with and we recruited some wonderful people and we were able to do some creative, innovative things within the department that

helped it to stand apart and gain national recognition. So I had no desire to become dean.

Richard was clearly very proud of his department and the success it had achieved over the course of his seven years as chair. Based on his description of the department's success, his administrative leadership ability as a chair was evident. He was quite happy working in his discipline as a chair and he resisted efforts to "draft" him to the deanship, as he described in the next passage.

Richard

There was a search committee established it was going to be an internal search for an interim dean. I was called by two individuals and asked about this and I told them I was not interested, at all. And then I was called again and I was asked if I would interview and I told them no, because I don't want the position. And then I was called by the search committee to not interview, but to just come by and provide background information and I said fine I can do that. And I did that. And then I was asked to take the position. Then I thought about it for a long time, because you know, I had no idea what it entailed, and what it came down to was that I was very thankful for the opportunities that I had been given during my first seven years that allowed me to build a department of [name]. Felt very indebted to, just the institution as a whole. The people who brought me here ...had been incredibly kind and good to me. Both of them were unfortunately no longer on the scene at that point in time. The school was definitely in very, very, challenging straits and I finally, I made the decision to do it because I felt that I owed something. That it was important to give back to an institution that had provided

an opportunity for me to have that good a time for the last seven years. So, I said fine. I served as interim until Feb. 2010 and then I was offered the permanent position and after a lot of thought I elected to take it and here I am.

Reminiscent of the participants in the last section, and the "Faculty-Citizen Dean" model (Bright & Richards, 2001), Richard felt obligated to serve his school in a time of need. Of all the participants in the study, Richard rated¹⁹ himself as the least prepared for his current role. This is likely due at least in part to the fact that a school of medicine is much larger and more complicated than almost any other type of school. In addition, Richard had not ever considered the possibility of becoming dean. When asked about how prepared he felt for the deanship when he first entered the role, he responded:

Richard

I had no idea. So during my seven years in [the department] the number of times that I sent an email to the dean, you could probably count on your two hands. My goal was to never cause him any concern and to do everything I could to build the school of medicine. I never went to a single dean's leadership council meeting, because they occurred ... when we happened to have our [department] conferences. ...And so I have never, ever, remembered going to a single deans leadership committee meeting in seven years. So I was totally out of touch with whatever a dean did, because why would I even spend time studying an area in which I had no intention whatsoever ever participating in, as opposed to taking all

¹⁹ Based on self-rating from the short survey conducted with the CV study.

of my time and pouring it in to helping the department move forward and doing things that I could, that I felt would be beneficial to the general campus.

Richard was the kind of department chair that CAO/provost D described as the kind they looked for when seeking a dean, "they are not always coming to us wanting money or wanting this or wanting that because they are managing [well]." He was also not interested in the deanship because of its trappings.

Richard

A lot of people I see, power, respect, I think this is what I need to do, blah, blah blah, blah, blah. And you go, title? I see a lot of people who are married to titles. God, I need a title. And you go why? Oh no, I need to be an associate dean, I need to be a senior associate dean, and you go excuse me? You think that amounts to a hill of beans? The only reason I became a chair of a department was not because I wanted whatever, but was because I had a different view of how a department of [name] could be run. So we were going to create the first totally minimally invasive department of [name] in the country and our residency program was going to be run like a four-year college and were going to have a curriculum. ...I do not understand why someone wants to become a dean. I really don't. Unless they can come in and say, the reason I want to become a dean is that I have a concept for running a school in a way that its never been done before and I want to see if we can make that happen.

At the time of the interview, Richard intended to step down from the deanship and return to his department at the end of his term, which he later did. His identity was more as a scholar interested in his research, his discipline and his department instead of as a senior academic leader,

at least not as dean. He had successfully turned around the financial situation in the school and had instituted a number of different practices with the hospital to increase efficiency and raise revenue. He had been fortunate (and wise enough) to be able to use outside resources for strategic planning and executive coaching, which helped to bridge any gaps due to his lack of preparedness for the role. He also had a series of financial officers who helped with the budget turnaround. Richard had done his duty and helped his school out of a difficult spot. It will be interesting to see if he remains in the department, or if he will be drafted again, as so many others in the study had been over the course of their careers.

In the next and last case, Linda's story as a woman of color and first-time dean in very difficult financial times is highlighted. At the time of the interview, Linda had completed her term as dean and had stepped down. She was chairing a department that was not her original home department, prior to her deanship.

Linda had entered the deanship after a failed national search, which had become contentious over diversity-related issues. The CAO/provost asked her to serve as the interim dean and then offered her the position. Prior to this Linda had worked at four previous institutions and had been an acting director, a director two times, and a department chair three times, totaling 14 years of leadership experience prior to the current role. In terms of her scholarship, she had published 11 books and 68 journal articles. She had received 36 awards or fellowships, by far more than anyone else in the study. She had also served as the president of two national professional associations. Linda had a high level of academic recognition in her field and also had years of administrative leadership experience.

Linda

I was drafted to this position, had no idea really what I was getting into. Being chair of a 36-person department is very different than having 170 faculty, and of course 2008 was not a great time to become dean and not a great time for learning on the job. ... I had a very hard time shaking the idea that I was the administration's girl. There were two letters; two departments publically opposed my appointment. One department thought that I was just going to be a doormat and basically the point person for the administration -- that I couldn't stand up for the school. And the other letter was that I was a brutal power player. So I felt like all the [ethnic] stereotypes, I can be a spitfire and a doormat!

One of Linda's lessons-learned was that if you are an internal candidate, make sure that there is enough faculty good will and support for your deanship, before accepting the position.

Linda

And I think that was the thing that was jarring for me personally, being dean, was the fact that I had worked very hard all of my career to gain respect. You know and not being seen as the token. ...When I became dean I felt like I was an assistant professor all over again, in terms of questioning my credentials. ...I think some colleagues ... were in absolute shock when I was inducted into the American Academy, because in their minds I just wasn't quite good enough. So ... that was a reality check and I think that's something that for any woman or person of color going into a deanship, is that sort of realization in terms of perceptions of your ability, particularly for people outside of your scholarship who don't know you.

The lack of respect and questioning of her academic credentials was surprising for Linda, who was the only woman of color in the study. Encountering these kinds of attitudes and behaviors was not something described by any other interviewee. In fact, compared to others among the 41 CV sample, Linda had achieved very high levels of academic recognition and productivity.

Linda described learning from on-the-job experience and from mentoring by the CAO/provost. She also received mentoring and on-the-job training from her staff, whom she described as a "wonderful staff" who helped to "guide her through the process" as a new dean. Overall she felt less prepared for the conflicts and interpersonal issues that she had to handle as dean.

Linda

I am the kindergarten cop, you had people who did not learn how to share when they were three. I mean it's the truth. I mean you had people who basically I would referee fights. Either within department or across departments. And that got to be really tiring -- conflict resolution. I spent a lot of time in conflict resolution. And particularly as the...squabble for resources just became more intense and I had to make some really unpopular decisions.

Linda described her years as dean as stressful. Her tenure coincided with a serious budget problem in the University of California. She had to cut some programs and lay off staff members. She described her approach as consultative, working with faculty task forces to consider issues, and also holding many town hall meetings to ensure transparency. Many of these sessions turned into opportunities for a lot of venting by faculty members.

She worked long hours, "I would listen to people all day and then at night I did my work." Different student groups and faculty factions denigrated her. On more than one occasion

a faculty member "screamed" at her in her office. She felt she developed a "hard edge on the job" which she hoped she had lost, now that she is no longer dean. While she laughed about some of these incidents during her interview, it was clear that they had been painful.

She was most proud of being a change agent and helping to enable some diversity-related hires and tenure for two women who deserved it, but whose departments were not supportive. Linda also had some regrets regarding her deanship.

Linda

In one sense I really did regret doing the job, because I think my research fell behind and I am playing catch-up right now. I also regret the fact that I lost friendships. I regret the fact that I had a real good deal in [my old department], really great colleagues, we all got along and the department has just imploded and I don't know why.

Linda described enjoying teaching and focusing on her research again. She clearly identified with being a scholar. However, people continue to ask her to take on senior administrative leadership roles.

Linda

I thought about it hard... because I have had a number of opportunities. I have been told by someone who would like to do what I have done, but doesn't have the experience that I have had, "[You] are the only [woman of color] who is at the same age and experience level to really move up in the system. Why aren't you doing it?" I laughed, I said do not guilt-trip me. ...It's not what I am. I'm a researcher, I'm a teacher. I can do administration, but I won't. I got high blood pressure on this job and acid reflux that I didn't have. And you know, I'm glad

what accomplishments I have I am glad that I did them, but it's not something I'll go back in to. I'm just not willing to.

In Linda's case many factors converged to make for a very challenging deanship: coming in after a failed search, bad financial times, a contentious faculty, lack of preparedness in some areas, and her own temperament. Prejudice, disrespect and racial microaggressions (Solórzano & Perez Huber, 2012; Sue, Lin, Torino, Capodilupo & Rivera, 2009; Valverde, 2003) also appear to have contributed to undermining her authority at times. Had the environment been less hostile, perhaps Linda might have come to identify more strongly as a leader, or perhaps her own love for scholarship, teaching and research would still have prevailed.

Three of the other four (white) female academic leaders in the interview study also pointed to barriers for women in leadership roles. Barbara talked about the need for women in science to keep up a high level of research.

Barbara

I always try to argue for women to, especially in a research institution, to keep up and push their scientific credentials, you know, as much as possible, and don't let that slip, because you have so little creditability that as soon as you don't meet the same standards, your effectiveness will be minimized.

Both Barbara and Sandra described a narrower range of acceptable leadership styles and behaviors for women in academic leadership.

Sandra

I am often aware of what I perceive to be a narrower appropriate behavioral repertoire. You know I would see men who were either faculty members or other deans just have hissy fits about something and slam the table. And I would often

think, boy if I did that, that would be a turning point in the way people, would perceive me. And its not in my personality to do it, but ... I was more aware of how that would be perceived and it would have far more negative consequences for me, or at least I imagined that it would have more negative consequences for me than it would for a man.

CAO/provost D had a different experience. She had been told by her dean that she "wasn't good with conflict" and should not pursue the vice chairship of the Academic Senate. She interpreted this to mean that the dean thought that a person had to have a more masculine style and yell and scream to handle conflict, which was not her style. She simply ignored his advice and took the vice chairship. Barbara, Sandra and CAO/provost D felt that, while they were aware of these kinds of gendered standards, their careers had not been seriously impeded by them.

This study cannot adequately address issues of bias and microaggression for academic leaders in research universities, because of the small number of women and persons of color who participated in the interview study. It was also not the purpose of the study to investigate such questions. However, Linda's case raises serious issues that point to the need for further study of barriers that women or persons of color may face in academic leadership positions.

Summary -The Effect of Professional Identity on Leader Development

Academics in this study began their careers with a professional identity as a scholar. In order to be motivated to persist in or seek higher-level administrative leadership positions, it is necessary for faculty members to also embrace a self-identity as a leader (Chan & Drasgow, 2001; Komives et al., 2005). Some, like Debra, were aware early on in their careers that they were interested in leadership roles. Others like Sandra and CAO/provost C came to the realization that they enjoyed the challenges and scope of administrative leadership positions,

after having served in them for many years. Some academics never sought out administrative leadership positions, but instead were drafted, or asked to serve in these roles. For these faculty members, such as William, a sense of citizenship, duty and obligation to the school or institution moved them to fulfill administrative leadership positions. Sometimes faculty members were asked to serve over and over again during the course of many years, until academics like CAO/provost A and CAO/provost B became "boiled frogs," accustomed to the role of academic leader. These administrative leaders had some ambivalence about holding a professional identity as a leader, and some more than others felt strongly about their professional identity as a scholar. Still others, like Richard and Linda, took a turn as an administrative leader, largely out of a desire to help the school, and then decided to return to their role as a faculty member or a lower-level leadership role, such as department chair. For these academics, their professional identity as a scholar, and love of scholarship, teaching, research, and life in the department outweighed any interest they had in continuing in high-level administrative leadership positions. Inman (2011) and Wolverton and Gmelch (2002) also found similar examples of academic leaders who did not embrace the professional identity of a leader and preferred to return to their faculty roles.

This study identified three types among the administrative leaders interviewed; those whose professional self-identities had expanded to also include that of a leader, as evidenced by their interest in seeking high-level administrative leadership roles; those who held a weaker professional self-identity as a leader, yet continued to serve in administrative leadership roles; and those who decided to return to a lower-level administrative role such as department chair and/or a faculty role in research, scholarship and teaching. Professional identity among these types should be thought of as on a continuum with those who hold more professional self-identity as a leader on one end of the spectrum and those who hold less professional self-identity

as a leader and more self-identity as a scholar on the other end. Based on the interviews, pinpointing exactly where a person was on this spectrum was not possible, but behaviors, and espoused desires and values provided indicators of strong, weaker or little professional identity as a leader and/or stronger identity as a scholar. The importance of these findings is that one needs some self-identity as a leader in order to be motivated to pursue and gain practice in leadership roles (Chan & Drasgow, 2001; Komives et al., 2005). Academics in research universities enter their careers with professional self-identity as a scholar and may or may not adapt and expand their professional identities to also include that of a leader, even after years in leadership positions. Lower self-identity as a leader results in lower motivation to pursue leadership roles, widely varying ranges of years of experience in administrative leadership positions, and potentially lower levels of development for, and expertise in, senior academic leadership roles. In order to enable better development of academic leaders, we also need to attend to the issue of professional identity development as a leader and support this in academics earlier and throughout the academic leadership career. Increased social feedback about leadership and leadership ability, including mentoring, encouragement and developmental feedback, as well as more opportunities and support for experiencing leadership roles earlier in the career would help in increasing professional self-identity as a leader among academics in research universities.

Summary - Understanding Leader Development Among Academics in Research Universities

This study sought to answer the research question, "Which career experiences best prepare academics for university leadership roles in the 21st century?" In order to answer it, three sub-questions were also investigated: 1.a., "Are there common career experiences listed in

CVs, which typically precede advancement to academic leadership roles?", 1.b., "Which career experiences do academic deans identify as having best prepared them for their current position?" and 1.c., "What do chief academic officers (CAO)/provosts point to as key experience/preparation that they look for when considering candidates for academic leadership?"

To answer 1.a., curriculum vitae of 41 academic leaders were explored for common career experiences and patterns of participation in different types of activities. Years of formal administrative leadership experience prior to attaining the current position were found to vary widely across participants in the CV study. The most commonly shared professional career experience found on CVs that preceded advancement to academic leadership roles was personal research and scholarship as evidenced by the percentage of participants reporting publications on the CV (98%). Among professional service activities, the most commonly reported shared experiences were leadership of campus or extramural task forces/committees and professional associations (90%), participation on committees (85%), editorial boards (83%), professional associations (71%) and advisory or programmatic review boards (66%). Less commonly shared, but still shared by the majority of academic leaders in the study was participation in the formal administrative leadership positions of department chair (61%) and director (56%).

However, even though these were the most commonly shared experiences preceding advancement to a senior academic leadership position, they were not necessarily the most beneficial for leader development. The answer to 1.b. came from among the 13 deans interviewed for this study who described receiving the best preparation for serving in their current role as having come from their service as a department chair and/or as the director of a center or institute. However, as participants described, no two positions provided exactly the same developmental benefits, as the experiences encountered in each chairship and directorship

varied depending upon the particular circumstances. In addition, a few study participants described serving as Chair of the Academic Senate as providing important leader development. In terms of other beneficial professional service experiences, several study participants described gaining additional leader development through leading campus-wide, system-wide, regional, national and international committees, taskforces, initiatives and professional associations. Only two deans had the powerful developmental experience provided by the ACE Fellowship Program. Overall, professional leadership development programs were not utilized by academics in this study.

CAO/provosts answered sub-question 1.c. by pointing to a combination of high academic achievement and some administrative experience as important prerequisites for a senior academic leadership position, such as a deanship. High academic achievement did not in itself contribute to leader development, however it was seen as important for leaders to garner the respect of the faculty in a research institution. Study participants described pursuing high academic achievement as requiring a trade-off with time available to pursue administrative leadership positions, especially earlier in the career. Data from the CV study confirmed this trade-off, because there was a correlation between taking on early leadership positions and taking longer to reach the rank of full professor. So, the requirement for both high academic achievement and some administrative leadership experience created a dilemma in the careers of senior academic leaders.

In terms of leader development provided through influential career relationships, this study found that mentoring and external coaches (similar to professional mentors) provided the most developmentally dense experiences. Those in the study who experienced good mentoring relationships benefited a great deal from them in terms of acceleration of learning and cognitive

processes related to leadership. Sometimes mentoring occurred as preparation for future leadership positions. More often different kinds of career relationships provided on-the-job training and supplemented areas in which the academic leader lacked sufficient preparation for the current job.

Unfortunately, most participants in the interview study had not had a leadership mentor. Instead, role modeling through observation was the most frequently described form of influential career relationship for leader development, which cannot provide the kinds of key insights that a mentoring relationship can. Worse yet, almost no evidence of developmental feedback about leadership, or encouragement of academics in leadership positions was found. Not enough mentoring for leadership and little, if any developmental feedback or encouragement were likely contributors to the ambivalence and lack of professional identity as a leader that many study participants exhibited.

Constructing a professional identity as a leader was problematic for many academic leaders in the study. For some, self-assessment of one's expertise as a leader, interpretation of one's leadership experiences, and personal values regarding scholarship and leadership, led to expansion of professional self-identity to include identity as a leader, as well as identity as a scholar. Others were drafted into leadership positions, sometimes more than once, until they became accustomed to serving in a leadership role and became a "boiled frog," as one CAO/provost described. For these academic leaders significant adaptation of professional self-identity to include that of a leader was more ambiguous. For others, this expansion and adaptation did not occur and they chose not to pursue or continue in high-level leadership roles, and instead returned to the academic life of scholars and researchers. This study found that weak

professional self-identity as a leader contributed to a lack of planned leader development, less leadership experience overall, and lack of persistence in leadership positions by some academics.

In answer to the overarching research question, this study found that the career experiences that best prepared academics for leadership roles in research universities currently included serving in the formal administrative positions of department chair or director. Important preparation for leadership roles was also provided through professional service experiences such as chairing the Academic Senate, serving as chair of committees or task forces beyond the school level, and leading professional organizations. For those fortunate enough to have such experiences, this study found that good mentoring, executive coaching and participation in leader development programs such as the ACE Fellowship also provided important leader development. However even all of these forms of leader development were not enough to enable full preparation for the role of dean. Barbara, who had been an ACE Fellow, had been mentored, had served as a director and a chair, had attended some training programs, and who felt she had as much preparation as was possible, found the role of dean to be challenging, “Every year I think I’m learning as much as I did in five years of being chair. It’s on-the-job training as dean. It’s probably the hardest job I’ve ever done.”

Overall, this study found that leader development among academic leaders in research universities was unplanned, uneven, and did not sufficiently prepare academics for all the roles and tasks they faced as academic leaders. Largely through chance and coincidence, each academic leader had participated in a unique combination of preparatory or on-the-job learning experiences. The result was that each academic leader in the study had different levels of initial preparedness for the roles and functions for which they were responsible. Based on the findings of this study, more could be done by research institutions and senior academic leaders to help

intentionally develop academics for senior leadership positions. A model of the academic leader development process found in this study, discussion of the dilemmas related to development of academic leaders in research universities, as well as recommendations for an improved model of academic leader development will be provided in Chapter 5.

CHAPTER 5: DISCUSSION AND RECOMMENDATIONS

The Dilemma of Leadership in Research Universities

This study found that leader development among academics in research universities occurred through a number of professional career experiences and influential career relationships and not from any single common experience. Even for those who shared a similar type of experience, such as chairing a department, the benefits for leader development derived from the experience varied depending upon the circumstances. Some experiences provided a higher quality or density of leader development than did others. In addition to varied kinds of professional career experiences, the number of years of prior administrative leader experience (quantity) also varied widely across study participants. As a result, academic leaders in the study had different and uneven preparation for their senior administrative leadership positions. Many described utilizing influential career relationships with others, including mentoring, role modeling and turning to staff and external consultants as teachers and coaches as a way to supplement what they had learned through their professional career experiences. Here again, each person's developmental experience varied uniquely depending upon circumstances, resources, and the people encountered through the course of the career. Formation of professional identity as a leader, in addition to identity as a scholar, also varied among study participants. Professional identity formation impacted both development for, and tenure in senior academic leadership positions for the academic leaders in this study. The modes of leader development found among academics in this study are summarized in a model in the next section.

A Model of the Academic Leader Development Process in Research Universities

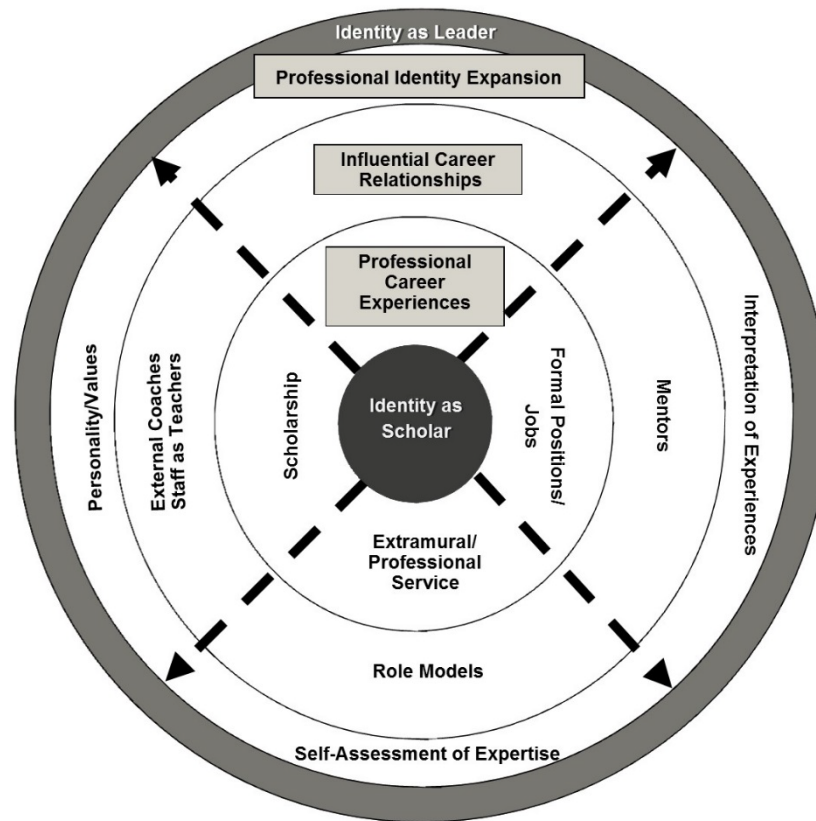
Based on the findings of this study, a three-part Model of the Academic Leader Development Process (Figure 5.1) was developed to illustrate key components of the academic

leader development process as it currently occurs within research universities. The model captures different types of career experiences that contributed to leader development among the academic leaders studied, including **Professional Career Experiences** and **Influential Career Relationships**. The model also illustrates the process of **Professional Identity Expansion**, from the starting point of professional self-identity as a scholar to ultimately including self-identity as a leader that was identified in interviews with some, but not all, of the study participants. I have developed this Model of the Academic Leader Development Process based on my findings from this study, as well as drawing from leader development research and theories (Chan & Drasgow, 2001; Day, et al., 2009; Komives et al., 2005; Lord & Hall, 2005;) research on professional identity development (Ibarra, 1999; Pratt, et al., 2006) and past research on the career paths, roles and tasks, and development of academic leaders (Inman, 2011; Moore, 1983; Moore, et al., 1983; Montez, et al., 2002; Twombly 1988; Wolverson & Gmelch, 2002; Wolverson, et al, 2001; Wolverson & Gonzalez, 2000).

My model provides a simple two-dimensional depiction of a complicated multi-dimensional leader development process, in which the interaction of different experiences, relationships, and the individual's own personality, values and self-efficacy as a leader combine in order to enable academic leader development. Going beyond prior studies, which focused on career pathways consisting of formal administrative jobs (Moore et al., 1983; Twombly, 1988; Wolverson & Gonzalez, 2000), this study and this model of academic leader development provide a more complete, integrated and nuanced understanding of the many elements contributing to leader development among academics in research universities. Future research can further refine and develop this model, which is offered here as a starting point for conceptualizing how academics develop from scholars to academic leaders.

Figure 5.1

Model of the Academic Leader Development Process



Professional Identity Expansion

The majority of academic leaders in the study entered the academy in an early career position as a faculty member or researcher, which aligned with holding professional self-identity as a scholar (shown as the inner circle of the model "Identity as Scholar"). Depending upon one's academic field, pursuing scholarship may have included entrepreneurial activities such as procuring funds to support one's research and/or managerial and leadership activities such as overseeing a research laboratory, in addition to one's own research, publishing and teaching. For some of the academic leaders in this study professional self-identity as a scholar expanded over

time, influenced by different professional career experiences and relationships, to also include professional self-identity as a leader. This is illustrated in Figure 5.1 by the dotted line arrows extending from the center circle, "Identity as Scholar," through "Professional Career Experiences" and "Influential Career Relationships", to the outer circle, "Identity as Leader."

For some of the deans in the study, like Barbara and Debra, embracing some identity as a leader occurred earlier in the career than it did for others. For these two academics, early identity as a leader was exhibited by early interest in participation in the ACE Fellowship. In turn, through the ACE Fellowship, which was a particularly dense leader development experience, Barbara and Debra received increased mentoring (Influential Career Relationships) and exposure to leadership roles, which helped to increase their "Motivation to Lead" (Chan & Drasgow, 2001) and their identity as leaders. This led to pursuit of higher-level leadership positions, more time and practice spent in leadership experiences (Professional Career Experiences), and the reinforcing effect of increases in leader expertise and leader identity, described by Day, Harrison and Halpin (2009) as part of the web of leader development (Figure 2.1). Ultimately Barbara and Debra expanded their professional self-identities to include professional identity as leader. Similar expansion of identity also occurred for others in the study at different points in the career. For example, Sandra and CAO/provost C, embraced professional identity as a leader after a fairly long series of leadership positions of increasing importance, and after a long 10-year stint in one leadership position.

For others in the study, embracing professional identity as a leader was incomplete or did not occur. Whether or not a person expanded his or her professional identity to also include identity as a leader was influenced by a number of internal factors, including personality and the personal value placed on practicing leadership versus scholarship, interpretation of one's own

professional career experiences, and self-assessment of one's expertise as a leader. For example, some academic leaders in the study described developing a "thick skin" over the course of their leadership experiences and did not interpret behaviors of faculty members personally. Others in the study, like Linda, who was newer to a senior leadership role and who also experienced particularly egregious faculty attacks, took these kinds of behaviors to heart and at the end of her deanship preferred to return to scholarly pursuits. Another type of example was provided by Richard, who was an exceptionally highly accomplished scholar, with more publications than anyone in the study, however, he rated himself as much less prepared for the deanship than others in the study rated themselves. Richard was serving in his first deanship and chose to step down from the deanship after his term ended. It may be that it was uncomfortable for someone who felt very highly expert as a scholar, to feel so much less prepared for being a dean. So, different combinations of experiences and one's interpretation of them, self-assessment of leader expertise, personality, and different values related to scholarship versus leadership, moved some academics to expand their professional self-identity to include that of a leader, while others continued to hold a professional identity closer to that of a scholar.

Professional Career Experiences

The Professional Career Experiences portion of the model includes formal administrative leadership jobs, extramural or internal professional service experiences and scholarship activities, such as conducting research, running a lab, teaching, and publishing. These professional career experiences provided opportunities for academics in the study to 1) practice leading others, 2) learn knowledge and skills for current and future leadership roles, and 3) develop more cognitively complex leadership models over time -- all components of leader/leadership development (Day, et al., 2009) that help to increase leader self-identity and expertise (Figure

2.2). The positions of department chair and director of a center or institute were identified by deans as providing the most developmental benefits for the role of dean. The professional service activities identified as providing the best leader development included leading committees and taskforces beyond the school-level, leading professional organizations, and chairing the Academic Senate. Scholarship was the professional career experience that was the most commonly shared by all academics in the study, and was important in the lives and careers of study participants, however it did not necessarily provide much additional benefit for leader development. Instead high levels of academic achievement and scholarship provided legitimacy in the eyes of the faculty, and perhaps also for the public, for serving in senior academic leadership positions in research universities.

Each academic leader in the study had experienced different combinations of professional career experiences. Every experience was also unique due to the particular context and circumstances, providing different levels of quality and density of leader development. In addition, the quantity of time spent in these professional career experiences varied from person to person and position to position. The end result was wide variation in years of administrative experience and leader development prior to the first senior academic leadership position for academics in the study. So, while the model of the Academic Leader Development Process provided here is a flat, two-dimensional model, each study participant's professional career experiences could be mapped on to the model to form different topographies, with a few tall peaks of high quality and developmentally dense jobs or extramural professional experiences, and other small, shallow areas depicting experiences that provided much less leader development. In addition to the widely varying quantity, quality and density of leader development provided by professional career experiences, study participants also pointed to some common gaps in

developing the knowledge and skills for the role of dean, including less practice and preparation for working with the budget, fund raising and strategic planning. These were areas in which study participants relied on influential career relationships, and sometimes on professional development, to supplement knowledge and skills they had acquired through professional career experiences.

Influential Career Relationships

The portion of the model representing Influential Career Relationships includes mentoring, role modeling, external coaches and staff as teachers. Study participants described these types of relationships as sometimes helping them prepare for future leadership positions, and more often as on-the-job supplements for knowledge and skills needed for the current role. Participants in the study described mentoring relationships with higher-ups as high quality, developmentally dense experiences, helpful for understanding different approaches and ways of thinking about leadership problems. Prior research indicates mentoring would also help in development of cognitively complex leadership models (Bensimon, 1989; Birnbaum, 1992; Day et al., 2009; McDade, 2005; Neumann, 1989; VanDerLinden, 2005).

Role modeling of other academic leaders through observation was the most frequently cited form of learning about how to be a leader. Academic leaders in the study often used this form of leader development as a guide for leader behavior, especially in the absence of good mentoring about leadership. Unfortunately role modeling through observation does not provide the same kind of quality or density for leader development as does mentoring. However, according to Ibarra (1999) role modeling is important for developing professional self-identity, as people compare themselves to role models and try out new identities.

Two less frequently described forms of influential career relationships included learning from staff members and using external coaches or consultants. Several study participants described having a staff member teach them aspects of their job at different points in the career, in particular related to the budget or fund raising. External coaching and consulting was a more rare form of influential career relationship, but when it was used it was described as a powerful and developmentally dense form of leader development.

Lastly, there were two kinds of influential career relationships that leader development theories and professional identity research (Day et al., 2009; Ibarra, 1999; Pratt, et al., 2006, Hannah, et al., 2008; Komives, et al., 2005) point to as important for leader development, yet these were largely missing from the careers of study participants. Few in the study could point to direct developmental feedback on their leadership ability. Instead some participants described receiving formal performance reviews, but said that these did not provide actionable development feedback to improve leadership. Also encouragement of participation in leadership from higher-ups and peers during the career was relatively rare, though some did receive this through mentoring. The impact of these missing elements will be further explored later in this chapter.

The Model of the Academic Leader Development Process has been provided here as an illustration of the findings of this study. This model cannot capture the variations in quantity, quality and developmental density of the career experiences and relationships experienced by academic leaders in the study. As a two-dimensional model it cannot adequately depict the complex, multi-dimensional, longitudinal and individual process of academic leader development. Instead it provides a simple framing of the current modes of leader development among academics in research universities. By comparing this model to leader development

research and theory, it also invites consideration of missing elements and problematic transitions that interfere with the development of academic leaders. The problems and dilemmas, embedded in the current model of academic leader development, will be explored in the following sections.

The Dilemma of Leadership in Research Universities

Academic leaders are expected to be both highly accomplished scholars and experienced, effective, administrative leaders in order for faculty self-governance of research universities to be possible. This poses a problem. Graduate school provides academics with the preparation necessary for scholarship and research, but no training for administrative leadership. Becoming a highly accomplished scholar takes a great deal of time, leaving less time to practice leadership in order to develop expertise as a leader (Day et al. 2009; Ericsson & Charness, 1994; Lord & Hall, 2005). So the dilemma of leadership in research universities is how to develop a supply of academics prepared to fill senior administrative leadership positions, who have achieved both distinction as scholars and expertise in administrative leadership, and who still have enough years, stamina and interest to serve as senior academic leaders.

At the root of this dilemma is the extremely high value placed on scholarship in the research university culture. High scholarship is necessary for legitimacy within the research university, but it does not, in itself, bestow the necessary knowledge, skills and experience to perform as a senior academic leader. It is ironic that the core value of the research university may also be what impedes these institutions in cultivating and developing the highly expert academic leaders needed to lead research universities in the 21st century. The high value placed on achieving distinction as a scholar disrupts development of academic leaders in three ways: 1) there is not enough time for individuals to effectively pursue both high scholarship and leadership expertise, 2) to continue in leadership roles, individuals must expand their

professional identity from identity as a scholar to also include a new identity as a leader, and 3) the organizational culture that has been built around supporting scholarship does not sufficiently support development of leadership talent. The following sections explore these issues in more depth.

The Trade-Off Between High Scholarship and Leadership Expertise

CAO/provost C

I think because most people in a place like (a research university) ... are just so immersed in their scholarly interests in both the research and teaching side. Some more than others on one or the other side that they don't want to take a job that is going to eat up two-thirds of their time and force them to make trade-offs.

In research universities there is a collective and individual pressure to attain and maintain high levels of scholarship for legitimacy as faculty members and also as administrative leaders. However, as was described by two of the CAO/provosts in the interview study, having a high level of distinction as a scholar was a "necessary but not sufficient" condition for becoming an academic leader. In addition to having a high level of scholarship, administrative experience was also necessary. The problem for faculty members is how to achieve both, when a person only has 24-hours in a day and until age 65 (or so) before retirement.

Once administrative leadership begins, the pace of scholarly productivity slows down, as many of the study participants attested. This was also shown in the CV study by the positive correlation between the length of time spent in administrative leadership roles prior to the current position and the length of time between the terminal degree and achieving the rank of full professor. So, in order to gain the experience necessary for developing leadership expertise (Day

et al., 2009; Lord and Hall, 2005), faculty members must trade-off scholarly activity and potentially slow down the pace of their academic careers. Those in the study with more years of administrative leadership experience prior to the current position were also likely to have started in the first leadership role earlier in the career compared to others, meaning that for some, this trade-off was going on for a longer time. Deciding if and when in the career to make such a trade-off to take on an administrative leadership position is one of the dilemmas of leadership in research universities.

Study participants described wrestling with the idea of slowing or setting aside their scholarship, research and teaching in order to take on their current positions. Many recommended not taking on administrative leadership roles, such as department chair until the rank of full professor was achieved. A few suggested that one should achieve a high honor, such as being inducted into a national academy, or waiting until the highest steps in the full professor rank had been achieved before becoming a dean. This reflected a two-stage career model, first achieving all you can as a scholar and then shifting to serving as an administrative leader.

Most of the participants interviewed did not completely stop their scholarship when they became a senior academic leader. Many felt it was important to try to continue some level of scholarship while in a leadership role, as an example to the faculty and as a way to maintain connection to their own research. However continuing one's scholarship was described as more difficult in some academic disciplines, where scholarship is more solitary. In disciplines where teams of researchers worked together, or for those who had their own laboratory, research assistants could help to continue one's research. So in this way, the type of scholarship one engages in has a differential effect on one's ability to continue research while in a leadership position. In any case, as academics took on higher-level senior leadership positions, the trade-off

between time spent on leadership responsibilities versus research and scholarship continued and became more difficult.

Delaying entry into a senior leadership position may mean missed opportunities for seeking higher-level leadership positions. Given the typical career sequence described in Chapter 4, of first achieving the rank of full professor and then starting a senior academic leadership role around the age of 56, a person might realize too late in the career that they would like to continue in a higher-level leadership role, such as CAO/provost or president/chancellor. This happened to one dean in the study, Steven (age 69), who expressed regret at waiting to become a dean so late in the career that he was now too old to pursue higher-level positions. Both the individual and the institution lose when expertise and the desire to continue as a senior academic leader are attained, only just in time to retire. The individual loses the opportunity to make an even greater contribution to the institution. The institution loses the accumulated expertise that a more experienced leader can bring (Day et al., 2009; Lord & Hall, 2005).

Faculty members must make personal sacrifices and trade-offs in order to hold administrative leadership roles in research universities. The emphasis on high levels of scholarly achievement for academics, combined with the pace of the tenure-track career ladder in research institutions, makes it difficult for faculty members to have enough time to gain experience in administrative leadership roles until relatively late in the career. Starting late in leadership means having less overall leadership experience and potentially more difficulty in the first senior leadership position, as well as missed opportunities for a longer leadership career. In order to gain more leadership expertise by taking on lower-level leadership roles earlier in the career, a trade-off must be made with scholarly productivity, which can slow the pace of one's rise through the professorial ranks. As one takes on higher-level leadership positions, such as

academic dean, scholarship and research are even more severely impacted. There are not enough hours in the day to fulfill the duties of a senior administrative leadership position and also focus on one's research, writing and teaching. Lastly, there is one more kind of trade-off to consider for those who begin a senior academic leadership role late in the career, and wish to continue in leadership positions. For some academics this trade-off is with the years one may have in retirement. As senior academic leaders continue in their roles past age 65 and even past age 70, they give up time with friends, family, and time to pursue scholarship or other interests during the retirement years. Ultimately, it is all about time. Academics in research universities do not have enough time during the normal course of a career to achieve both high levels of scholarship and high levels of leadership experience and expertise.

The Problem in Expanding Professional Identity to Include Identity as a Leader

Barbara

I have always been ambivalent about an academic leadership role and the reason is I love doing my research, and I love the role of professor. It's something that I think is such an honor to have and it's an important position and a lot of my own identity and pride comes from being a successful professor. On the other hand, I frequently get called on to make things happen, and so that part of me that kind of can see something big, figure out how to pull together resources, leverage them, get people together and make something bigger happen, there's a certain kind of reward in that.

The trade-off between time spent on scholarship and time spent in leadership positions also produces another dilemma for academics in leadership positions -- that of expanding

professional identity as a scholar to include an identity as a leader. Most academics in this study entered the research university with a self-identity as a scholar and little if any interest in leadership positions. To have the motivation to pursue leadership roles, and to consciously prepare for such roles, an academic must begin to see oneself as a leader, in addition to a scholar (Chan & Drasgow, 2001; Day et al, 2009; Komives, et al. 2005; Lord & Hall, 2005). Typically such a change in identity begins to occur as one experiences leadership roles and receives feedback about performance as a leader (Chan & Drasgow, 2001; Day et al., 2009; Ibarra, 1999; Komives et al., 2005; Lord & Hall, 2005; Pratt et al., 2006). Paradoxically, both of these elements, early time in leadership roles, and feedback about one's performance as a leader, were problematic for most academic leaders in this study.

Early experience in lower-level leadership positions helped some make the shift in identity to also embracing identity as a leader. As we saw from some study participants, this can begin to happen in early career positions, such as being the founding director of a center or it can begin in professional service experiences, such as serving as the Vice Chair of the Academic Senate. Mentoring, feedback, and encouragement helped some academics in the study to consider leadership positions and to begin to see oneself as being, or having the potential to be, successful leaders. Two deans described mentoring and encouragement they received earlier in their careers through the ACE Fellowship program as influencing them to pursue higher-level leadership positions. Another dean, Sandra, described receiving mentoring, encouragement and sponsorship for higher-level positions from a series of "generous men" who had been part of her career path. CAO/provost D gained confidence for her future role as Academic Senate Chair through the mentoring she received from the prior chair, while she was vice chair. These kinds of

early leadership positions and influential relationships helped some individuals in the study develop and begin to hold professional self-identity as a leader.

Prolonged practice in increasingly higher-level leadership positions also helped to solidify professional self-identity as a leader for some. Sandra had come to embrace an identity as a leader near the end of her first 10-year term as dean, when she realized that she would like to pursue another deanship or provostship, and that returning to a faculty role would feel "too small." For one CAO/provost, self-confidence and self-identity as a leader was fully in place as he began his position as CAO/provost, after serving for 20 years as dean, chair and director. Both of these academic leaders experienced a series of leadership positions of increasing scope, as well as having a long, 10-year stint in one role. Practice of this kind is likely to have helped develop their expertise and self-identities as leaders (Day et al., 2009; Ericsson & Charness 1994; Lord & Hall, 2005). However, these examples represented exceptions, and most of the academic leaders interviewed did not have such long developmental career trajectories.

Beginning senior academic leadership positions later in the career was problematic for letting go of professional identity as a scholar and development of identity as a leader. Day, Harrison and Halpin (2009) described leader development as a function of career experiences, time, and practice, combining to increase leader expertise and leader identity. Waiting to feel satisfied with one's academic achievements before beginning in an academic leadership position did not allow many study participants enough time to develop a strong identity as a leader. Most study participants continued to pursue some level of research, scholarship, or even teaching, after taking on senior academic leadership positions. These academics tended to have some ambivalence about holding professional identity as a leader. Others were less satisfied and comfortable in academic leadership positions and preferred academic life in the department. For

these academics, satisfaction and enjoyment derived from serving in a senior administrative leadership position did not outweigh their love of research, teaching and scholarship. These study participants did not expand their professional identities as scholars to also encompass identity as a leader and decided to leave senior academic leadership and fulfill their professional identity as a scholar in a faculty or department chair role. Here, as in the earlier discussion, time and timing was one issue. For some in the study, beginning senior academic leadership positions late in the career did not allow enough time in these positions to make the shift to fully embracing identity as a leader. It is not clear whether all of these participants would have been able to expand their identities to include identity as a leader if they had had much more time and experience in leadership roles, or if their professional identity as a scholar would still have been dominant. What we do know is that a person must be in leadership roles long enough to become comfortable and to feel some expertise as a leader, before being able to internalize an identity as a leader (Day et al., 2009; Lord & Hall, 2005; Pratt et al., 2006), and it is also more difficult to make such a change later in the career (Hall, 1986; Hall, 1995).

In addition to enough time in leadership roles, feedback from others is important in solidifying professional identity as a leader (Ibarra, 1999; Komives et al., 2005; Pratt et al., 2006). Mentoring, encouragement or feedback help to boost expertise and also solidify leader identity (Ibarra, 1999; Komives et al., 2005; McDade, 2005; Pratt et al., 2006; Rosser et al., 2003; VanDerLinden, 2005). As noted in the previous chapter, these types of feedback were not the norm for academic leaders. Instead, negative feedback from faculty members was freely given, and little positive reinforcement, developmental feedback or mentoring came from higher-level leaders. Mentoring was received by some, but not all of the academic leaders interviewed. So in the research university setting, many study participants did not receive consistent or sufficient

levels of interpersonal support to boost leader development and enable expansion of professional identity to include identity as a leader.

The problem of expanding professional identity as a scholar to include self-identity as a leader is part of the dilemma of leadership in research universities. Some self-identity as a leader is necessary for intentional pursuit of leadership experiences and leader development activities. Establishing identity as a leader is a necessary part of what Chan and Drasgow (2001) describe as "Motivation to Lead (MTL)" which influences people to seek further leadership roles and also helps the leader development process. For academics in research universities, expanding one's professional identity from that of a scholar to include identity as a leader late in the career is problematic in a number of ways. Not enough time and practice in leadership positions, and not enough feedback in the form of encouragement, developmental feedback or mentoring impede this shift in identity. So in addition to the trade-off of time for scholarship discussed earlier, there is also a problem with motivation to lead. In research universities low or late self-identity as a leader inhibits academics' interest in pursuing senior academic leader positions, engagement in leadership development activities, and readiness for and persistence in senior leadership positions.

The Difficulty with Developing Leaders in a Culture Focused on High Scholarship

The culture within the research institutions studied valued high levels of academic achievement and did not sufficiently support the development of leadership talent among academics. Based on leader development research and theory, several key components of leader development were found to be infrequently provided or missing from the current academic leader development process in research universities. These included little developmental feedback, encouragement, and mentoring from higher-ups about leadership, and little availability

or use of professional leadership development programs and outside leader development resources. More indication of a culture weighted towards high scholarship versus leadership was provided by study participants, who pointed to the importance of achieving a high level of scholarly recognition before taking on leadership roles. In addition, CAO/provosts pointed to the criteria that candidates for senior academic leadership positions, such as a deanship, have high levels of academic achievement to be considered for these positions, in particular to gain the respect of the faculty. This high value placed on academic achievement in the research university culture, and study participants' strong professional self-identity as scholars, made it difficult for many in the study to expand their self-identity to include that of a leader. Further, the structure of leadership positions required a choice between spending time pursuing one's scholarship versus taking on administrative leadership activities. Taken together, these findings indicated a culture within research universities at the institution level, the senior leadership level, and the individual faculty level that undervalued development of academic leaders and favored high scholarly achievement.

Wolverton & Gmelch (2002) described the culture within higher education institutions as extinguishing interest in leadership even before such interest could take hold.

Far from encouraging faculty, we hold the need for discipline-specific experts and professionals higher than the need for leaders. In fact, many academics prefer an institution in which there are no leaders, only experts. Far from wishing to be leaders, faculty may conclude that they do not even want to associate with them.

(p. 112)

Despite this kind of faculty disdain for leadership, academic leaders have an important role in the shared governance model, both in the Academic Senate and as part of the university's

administration. Dill (1984) explained the separation of the role of the faculty member from the role of the academic leader as being related to academics' core values of academic freedom, collegial decision making, and shared governance. However, the way that leadership is enacted in a shared governance model is not necessarily well understood by faculty members.

Debra

(Leadership is) sometimes seen as something that you want to not speak about and avoid. I was speaking to somebody just recently where I was talking about the concept of leadership and he said, kind of frostily, to me, "Well, you know, we're a faculty-run institution." And I said, "Well that makes the concept of leadership a greater challenge, because you do have to lead by sharing the leadership and, in fact transmitting and transferring the leadership." But that's still a part of your leadership agenda.

As Debra described, some faculty members seem to believe that shared governance means no "leadership", and instead some type of communal self-governance. As Debra noted, the role of academic leadership in a shared governance model may be more challenging and nuanced than it is in more hierarchical leadership models, such as those found in the business world. This kind of misunderstanding and confusion about the need for leadership and the role academic leaders play contributes to a culture that undervalues leadership in research universities.

Additional evidence that leadership was undervalued in the culture of research universities was found in the language study participants commonly used to refer to leaders. Schein (2010) described language as being one of the artifacts of observable organizational culture. The terminology that study participants seemed most familiar with included terms such as "administrator" and "administration" and not "leader" and "leadership". This suggested a

shared understanding of these roles in the research university as more passive, bureaucratic and routine, and not as Kezar and Carducci (2009) described academic leadership -- a process based in mutual power and influence. This is not to say that some of the academic leaders in the study saw it only as "administration," instead, some described their approach to leadership within the shared governance model as actively "guiding the process" or "building consensus". One CAO/provost emphasized that his enactment of his role was more than a "manager" or "paper-pusher," and instead more visionary. He attributed a negative connotation to the commonly understood role of an administrator and described his approach in terms of leadership.

While this study did not seek to investigate the question of how leadership is enacted in the research university, the interviews provided a general sense of leadership approach. The difference between management and leadership was evident in the way many participants described their approach. The participants were not enacting management in an authority relationship (Rost, 1991) by telling faculty members what to do. Instead, leadership in the shared governance model was more of an "influence relationship" that was non-coercive (Rost, 1991, p. 102), orchestrating change through committee processes and consensus building. It is likely that these kinds of behind-the-scenes leadership efforts were not highly visible to faculty members, which would make the role of leader less understood and possibly contribute to undervaluing it in the research university culture.

Undervaluing what leaders do in a shared governance model, combined with the very high value placed on scholarship within the culture of the research university, is likely to have contributed to a lack of leader development at the institutional level through broad programmatic efforts (Wolverton & Gmelch, 2002). No one in the study described comprehensive programs within their institutions to help academic deans and higher levels of academic administrators

prepare for or develop knowledge and skills for their roles. Some did mention department chair orientation programs or training for chairs. Overall the use of leadership development programs by senior academic leaders in the study was infrequent and the programs described as most helpful (ACE Fellowship and training in fund raising) were not provided by research universities, but by external organizations.

Further evidence of an institutional culture that undervalued academic leadership was found in the lack of regular developmental feedback provided about leadership, and the inconsistent access to leadership mentoring among study participants. Both developmental feedback and mentoring are important for increasing leader expertise (Day et al., 2009; Lord and Hall, 2005) and self-identity as a leader (Chan & Drasgow, 2001; Day et al., 2009; Ibarra, 1999; Komives et al., 2005; Pratt et al., 2006). One possible barrier to providing developmental feedback may be that the research university culture lacks clearly defined measures for evaluating the effectiveness of academic leaders, and this may have made it problematic to provide feedback about leadership. In contrast, the research university has very well defined and well developed systems to evaluate and judge scholarly achievement. If developing leaders was valued in the culture, one would expect to see systems for evaluating effective leadership, and more developmental feedback and mentoring for leaders taking place on a regular basis, supported by institutional policies and the expectations of the most senior leaders.

Lastly, the practice of drafting academics into interim or acting leadership positions in the research institutions in this study also suggested an institutional culture that did not invest sufficiently in the preparation of academic leaders. The frequent use of interim and acting positions pointed to the lack of enough academics prepared for and interested in taking on permanent academic leadership positions when they arose. This in turn was likely a consequence

of the negative incentive for taking on leadership positions in the research university, created by the trade-off with time for scholarship, as well as low motivation for taking on leadership positions, created by high self-identity as a scholar and little self-identity as a leader among academics. If enough academics were prepared for, and interested in academic leadership positions, it is likely that interim and acting roles would be needed less frequently. If institutions were planning for succession in academic leadership positions by intentionally preparing academics to assume these roles, fewer acting and interim leaders might be needed. Instead, 44% of the study participants had served in some type of acting or interim leadership role, some more than once.

A culture that undervalues academic leadership development creates a number of problems for the development of academic leaders at the individual and the institutional levels. Such a culture does not put in place the necessary supports for enabling development of academic leaders, such as routinized developmental feedback, encouragement and mentoring about leadership from higher-ups. Broad programmatic efforts for leader development and succession planning, or funding for access to outside leader development programs are not readily available or are underutilized, in organizations that undervalue leadership development (Bisbee, 2007). Individual motivation to pursue leadership positions and to develop professional self-identity as a leader is de-incentivized by the trade-off between scholarship and leadership activities in a culture that highly values scholarship and undervalues leadership. And more generally, the role of the academic leader and its function in the organization is less clear in such a culture. In order to develop more and better academic leaders in research universities, the dilemma of the institutional culture around leadership development needs to be addressed.

Summary - The Dilemma of Leadership in Research Universities

Three dilemmas that impeded the development of academic leaders in research universities have been described in this chapter. These included the trade-off between time for scholarship and time for leadership; the need for academics to embrace a new professional identity as a leader in order to be motivated to pursue and prepare for leadership positions; and leader development in an institutional culture that highly values scholarship and undervalues the preparation of academic leaders. All three of these dilemmas sprang from one root cause: the overwhelming value placed on scholarship in the research university.

So what should be done to increase the value of academic leadership within the research university culture, and develop ways to better prepare faculty members for these positions? First, this is not about decreasing the value for scholarship in research universities. Scholarship is at the core of the university's purpose. A starting point would be finding ways to enhance faculty members' understanding of the role of the academic leader and the complexity of the research university in the 21st century. Most faculty members are heavily immersed in their own scholarship and research, in their own "foxholes" as one dean described. They have little opportunity to understand or observe the role that academic leaders play in the wider university and higher education community. In addition, to better prepare academics for senior leadership roles, underlying issues that prevent interest in, or time for leadership, as well as enhancements to current leadership development activities need to be addressed.

Recommendations: An Improved Model for Academic Leader Development in Research Universities

Senior academic leaders in this study had participated in varied, unplanned and uneven sets of professional career experiences and influential career relationships prior to their current

academic leadership positions. Years of experience in prior leadership positions varied widely among study participants. The quality and density of the developmental experiences provided by each different career experience and relationship also varied. The degree to which participants held professional self-identity as a leader and their level of interest in pursuing further leadership positions also varied widely. These differences point to problems in the current academic leader development process in research universities.

The current model identified in this study relied heavily on formal job positions to provide all the leader development needed for more senior academic leadership positions. In particular, serving as department chair was the primary form of development identified by study participants. However the roles and tasks of the department chair were not exactly the same as the roles and tasks of the deanship, or those of other senior leadership positions. Further, all department chair positions did not provide the same leader development benefits, which varied depending upon the particular circumstances. Study participants noted gaps in their development for the deanship in the areas of fund raising, management of the budget, strategic planning and management of larger staffs. So in the current academic leader development process, one's career path or job history is being relied upon to provide all leader development necessary for higher-level leadership positions. Just as Del Favero (2006) found, the research universities in this study were relying upon whatever leader development academics had happened to acquire in the course of their careers as sufficient, with little to no intentional leader development being provided.

In order to enable better leader development of academics serving in senior academic leadership positions, a number of changes to existing modes of leader development are recommended here. Research universities must find ways to offset the time conflict between

participating in scholarship versus administrative leadership to enable more interest and early participation in leadership positions. Also, institutions, senior academic leaders and prospective leaders need to become more intentional about academic leader development throughout the course of academic careers.

Recommended Changes to Professional Career Experiences

Earlier and more participation in formal leadership positions and in extramural/professional service leadership roles would help increase leader development, leader expertise and boost self-identity as a leader. In their integrative theory of leader development, Day, Harrison and Halpin (2009), described leader develop occurring over long periods of time through a variety of experiences. They described this process as a web of development in which leader identity and leader expertise reinforce each other, and increase in relationship to the contribution of different career experiences and practice over time. The more leadership experiences one engages in, the better for reaching an expert level, which requires many years of practice to attain (Day et al., 2009; Ericsson & Charness, 1994; Lord & Hall, 2005). Enabling academics to experience smaller, and less time-consuming leadership positions earlier in the career would help to interest more faculty members in leadership roles and also help to increase total years of leadership experience and expertise.

More Opportunities to Practice Leadership. In the current study only 61% had served as a department chair, which was seen by participants as the best available preparation for higher-level academic leadership positions such as dean. Fifty-six percent had served as a director of a center or institute, which also provided some of the same kinds of leader development as the position of department chair. Participation in lower-level administrative leadership positions, such as vice chair or assistant director was much lower at 17% and 15%,

respectively. From this study it is not clear if participation in these positions would have been higher had more positions been available, or if participation rates were influenced more by lack of individual interest in leadership positions. Given that not every academic will have the opportunity to serve as a department chair or a director, additional opportunities to experience lower-level administrative leadership positions may be needed in order to enable more interest in academic leadership roles and more participation in preparatory leadership positions before appointment to senior academic leadership positions. Every senior academic leader should have experience in high quality lower-level administrative leadership positions in order to develop skills and knowledge needed to perform the roles and tasks important in senior leadership positions. High quality developmental positions include those that require performance of similar roles and tasks to higher-level positions, but only on a smaller scale. If one position does not provide practice in all the necessary roles and tasks, then a series of positions that cover all areas is recommended.

Institutions should create smaller positions that would take less time away from scholarship, which may encourage and enable more faculty members to gain some exposure to academic leadership earlier in the career. For example, institute one or more vice chair positions in every department or assistant director positions for every directorship. This could be helpful in all fields, including arts and humanities. This would help by making all the roles and tasks smaller, more manageable, and potentially less time consuming. The department chairs and the directors would benefit by having more help to handle the work, thereby freeing some of their time for research and scholarship. Those serving as vice chairs and assistant directors would have the chance to experience aspects of leadership roles, without having to have responsibility for the entire job of director or chair. In this way, the vice chairs and assistant directors would

also have time for research and scholarship, while testing out a leadership role. In addition, more small roles would enable some to practice delegation to others earlier in the career. If more such roles were consistently available, they could serve as an early leadership experience. Inman (2011) also called for a wider distribution of leadership roles and enabling early exposure to leadership for more faculty members as helpful for improving leadership development. As discussed by study participants, early leadership roles served as both training and testing grounds for leadership potential, for faculty members themselves, and for members of the department and higher-ups to observe leadership ability. Creating more small, lower-level leadership positions would enable wider participation by faculty members in leadership roles that would also allow continued participation in scholarship.

Start Earlier. Starting out in the first administrative leadership position earlier in the career is recommended, whether it is a formal job, a professional service role or a leadership development program like the ACE Fellowship. Early exposure to and practice in leading others helps in development of self-identity as a leader (Day, et al, 2009; Komives, et al., 2005). Holding self-identity as a leader contributes to "Motivation to Lead" (Chan & Drasgow, 2001) and pursuing further leadership positions and leader development opportunities.

If faculty members could experience lower-level leadership positions early in the career, it might encourage more to take an interest in academic leadership and continue in a series of leadership positions. As shown in this study, those current academic leaders who started in leadership roles earlier in the career tended to persist in leadership roles and accumulated more years of experience than those who started later. Starting earlier would also allow people to reach senior academic leadership roles at a younger age with more years left in the career to contribute

in leadership positions. However, for many in this study, a barrier to trying out leadership roles early in the career was the time conflict with one's research and scholarship.

In order to enable more participation in leadership roles early in the career, research universities should make additional research support available for faculty members who take on roles such as assistant director, director, vice chair, department chair or associate dean. Faculty members who have an interest in such roles might be more willing to try them out earlier if they believed the impact on their scholarship would not be excessive. This means that research universities should set funds aside to help department chairs and other academic leaders continue their research while in leadership positions. However, it should be noted that this type of support is more likely to benefit those engaged in laboratory research or types of research that can be carried out by others, under the oversight of a principal investigator. Research support is not likely to be as helpful to those in more solitary academic endeavors and fields in which books are the typical form of publication. In these fields a single scholar must spend long periods of time writing, which cannot be done by others, even if research funding was available.

More Years of Experience. In order to become "expert" in leadership, many years of practice in high quality leadership positions is necessary, with 10 years as a benchmark for developing expertise (Ericsson & Charness, 1994; Lord & Hall, 2005). One long stint in a high quality role can solidify knowledge and skills and enable achieving a sense of confidence and expertise. One dean and one CAO/provost in the current study described their own feelings of mastery and confidence in their leadership abilities, as well as a stronger sense of identity as a leader after having completed 10 years in a deanship and in a directorship, respectively. In addition to a long tenure in one role, a series of positions of increasing levels of difficulty also provides good leader development, as knowledge and skills acquired in one position can be built

upon in the next. Lord and Hall (2005) illustrated leader development through different stages from novice to intermediate to expert. Through practice and experience, learning builds upon itself in each level, moving from more technical and generic managerial behaviors at the novice level to a more collaborative view of leadership, using principled knowledge and social expertise, at the expert level (Lord & Hall, 2005). Two CAO/provosts in this study described feeling better prepared for their current role, after having learned from a long series of leadership positions that gradually increased in scope.

There are a number of ways that current academic deans can help the leader development of academics in their own schools through formal positions/jobs. Since longer stretches in leadership roles help to build expertise and self-identity as a leader, and since the role of department chair was seen as the best preparation for higher-level leadership positions, academic deans should encourage those department chairs who enjoy the role and have propensity for it to serve more than one term. Having good, stable leadership for a longer period of time also helps the department. Deans should also encourage department chairs to identify and groom faculty members interested in becoming the next chair. For departments with vice chair positions, department chairs should be encouraged to use these roles strategically to provide others who may be interested in the chairship with some experience in aspects of being department chair. In any academic leadership role, it is important to consider and prepare for leadership succession by encouraging others and providing opportunities for them to experience leadership roles.

Another way for senior leaders to increase leadership experience and professional self-identity as a leader is through intentional selection of faculty members to participate in campus professional service opportunities. Academic deans and higher-level academic leaders should appoint faculty members who have shown interest in, or potential for academic leadership to

important committees, projects and taskforces at the division or school level, the campus level and the system-wide level when possible. As study participants described, such experiences enable faculty members to gain a broader perspective about the operation and governance of the university and the leader's role in it. Senior academic leaders can also make leadership internships or special projects available in their own offices, so that faculty members may gain exposure to academic leadership earlier in the career. These kinds of challenging experiences, especially if combined with mentoring, can provide high quality, dense leader development.

Senior academic leaders should also encourage faculty members who are interested in academic leadership to gain experience through participation in extramural professional service activities or through participation in key leadership roles in the Academic Senate. Study participants pointed to leading national professional organizations as helpful for broadening one's perspective about higher education and practicing leadership skills. Serving as Chair of the Academic Senate was cited as being one of the best extramural/professional service opportunities for leader development. Academic leaders should encourage faculty members interested in leadership to participate in these types of activities and find ways to recognize and reward such service.

A number of changes to improve the existing model of academic leader development in the area of professional career experiences were recommended in this section. These recommendations included starting early in small, lower-level leadership positions and having senior leaders encourage accumulation of more years of leader experience in formal positions. In terms of extramural/professional service it was recommended that senior academic leaders encourage participation in activities that broaden faculty members' perspective of the university and higher education and/or provide leadership practice. Also it was recommended that senior

academic leaders intentionally select those with an interest in and propensity for leadership to participate in campus-wide committees and taskforces. However to make more and earlier participation in lower-level academic leadership positions possible, institutions must find ways to provide resources and structural support to enable the ongoing scholarship of academics who are serving in lower-level academic leadership positions.

Recommended Changes to Influential Career Relationships

Several researchers have identified the importance of social interactions, including receiving validation and feedback, for informing and shaping a person's professional self-identity (Ibarra, 1999; Pratt, et al., 2006) and self-identity and efficacy as a leader (Chan & Drasgow, 2001; Hannah, et al., 2008; Komives, et al., 2005). These theories and research studies suggest that receiving positive feedback about one's leadership skills can enhance "Motivation to Lead" (Chan & Drasgow, 2001), leader efficacy, and self-identity as a leader, which in turn motivates people to pursue more leadership experiences.

More Social Support and Encouragement. Much more social support for leader development and of individual leaders is necessary in research universities. Academic leaders need to notice and encourage academics who have an interest in leadership and who have qualities that might make them good leaders. It is important that leaders and peers talk to potential leaders about leadership, why they might be a good leader, and the benefits and importance of serving in a leadership positions. This should be done early in the career. More encouragement from higher-ups, as well as peers, would serve to motivate more academics to take on and continue in leadership positions.

More Developmental Feedback and Mentoring. For those serving in leadership positions, higher-level leaders need to provide frequent and routine developmental feedback and

mentoring. Developmental feedback refers to the practice of identifying specific areas in which the leader performed well, and also areas that could use improvement, and providing direct feedback about both.

Mentoring can include developmental feedback about specific behaviors and actions, however it should also go beyond feedback and include discussions about approaches, thought processes and mental models that the more experienced leader uses when considering different kinds of leadership problems. This kind of mentoring enhances development of cognitive complexity, which enables more expert levels of thinking (Bartunek et al., 1983; Lord & Hall, 2005). Several participants in this study described the value of this type of mentoring in helping them understand the thought process behind different leadership approaches and decision processes. In this way mentoring provided both a high quality and developmentally dense leader development experience for some in the study.

On the other hand, very few academic leaders in the interview study could point to specific developmental feedback that they had received about their leadership from a higher-up. Routinized developmental feedback for those serving in leadership positions would help to increase leader expertise and boost leader self-identity (Ibarra, 1999; Pratt et al., 2006). In addition, both mentoring and developmental feedback can serve as important tools for equalizing leader development and filling in gaps in preparation across academics leaders who have had a wide and unpredictable range of preparatory experiences. Regular mentoring and developmental feedback could enhance the development of those who had less challenging and less developmentally dense preparatory experiences.

Research universities should make providing regular developmental feedback and mentoring from higher-ups for those in leadership roles a part of policy and practice. This kind

of institutional focus on the importance of leader development, and support for those serving in leadership positions, would help to change the culture within research universities to recognize and support leader development, as well as scholarship. Mentoring, coaching, and providing developmental feedback about leadership should be included as part of every academic leader's official duties, institutionalized in policy. This study revealed that very little developmental feedback was currently being provided to academic leaders and mentoring from senior leaders was also not uniformly available to all the academic leaders in this study. In order to create a stronger culture around leader development, institutions should also develop practices for encouraging, identifying and fostering the development of future leaders among the faculty. However, identifying potential leaders should be done with cognizance of the tendency towards homophily, and with an interest in promoting a more diverse leadership than currently exists in research universities. Senior academic leaders should on a regular basis, and at least annually, provide developmental feedback to every academic leader reporting to them about ways to improve leadership skills and behaviors. This means that academic leaders need to be observant and cognizant of what is happening in the departments, offices, centers, divisions and schools in their purview, and be willing and able to provide one-on-one verbal developmental feedback. It may mean that academic leaders need to gather more information through surveys, feedback mechanisms or town halls about organizational issues, problems and challenges, so that they can provide informed developmental feedback to lower-level leaders in their organizations.

Whether or not policy changes around providing developmental feedback and mentoring are enacted at the institutional level, current academic leaders can provide mentoring and regular, developmental feedback to lower-level academic leaders in their own organizations. Such attention to how leadership is being enacted and support for leader development would also set

an example and enable role modeling of the practice of providing mentoring and feedback about leadership. When new academic leaders enter a role, the higher-level leader should make it a practice to provide regular mentoring for a period of time, for example one quarter, one semester or six months, depending upon the complexity of the role. This would help new leaders understand their roles. For those coming from a different institution, mentoring would help in acclimation to the new institution, as was described by one study participant.

Other leaders or emeriti leaders could also be called upon to provide this kind of mentoring for new academic leaders. Since preparation for academic leadership roles is quite varied, higher-level academic leaders should also encourage the development and use of peer mentoring networks for issues and problems as they arise. These would be good supplements to trial and error on-the-job learning and would encourage a culture of leader development and support within one's organization.

Finally the last influential career relationship to consider in relationship to academic leader development is the role of staff member as teacher. Many academic leaders in this study learned about aspects of their jobs from staff members, often in the areas of budget and finance or fund raising. It would help both the academic leader and the staff member to have role clarity and a shared understanding of the role the staff member is expected to play in terms of training the new academic leader or having solo responsibility for certain tasks. If, for example, issues of budget and finance fall exclusively to staff members, without real oversight by an academic leader, it may be that institutions should establish a more centralized campus function to oversee finances. On the other hand, if staff members are expected to help educate academics about some aspects of their leadership role, such as the budget, then it would be helpful if both the staff member and the academic understood this arrangement. In either case, if staff members are

training academics in aspects of their leadership positions, or taking on higher-level responsibilities themselves, then staff members should be hired with the necessary prerequisite skills and compensated accordingly, to ensure effective operation of the academic enterprise. Research institutions and senior academic leaders should consider the organizational structures that support academic leaders and clarify the role that staff members are expected to play in teaching or developing academics for leadership positions.

A number of changes to improve the existing model of academic leader development in the area of influential career relationships were recommended in this section. These recommendations included making it an institutional policy and a senior leadership practice to provide regular developmental feedback and mentoring about leadership. It was also recommended to encourage those with a propensity for and interest in leadership to pursue leadership roles. Providing additional mentoring support for new and continuing leaders from other leaders, emeriti leaders and peer networks was also recommended. Lastly, the role of staff members in academic leader development should be clarified.

Professional Leadership Development: Targeted and Broad

More professional development opportunities while serving in academic leadership positions, and also as preparation for them, could help to fill in gaps in knowledge and skill development created by the unplanned and uneven development opportunities currently in place. Some study participants pointed to using professional development on targeted topics, such as fund raising and budget management, for filling in developmental gaps in their leader development. A few also discussed the value of external consultants and coaches as important resources to boost leader development on-the-job. Even with more participation in leadership positions, and even with more developmental feedback and mentoring, it is likely that there will

still be gaps in leader development for different individuals. It is important to provide the resources for professional development workshops or external coaching to fill in these areas.

Study participants cited the example of the ACE Fellowship Program as being influential in motivating them to pursue higher-level leadership positions and also as leader development. Institutions should consider developing a leadership intern program, similar to the ACE Fellowship. Such a program would enable some faculty members to shadow senior academic leaders and receive mentoring from them, and work on special projects that provide leadership experience. This could give more faculty members a developmentally dense early exposure to leadership, which would help encourage more leader development (Inman, 2011). Within a university system, a leadership intern program like this could be conducted among a number of campuses, allowing participating faculty members to also experience the culture of a different campus.

Research universities should also allocate some resources for basic leadership development programs in order to provide a common framework for academics to understand what is required in leadership roles. Having a shared framework from which to understand leadership is also helpful for those practicing role modeling, as it provides context and cues about what to look for and observe in other leaders. Programmatic content should include the topic areas identified by the deans in the study as most important to their roles: budget and resource management, fund raising and development, personnel management for both academic and staff employees, and interpersonal communication and conflict management. As study participants described, most of these topics pertained to the department chair role, as well as to other leadership roles that include managing funds or people. Lastly according to study

participants, basic skills for working with a staff, including how to delegate, would also benefit faculty members who are new to leadership roles.

In addition to programs for developing basic leadership skills, programs specifically aimed at developing specialized skills needed in different positions, such as chair, dean, vice provost, vice chancellor or CAO/provost should also be considered. Academic leaders in functional roles overseeing areas such as academic personnel, graduate education, undergraduate education, research and diversity potentially need specialized knowledge in each of those areas. Many deans in the study pointed to skill gaps in fund raising and budget-related knowledge. The kinds of interpersonal skills needed for senior-level positions in functional roles may also differ from the interpersonal skills needed by academic deans in operational positions. In a large university system like the University of California, there are potentially enough people in these different roles to make program development and implementation worthwhile. Alternately, funding could be provided for senior academic leaders to attend national or regional programs on specific topics to fill in any developmental gaps.

Programs and communications to broaden general understanding of the complexity of the research university and the role of academic leadership in it could benefit all faculty members. Increasing knowledge among the general faculty population about how research universities operate and gain resources would help with the shared governance process through more informed participation. Increased overall understanding might also boost faculty members' respect for the role academic leaders play in university governance. Providing some basic professional development in the form of broad training on leadership in higher education could also help to establish a common framework of understanding among faculty members and academic leaders about the role of the academic leader, and necessary knowledge, skills and

approaches for leadership in the research university. Having such a framework would help academic leaders, and those aspiring to these positions, understand where they might need additional development and practice. It would also help academic leaders to share a common leadership framework from which to provide mentoring and developmental feedback. Ultimately a broader understanding of higher education, the research university and the role of the academic leader could help change the culture around academic leadership.

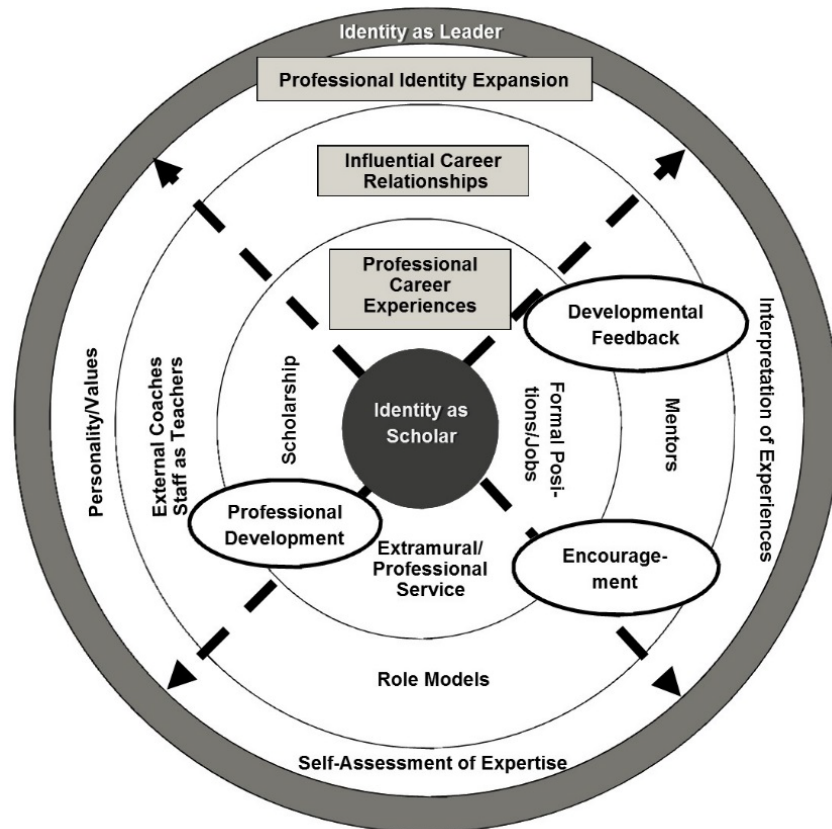
More training, alone, is not the answer for developing academic leaders. Del Favero (2006) noted that few deans had participated in leadership training and that they rated it lowest in helping to prepare them for deanships. This study also found leadership training to be used infrequently and not highly touted as a form of development. Since most academics in this study were not interested in leadership roles to begin with, training programs in advance of such roles would have garnered little attendance. However, targeted leadership training for people already in such roles might be useful. To the degree that an institution is able to foster interest in pursuing leadership roles among faculty members over time, then eventually programs might be attended as preparation for such roles. In any case, given the variability in preparation among study participants, a one-size-fits-all leader development program would not suffice. Instead a combination of approaches and resources to support leader development is recommended, for those already in leadership positions, as well as those aspiring to such positions.

In Figure 5.2, a Revised Model of the Academic Leader Development Process is shown. In this revised model, new elements that were missing in the current model have been added to reflect recommendations made in this section. These include developmental feedback, encouragement, and professional development. Increased use of these developmental tools, along with the other recommendations made including earlier and more participation in professional

career experiences and more mentoring, would create a stronger leader development process for academics in research universities.

Figure 5.2

Revised Model of the Academic Leader Development Process



Increase Support for Scholarship

In order to make these recommendations work, the underlying conflict between time for scholarship and time for leadership must be addressed and ameliorated. This was addressed in the earlier recommendations, but I am reiterating it here because this is a fundamental dilemma for leader development in research universities. Academics in research universities must be able to continue both scholarship and leadership simultaneously, especially early in the career, if development of more and better academic leaders is desired. Institutions have to find ways to

support the scholarship of academic leaders. This may mean research support in the form of funding for graduate students, post-doctoral scholars, researchers or lecturers to assist with scholarship and/or teaching while someone serves in a leadership position. It can also mean making structural changes to leadership jobs, such as breaking them up into smaller positions that are less time consuming. Examples of this could be having more vice chairs or assistant directors responsible for specific areas to support the role of department chair or director. In this way each position would have a smaller set of duties or responsibilities than if there was only one department chair or one director, which should make more time available for scholarship. In addition to these recommendations, other creative solutions to this dilemma may be found. However, unless this underlying issue is addressed, leader development and participation patterns in academic leadership positions in the research university are not likely to improve.

Recommendations for Faculty Members Interested in Academic Leadership

For faculty members who are interested in pursuing academic leadership roles it is important to be strategic about choosing the types of activities in which to participate. Since time is in short supply for faculty members engaged in research, scholarship and teaching, it is important to select professional service activities that can provide a broader perspective on the university or higher education in general. According to study participants, leading or serving on campus or system-wide taskforces, initiatives, and committees provided the most preparatory benefit of this kind. Also look for opportunities that will provide both quality and density of leader development. This means leadership roles that are challenging, stretch your skills and abilities, and provide opportunities to practice leading others. Serving as an officer in a national or international professional association can be very helpful as leadership preparation. Lastly, as study participants indicated, leadership of the Academic Senate can provide direct insight into

the operation of the university, practice as a leader working with faculty members from across the university, and exposure to senior academic leaders.

In terms of actual academic leadership positions within one's university, serving as a department chair was seen by study participants as the single best training ground and testing ground for people prior to more senior academic leadership roles, such as academic dean. Participants said that as a chair one learned interpersonal communication and conflict management skills, gained exposure to budget management, and personnel management (academic and staff), all of which helped to prepare one for higher-level leadership positions. If one is not being offered leadership opportunities such as chairing the department, then consider different kinds of self-initiated leadership roles. For example, starting a new center or institute can provide many of the same skills as serving as department chair. Additional skills, such as fund raising and strategic planning may even be found more frequently in founding director and director roles, than in department chair roles. The best course for those interested in preparing for senior academic leadership positions is to serve as a department chair, but if this is not available, founding and directing a center or institute can provide many similar developmental benefits.

Starting earlier in one's career in academic leadership positions is helpful. An early start allows for the possibility of accumulation of more leadership experience and expertise, and enough time to seek the highest-level academic leadership roles, if desired. If it turns out that academic leadership is not something that one wants to pursue, then at least this lesson has been learned early, and full attention can be turned back towards scholarship and research.

Gaining broad experience and perspective about the university is important preparation for academic leadership. Study participants said that broadening one's perspective and understanding about the university can help faculty members develop knowledge that is useful in

leadership roles. Faculty members who are interested in broadening their perspective about university governance should consider participation in the Academic Senate on key committees related to budget and finance, academic personnel, and graduate or undergraduate education. One might also volunteer for service on campus wide or system-wide taskforces, initiatives, and committees if the opportunity arises. Also, take advantage of any leadership development workshops, programs or internships that might be available. Consider seeking an ACE Fellowship if possible. For faculty members who are interested in academic leadership, study participants recommended participating in as many of these kinds of experiences as possible, because they all broaden one's perspective, help one determine if academic leadership is appealing, and also provide exposure to higher-level decision makers.

Recommendations for the Selection of Academic Leaders

The two criteria identified by CAO/provosts in this study as important for senior academic leader selection included high scholarship and some administrative experience, in particular having served as a department chair. While high academic achievement serves to legitimize academic leaders in the eyes of the faculty and the public, it doesn't mean that a person has the necessary knowledge, skills and experience to fulfill specific academic leadership positions. In this study, scholarship activities did not provide much leader development, with the exception of running a lab as part of one's research. The strong focus put on the academic achievement of candidates for academic leadership positions, in the absence of a clear focus on knowledge, skills and experience necessary for professional leadership in the specific position, is a major flaw in the way that senior academic leaders are selected in research universities.

Relying on having some generic administrative experience, but not considering or matching between what a person has done in the past (i.e., types of administrative leadership

roles and tasks) and what is needed in a particular kind of senior academic leadership position is much too broad to be effective for leader selection. Different positions require different kinds of knowledge, skill and experience. As history has shown, this is also a moving target, as academic leadership jobs have been slowly becoming more differentiated and specialized over time.

Today deans in the study pointed to fund raising and financial acumen in the area of the budget as important to their role, but these were not as important in previous research (Wolverton and Gmelch, 2002). When selecting senior academic leaders it is important to consider what is needed in the position today and whether or not potential candidates have experience in those particular areas. It is also important to distinguish between different kinds of academic leadership positions (functional or operational) and the circumstances of the school or unit (new, established, in crisis) to understand what kinds of knowledge, skills and experience would be needed to fulfill the role. If the person being selected doesn't have the necessary knowledge, skills and experience, what can the institution or other senior academic leaders do to help them develop? If the learning curve is too steep or too long, can the organization manage while a new leader comes up to speed? These are the questions that should be considered and addressed during the search and selection process, so that leader development and support can be intentionally put in place when gaps in knowledge, skills and experience exist.

Based on the findings of this study, there are some things that search committees should consider when interviewing prospective senior academic leaders. Consider whether or not the candidate has had a critical developmental experience that involved a big challenge or an ambiguous situation in which they had to figure out how to lead, manage, strategize, build consensus or make a major decision. These experiences provide high quality and developmentally dense leader development. In this study, examples of these kinds of experiences

included being elected to chair a city charter commission, stepping in to lead a professional society during a financial crisis, being responsible for merging multiple conflict-ridden departments into one entity, or participating on a taskforce to reimagine and reorganize a school. Such experiences can be thought of as crucibles, which both test and develop a leader.

Other indicators to consider are a long stretch in one leadership position or a long series of leadership positions of gradually increasing scope. In this study, two senior academic leaders pointed to 10 years of service in particular leadership positions, which helped each of them to develop a sense of confidence and professional identity as a leader. People with a stronger self-identity as a leader are more invested in leadership positions and likely more interested in improving their leadership expertise, so these individuals may possess more knowledge, skills and experience, as well as more cognitively complex leadership models than others. Two of the CAO/provosts in the study pointed to a long and gradually increasing series of leadership roles, as providing good preparation for senior academic leadership. Lord and Hall (2005) also cite this kind of gradually increasing set of roles as important for development from novice to expert in terms of leadership. Search committees and senior academic leaders selecting for leadership positions should look for evidence of these kinds of long developmental trajectories in the CVs of prospective candidates as potential evidence of better leader development.

Lastly, participants in this study pointed to the importance of certain approaches and personal characteristics as important for academic leadership. Focusing on the welfare of others instead of on self-aggrandizement was seen as important. In the shared governance model within the research university, study participants described leadership as involving consultation, collaboration and consensus building instead of more directive or authoritarian forms of leadership. In terms of personal attributes, several CAO/provosts described having a thick skin

and not taking faculty member's words or actions personally as being important. Given some of the negative comments and bad behavior that leaders in this study experienced from faculty members, it is important to have a good sense of self-esteem and personal resiliency in order to persist in senior academic leadership positions.

Search committees and senior academic leaders involved in leader selection should consider the specific job they are hiring for and the circumstances of the school or unit, in order to identify the kinds of knowledge, skills and experience that would be needed to fulfill the job. Considering generic administrative experience or high scholarship alone, will likely not identify the candidates whose past leader development experiences best match the job, or those who have had particularly challenging and developmentally dense leader experiences and who would more likely be able to rise to new challenges.

Summary - Recommendations for an Improved Model for Academic Leader Development in Research Universities

Research universities can do more to encourage an interest in academic leadership among faculty members and also to help academics gain knowledge, skills and expertise for leadership positions. This study found that academics in research universities currently develop for higher-level leadership positions primarily through serving in the role of department chair or director of a center or institute. Beyond these formal administrative positions, many gained some leader development through extramural and professional service experiences, such as leading taskforces, committees and professional organizations, and serving as Chair of the Academic Senate. Some study participants gained important leader development through mentoring from higher-ups, while the majority relied on role modeling the behavior of other academic leaders. Participation in any of these forms of leader development was not part of purposeful preparation for higher-

level leadership positions. Instead participation varied widely across the academic leaders in the study, resulting in uneven leader preparation and development.

Several recommendations for additions to the existing model of academic leader development were made including providing routine developmental feedback and mentoring about leadership from higher-ups. This should be institutionalized in policy and upheld in practice by current senior academic leaders. Also more social support and encouragement should be provided for potential leaders and those in academic leadership positions. A number of additions to professional leader development were recommended, including leadership internships, training programs in basic leadership skills, specific training for different positions, and broad training and communication about the complexity of the research university and the role of the academic leader in it. These kinds of professional development programs could increase leader development, fill in gaps in development, and also help to change the culture of the research university around the importance of academic leadership.

This study also found that a time-related conflict between engaging in one's scholarship and spending time in administrative leadership positions interfered with leader development among academics, especially earlier in the academic career. Starting later in leadership positions correlated with accumulation of fewer years of leader experience among study participants and also inhibited development of professional self-identity as a leader for many in the study. Lack of early self-identity as a leader also interfered with participation in preparatory leader development activities for study participants. Research universities must find ways to offset the time conflict between participating in scholarship versus administrative leadership in order to interest more academics in leadership and to enable more and earlier participation in leadership positions.

Contribution

This study extended leader development theory to the context of higher education. It used an integrative framework of leader development theory (Day et al., 2009) to guide a unique exploration and analysis of curriculum vitae and interviews with senior academic leaders in research universities. Content analysis of curriculum vitae, combined with qualitative data about the value of different professional career experiences for leader development, illuminated a model of the academic leader development process as it currently exists in research universities. Then, through the use of theoretical frameworks, gaps in leader development were identified, including underutilization of developmental feedback, encouragement and mentoring for leadership, as well as underutilization of professional leader development opportunities, which led to the proposal of a new improved model for academic leader development in research universities.

The use of theoretical frameworks about leader development also helped to identify the problems created by low professional self-identity as a leader among academics within the research university culture. Stronger self-identity as a scholar and weak self-identity as a leader affected faculty members' motivation to pursue and prepare for leadership positions. The lack of interpersonal support for leader development within the research university context, combined with a strong institutional emphasis on achieving high levels of scholarship, contributed to a culture that impeded developing professional self-identity as a leader and interfered with academic leader development.

This study also enhanced our understanding of the careers of academic leaders and the leader development process in research universities by providing a detailed cataloging of the different types of professional career experiences that precede advancement to senior academic

leadership positions. This study went beyond prior research on the career paths of academic leaders (Moore et al., 1983; Twombly, 1988; Wolverson & Gmelch, 2002; Wolverson & Gonzales, 2000) to also consider the contribution of a wide range of extramural and professional service activities to leader development. Through interviews, this study also investigated the quality and density of experiences for leader development and found that different professional career experiences and influential career relationships vary in their benefits for leader development. Quantitative data derived from CVs about academic leader's participation in these activities will provide baseline information for future research. Interview data regarding the benefits provided by extramural and professional service activities, as well as formal leadership positions, will inform faculty members interested in academic leadership positions, current leaders and those who select academic leaders about which activities provide better knowledge and skill development for senior academic leadership positions.

This study also documented levels of scholarly productivity among academic leaders and the high level of academic achievement necessary for legitimacy in research universities. It established baselines of participation in scholarly activities for future researchers studying academic leaders. It also examined career timing patterns and found a relationship between taking an early leadership position and accumulating more years of formal leadership experience during the career. Another pattern was found regarding time spent in formal leadership positions and the pace of advancement through the academic ranks, which suggested that time spent in leadership positions slowed the pace of academic productivity and advancement. These findings, combined with interview data helped to illuminate some key dilemmas for developing academic leaders in research universities related to the choice that academics who pursue leadership positions must make between furthering their scholarship or practicing leadership.

Ultimately this study contributed to the research on academic leadership by identifying several overarching problems for the development of academic leaders in research universities. These were all related to the very high value placed on academic achievement within the research university context. These dilemmas included the trade-off between high scholarship and developing leadership expertise, the difficulty with embracing professional self-identity as a leader, and the difficulty with developing academic leaders in a culture focused on high scholarship.

Future Research

The findings from this study suggest a number of areas for future research. First, studies in other institutional types should be conducted to see if leader development is also impeded by the trade-off between high academic achievement and leadership experience, or if this is unique to research universities, or specifically to the University of California. How professional self-identity as a leader forms among academics in different institutional types might provide insights about adaptations that research universities could undertake in order to encourage more academics to become leaders. Also an examination of the kinds of support in place for leader development in other types of higher education institutions and other industries may provide ideas for improving leader development in research universities.

Study of the factors that lead to continued pursuit of leadership positions among academics is recommended. For example, a larger study looking at academics who have served for 10 years or more in one early administrative leadership role, such as director or department chair, might identify if this kind of service created a sense of expertise and self-identity as a leader that also encouraged pursuit of higher-level leadership positions. Alternately, a study could compare those who had an early leadership experience and then continued to pursue

leadership positions with those academics who did not continue to pursue leadership roles following an early career leadership role to identify factors related to developing self-identity as a leader. These kinds of studies might be able to further investigate what encourages academics to continue in leadership roles compared to what discourages participation.

This study provided some indication that career paths to academic leadership positions in research universities may differ for men and women. While the current study did not have a large enough sample size to draw conclusions in this area, future study of women's career paths to academic deanships versus functional roles, such as vice provost or vice chancellor positions should be explored, as well as a general comparison of women's pathways to academic leadership positions compared to men's. In such studies if any differences are found, it will be important to consider what may have led to the differences. Also a broader study of the experiences of people of color in leadership roles in research universities could shed more light on the kinds of problems described in Linda's case in the current study. The examples of microaggressions, disrespect and bias that Linda reported here supported findings described by Valverde (2003). More research around barriers to academic leadership for women and people of color in higher education, and in research universities in particular, could help identify institutional actions to enable more diverse participation in leadership positions. Unfortunately, such studies will be difficult to undertake, especially in research universities, due to the small numbers of women and very small numbers of people of color currently in senior academic leadership positions.

This study found some evidence that the influence of family and spouse/partner employment may play a role in whether and when academics take on leadership positions. A larger study examining the influence of family and work/life issues on leader development would

be helpful for institutions as they try to enlist more leaders, including more women, people of color, and younger generations of leaders into academic leadership roles. A general comparison of family and work/life influences on academics and academic leaders in research universities compared to other institutional types may provide insight about career pathways and choices for men, women, persons of color and white faculty members, as well as other groups. Looking at these influences across generations may also provide valuable insight for developing future leaders.

Further study of differences in leadership pathways and career experiences by academic discipline should be pursued, as participants in health science fields and laboratory research fields had different kinds of experiences and opportunities for research support available to them than did those in the arts and humanities. Academics from different types of smaller professional schools such as law, education and business also may have fewer opportunities to serve as department chair compared to those from multi-department schools, which may lead to differences in preparedness for higher-level leadership positions. Methods of research and scholarship in different academic disciplines may also make it easier or more difficult to have others assist with one's research and scholarship while in a leadership position. Future research to investigate differences across academic disciplines in leader development opportunities and the ability to support scholarship while in a leadership role should also be undertaken to see if some are advantaged or disadvantaged in reaching senior academic leadership positions due to academic discipline.

Lastly, and perhaps most importantly, this study ignored the issue of leader effectiveness. There was no measure of whether or not any leader in this study was doing a good or poor job as a leader. For that matter, metrics to capture leader effectiveness are not established within

research universities or academic institutions more broadly. Future research should consider leader effectiveness and how to measure it, and then combine that with a study of leader development to determine if some experiences lead to development of more effective academic leaders than do others.

Conclusion

The dilemma of leadership in research universities ironically springs in large part from the very high value placed on scholarship. To succeed as scholars, and attain high levels of distinction, academics must spend large amounts of time on research, scholarship and teaching, leaving little time remaining to take on leadership positions. In addition, an academic's self-identity upon entering the profession is that of a scholar and not an administrative leader. In order to pursue leadership positions and gain experience in them, an academic must shift or expand professional self-identity to also encompass leadership. In the research university, with a culture and value system focused on scholarship, holding professional self-identity as a leader is problematic. The strong culture of scholarship and research found in research universities, along with the shared governance model, tends to diminish the value placed on academic leadership positions. In turn, this undervaluing of academic leadership leads to less institutional and programmatic support for leader development, as well as less individual interpersonal support for academic leaders in the form of mentoring or developmental feedback. The confluence of all of these factors contributes to unplanned and uneven leader development in research universities.

This study found that preparation and development for academic leadership positions in research universities varied widely across individuals, with a few experiences shared in common. Participation in some preparatory experiences, such as serving as a department chair, was shared by a majority of senior academic leaders in the study. Serving as a director of a center or institute,

leading the Academic Senate or leading professional associations also served as helpful preparation for many. However other preparatory experiences, like receiving mentoring or developmental feedback about leadership from higher-level leaders, were considerably more rare. Instead many of the academic leaders in the study practiced role modeling of leaders that they had encountered in their careers. Some participated in workshops on specific topics after taking on a leadership role, some learned on the job from staff members. Each study participant had a unique set of career experiences and influential relationships that served as preparation for academic leadership.

For most, developing professional self-identity as a leader was problematic. Not enough years in leadership positions, not enough positive or developmental feedback about one's leadership, and a strong allegiance to one's research and scholarship likely prevented many from embracing an identity as a leader. Weak identity as a leader contributed to lower participation in developmental experiences and less inclination to remain in leadership roles. The need to attain high levels of academic achievement prior to taking on more senior leadership roles, meant taking on such roles later in the career. For research universities, this means that academic leaders with a great deal of expertise gained from serving in many different leadership roles, for long periods of time, are likely to be few. Based on the career patterns found in this study, many academic leaders in research universities may only have time to serve in a senior leadership role for one or two terms before it is time to retire.

There is still a gap in the preparation and development of academics for senior academic leadership positions. Comparing the findings from this study to those of Moore (1983) and Wolverton and Gmelch (2002), it appears that not much has changed for at least three decades in the pathways to senior academic leadership roles, or the methods of leadership development

within academic institutions. The role of department chair continues to be the primary form of preparation for higher-level academic leadership positions and professional leader development programs continue to be underutilized. The existing process of academic leader development has maintained the status quo, however it may not serve research universities during periods of rapidly changing external environments, financial instability or significant pressures to change the way they operate. As role requirements for academic deans and other senior academic leaders become more differentiated and specialized, institutions should look to the future and intentionally prepare academics for leadership positions instead of relying on whatever experience potential academic leaders have happened to acquire (Del Favero, 2006). Large-scale organizational change requires experienced and expert senior academic leaders who can understand and interpret stakeholder needs and expectations, foster innovation and a collective vision, and develop trust (Eckel, Green & Hill, 2001). The most effective leaders are those with more experience and time in office, who have developed cognitively complex approaches to assessing problems and developing solutions (Birnbaum, 1992; Bensimon, 1989; Neumann, 1989). Research universities are shortchanging themselves in terms of developing the most expert academic leaders, because they continue to place demands on academics to attain high academic achievement, as well as leadership experience, and they do not adequately support achieving both. The result is not enough time during one's career to do both. Instead, academics in research universities often first attain high academic achievement, and then do not have enough time remaining in the career to continue in leadership roles once they gain expertise as academic leaders. To prepare for the changing demands of the 21st century, research universities must change the way academic leader development is valued, and provide resources, policies,

programs and practices to support the scholarship and *intentional* development of more academic leaders earlier in the career.

APPENDIX A: Demographic Description of Academic Leaders in CV Study

Gender	Frequency	Percent
Men	28	68.3
Women	13	31.7
Race/Ethnicity	Frequency	Percent
White	34	82.9
Non-white	7	17.1
National Origin	Frequency	Percent
US	32	78.0
Non US	5	12.2
n/a	4	9.8
Children	Frequency	Percent
Yes	36	87.8
No	4	9.8
n/a	1	2.4
Marital Status	Frequency	Percent
Not Married/ Partnered*	6	14.6
Married/Partnered	35	85.4

* Includes single, separated, divorced, widowed.

Academic Field	Frequency	Percent
Health Science	9	22.0
Humanities/Arts	6	14.6
STEM	14	34.1
Social Science	6	14.6
Professional	6	14.6

Position Type	Number	Percent
Chancellor	2	4.9
CAO/Provost	6	14.6
VP or VC	8	19.5
Academic Dean	25	60.9

APPENDIX B: Interview Protocol - Deans

Note: Prior to each interview review CV and note items of interest for interview. Also collect data from the Internet to understand the structure of the dean's school or division.

Introduction

Thank you for your participation in this study about career experiences that help to prepare academics for formal leadership positions, such as the role of dean. The goal of this research is to be able to identify different kinds of experiences that would be helpful for others in preparing for leadership positions in higher education. I will be asking you questions about your experiences as dean and about career-related experiences that you feel helped prepare you for your current role.

As stated in the consent form, I will be recording the interview and also taking notes. I want to assure you that your information will be kept confidential and I will not use your name or the name of your institution in any presentation or publication that may result from this research. You may stop the interview at any time without repercussions. Do you have any questions?

-
1. What is your name and title?
 2. How long have you served in this capacity?
 3. Which career-related experiences do you think helped to best prepare you for your current position?
 4. Tell me how those experiences helped prepare you for your work as a dean?
 5. Which career experiences, before your current role, were best for:
 - allowing you to practice leading others?
 - providing feedback on your leadership ability?
 - helping you learn knowledge or skills helpful in your current role as dean?
 - helping you develop different ways of understanding and approaching leadership problems? (Different leadership frames or models?)
 6. How would you characterize your current approach to leadership?
 7. What advice would you give to those who want to become a dean?
 8. Is there anything else that we have not covered that you would like to add? What else should I have asked you that I didn't?

Invitation to participate in member checking:

I am offering the opportunity to each participant in my study to review the transcript of your interview, and also my understanding of the interview, in order for you to provide any corrections and verification of it. Would you be interested in participating in this process?

If so, I will email these materials to you and I will need you to respond within 30 days (of receipt) with any corrections or comments.

APPENDIX C: Interview Protocol - CAO/Provosts

Note: Prior to each interview review CV and note items of interest for interview. Also collect data from the Internet to understand the structure of institution.

Introduction

Thank you for your participation in this study about career experiences that help to prepare academics for formal leadership positions. The goal of this research is to be able to identify different kinds of experiences that would be helpful for others in preparing for leadership positions in higher education.

As stated in the consent form, I will be recording the interview and also taking notes. I want to assure you that your information will be kept confidential and I will not use your name or the name of your institution in any presentation or publication that may result from this research. You may stop the interview at any time without repercussions. Do you have any questions?

-
1. What is your name and title?
 2. How long have you served in this capacity?
 3. What kinds of career experiences help academics develop to be effective deans or effective academic leaders?
 4. Are there any “must-have” kinds of career experiences that you consider to be a dividing line between academics who are qualified for an academic leadership role and those who are not? If so, what are they and why?
 5. How would you characterize your own approach to leadership?
 6. What career experiences have contributed most to developing this approach?
 7. Has your approach to leadership changed over time? If so how? and why?
 8. What advice would you give to those who want to become CAOs (Provosts)?
 9. Is there anything else that we have not covered that you would like to add? What else should I have asked you that I didn't?

Invitation to participate in member checking:

I am offering the opportunity to each participant in my study to review the transcript of your interview, and also my understanding of the interview, in order for you to provide any corrections and verification of it. Would you be interested in participating in this process?

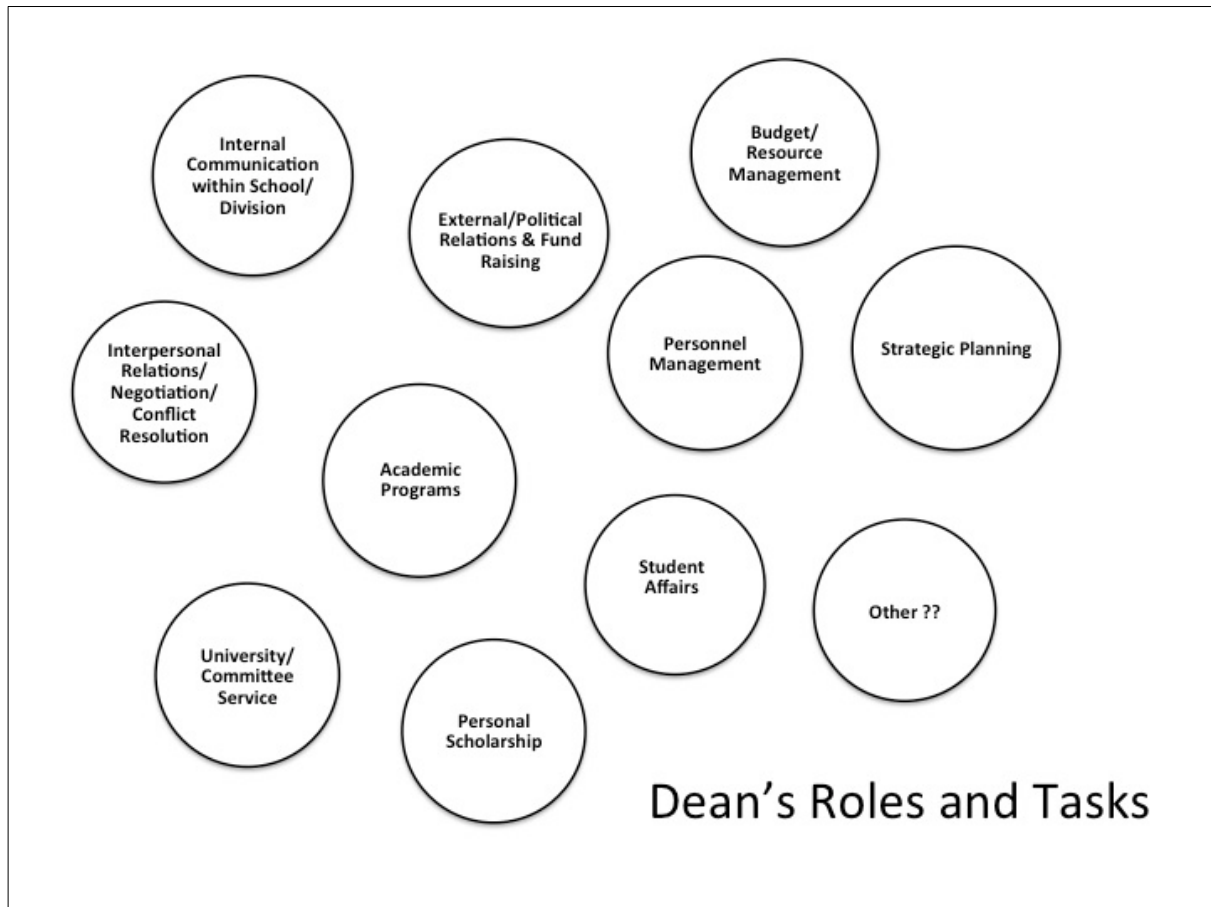
If so, I will email these materials to you and I will need you to respond within 30 days (of receipt) with any corrections or comments.

APPENDIX D: Short Survey Used in 2012 Study
(Drange, 2012)

1. **Name:** Type your name here
2. **Gender:** Male ☐
 Female ☐
3. **Race/Ethnicity** (select all that apply):
 Asian/ Asian/American ☐
 Black/ African/American ☐
 Hispanic/Latino ☐
 Native American ☐
 White ☐
 Other Type here to specify.
4. **National origin:** Type here to specify.
5. **Age:** Please type your age here in whole numbers.
6. **Marital/Partner Status:**
 Single ☐ Separated ☐ Divorced ☐ Widowed ☐ Married or have Partner ☐
7. **Family Status:** Have child/children ☐ Do not have child/children ☐
8. In what year did you receive your (first) Doctoral Degree? _____
9. If you are a Full Professor, in what year were you promoted to this rank? _____
10. What kind of assistance did you receive to prepare or position you for your current role?
 None ☐
 Mentoring ☐
 Sponsorship ☐
 Mentoring and Sponsorship ☐
11. On a scale of 1 – 7, with **1 being “very unprepared”** and **7 being “very well-prepared,”** how well do you feel your prior positions and activities prepared you for the roles and responsibilities of your current position?

Very unprepared							Very well-prepared
1	2	3	4	5	6	7	
☐	☐	☐	☐	☐	☐	☐	

APPENDIX E: Dean's Roles and Tasks Diagram



The list of deans' roles and tasks found in the literature (Table 2.3) was developed into a diagram that was used as a tool during interviews with academic deans and CAO/provosts in this study. This tool helped the interviewees to quickly consider discrete functions of their jobs, which helped in the discussion of the importance of each function, and also in recalling how they learned to perform them.

APPENDIX F: Additional Description of Deans in Interview Study

Pseudonym	Gender	Race/ Ethnicity	Age as of 1/1/14	Years as Dean in Current Institution**	Academic Field Code	# Depts.	#Faculty
Sandra	F	White	66	7	PROF	1 - 4	< 50
Robert	M	White	n/a	6	PROF	1 - 4	< 50
John	M	White	53	3.5	STEM	1 - 4	50 - 100
Debra	F	White	n/a	8	PROF	1 - 4	50 - 100
James	M	Minority	60	4	A/H	1 - 4	100 - 150
Barbara	F	White	62	5	STEM	1 - 4	100 - 150
Thomas	M	White	64	2.5	STEM	1 - 4	100 - 150
Mark	M	White	67	2.5	STEM	5 - 8	100 - 150
William	M	Minority	70	10	STEM	5 - 8	100 - 150
Linda*	F	Minority	58	5	A/H	13 - 16	150 - 200
Steven	M	White	69	4.5	STEM	5 - 9	200 - 250
Michael	M	White	49	1	A/H	13 - 16	200 - 250
Richard	M	White	66	4.5	HS	> 20	>550

*No longer serving as dean at time of interview.

**Does not include years as acting or interim dean.

Academic Field	Code
Health Science	HS
Arts and Humanities	A/H
Science, Technology, Engineering, Math	STEM
Social Science	SOC
Professional Schools	PROF

Carnegie Classifications | Institution Profiles

Public RU/VH Research Universities, very high research activity

Full-time four-year, more selective, higher transfer-in

APPENDIX G: Points of Entry for Academic Leaders in Study

Position	Entry to Higher Education		Entry to Current Institution	
	%	N	%	N
President/Chancellor	0.0	0	4.9	2
CAO/Provost	0.0	0	2.4	1
Academic Dean	2.4	1	29.3	12
Department Chair	0.0	0	2.4	1
Full Professor	2.4	1	19.5	8
Associate Professor	0.0	0	7.3	3
Assistant Professor	58.5	24	31.7	13
Instructor/Lecturer	26.8	11	2.4	1
Research Position	9.8	4	0.0	0
Total	100.0	41	100.0	41

APPENDIX H: Description of Variables Used in Analysis of Curriculum Vitae

Label	Description	Valid Cases	Mean	Min.	Max.*	Std. Dev.
GEN	Gender: Male =1 Female = 2	41	1.317	1	2	--
MIN	Minority Status: Non-minority (White) = 1 Minority = 2	41	1.171	1	2	--
Non US	Country of Origin: US (=1) or non-US (=2)	37	1.135	1	2	--
AGE	Age in years as of January 2012	38	61.82	47	71	5.07
MarPart	Relationship Status: Single (includes divorced or widowed) = 1 Married or partnered = 2	41	1.854	1	2	--
FAM	Have children = 1 No children = 0	40	.900	0	1	--
Phd2Full	Number of years from receipt of PhD (terminal degree) to becoming Full Professor.	41	13.85	5	35	5.47
Yrs2_1st	Number of years from receipt of PhD (terminal degree) to taking first role with admin. leader responsibilities.	41	11.05	0	27	7.40
ALLHELP	Received mentoring and/or sponsorship for current role = 1 Did not receive any = 0	41	.46	0	1	--
MENTOR	Received mentoring for current role = 1 Received Sponsorship or neither mentoring or sponsorship for current role = 0	41	.44	0	1	--
PREP	Self-rating of level of preparedness for current role Very unprepared = 1 Very well-prepared = 7	41	5.76	2	7	1.07
TOTINSTJB	Number of different places of employment since receipt of PhD.	41	3.22	1	7	1.48

Label	Description	Valid Cases	Mean	Min.	Max.*	Std. Dev.
BOTHPUB	Combination of the number of articles, book chapters and books listed on CV. One book = 10 articles/book chapters. No weighting applied.	40	128.35	21	576	100.31
REVBBD-GR	Service on review boards for grants or scholarships. Number of instances listed on CV.	21	6.00	1	31	6.97
TOTEDIT	Service as a journal editor or on an editorial board. Number of instances listed on CV.	34	13.82	1	48	13.19
TOTPRES	Number of scholarly presentations and keynote addresses listed on CV.	30	74.83	3	260	64.54
TOTGRANT	Number of grants listed on CV.	26	14.27	1	47	11.18
TOTAWD	Number of scholarly awards listed on CV at the regional level or above, includes induction into Academies.	37	6.70	1	36	7.90
Teach Awd	Number of teaching awards listed on CV.	19	2.32	1	8	1.89
TotASSOC	Number of different regional, national or international professional association memberships listed on CV.	29	5.41	1	17	3.82
TOTLEADEXP	Number of instances of service as an Academic Senate elected leader, Academic Senate committee chair, international, national, regional, system-wide or campus-wide chair of a committee or taskforce and/or officer of a regional, national or international professional association.	37	6.65	1	18	5.11
TOTCOMEXP	Service on a committee or taskforce at the campus-wide, system-wide, regional, national, or international level.	35	11.17	1	60	13.69
ADVRVBD	Member of an advisory or review board for a program, school or other entity.	27	8.70	1	39	9.36

Label	Description	Valid Cases	Mean	Min.	Max.*	Std. Dev.
TOTBDEXP	Total number of memberships on boards of directors (non-profit or corporate).	22	3.64	1	11	3.20
CONSL	Number of different instances of outside consulting service or paid work listed on CV.	18	11.61	1	56	13.20
TOTLDR	Total number of years of service in administrative leadership positions listed on CV since receipt of PhD/terminal degree.	41	20.26	1.5	36	8.25
TOTLDB4CURR	Total number of years of service in administrative leadership roles listed on CV since receipt of PhD/terminal degree before starting the current position type.	41	13.99	1	32	7.22

*Range includes outliers that were removed for correlation analyses.

SCHCODE2	Academic Field: determined either by the type of school (for deans) or by the field of terminal degree. Health = 1 Arts/Hum = 2 STEM = 3 SocSci = 4 Professional = 5
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APPENDIX I: Code Book for Deans and CAO/Provost Interviews

Group Code/Description	Sub-Codes
ATTRIBUTES-PERSONAL TRAITS Group code for attributes and personal traits described by interviewee as pertaining to self or others related to leadership ability.	• Calm • Comfortable with uncertainty chaos • Credibility • Easy-going • Energy • Ethical • Fair • Fearless • Flexible/ adaptive • Gregarious outgoing • Hard working • Honesty • Humble • Innate • Integrity • Patience • Positive attitude • Respect • Responsible • Risk taking • Sees Big Picture - Big Picture Thinker • Self-awareness • Self-Confidence • Self-esteem • Self-interest • Sense of humor/ Fun • Tenacity • Thick Skin • Truthful • Willing to buck the system
LEADERSHIP STYLE or THEORY Group code for types of leadership or leadership theories that interviewee mentioned or discussed during interview. Includes consultation collaboration sub-group code and empower sub-group code.	• Authentic Leadership • Consultation collaboration • Contingency Theory • Controlling • Empower • Lead by example • Problem solving orientation • Servant-Leadership
MOTIVATIONS of Leaders	• Access for Community

Group code for motivations to be a leader, reasons that interviewee was interested in being a leader, things or aspects of role that motivate the person to be a leader.	• Change Agent • Climate/culture/environment • Helping others/unit succeed vs. own success • Increasing academic standing of the unit/campus • Mission - academic mission • Shape the future of the campus/school • Visionary
CAREER PATH - TYPES Group code for different kinds of leader career paths or journeys to and in leader roles. Issues or elements of career path that might differentiate it from others. Relates to timing of career path, age-issues, whether the administrative path was chosen or not chosen, starting early, taking leaps, luck, gradual leadership roles of slowly increasing scope, etc. <i>Notes:</i> <i>"Boiled frog" means someone who was in different leadership positions for so long or so many times that they just became accustomed to it, and it was not an intended path.</i> <i>"Nester" is person who stayed at one institution for most of the career.</i> <i>"Nomad" is person who moved around from one institution to another multiple times.</i>	• Administrative Path - CHOSEN • Administrative Path - UNPLANNED • Age • Boiled Frog • Building portfolio - purposeful • Climbing the Ladder • Early - Start Early • Early in career • Gender • Getting stale in job • Gradual leadership path • Leaps in career • Learning Curve • Luck • Moving from Institution to Institution • Nester • Nomad • Not interested in higher positions • Private to public institution • Timing • UC System - Transition to
DIVERSITY - GROUP General group code for diversity-related issues that interviewees encountered, observed or discussed related to leadership or as leaders. Includes barriers, bullying, discrimination and harassment, bias, gendered behavior, microaggressions, socio-economic status.	• Barriers • Bias - race gender • Bullying • Discrimination and harassment • Diversity-related • Gendered behavior • Microaggressions • SES Academics are privileged

EXTRAMURAL/ PROFESSIONAL SERVICE Group code for roles that are part of professional service, which could be internal or external to the higher education institution. Chair or leader (top officer) of national or international professional society or committee; or a university systemwide committee (TOTLEADXP in CV study). Consulting work (paid or non-paid) for another entity (CONSL in CV study) Professional service for the department or the school/division Editor or service on editorial board (TOTEDIT in CV Study) Generic professional service or not specifically coded type.	• Academic Senate • Board Member Corp or Non Profit or Advisory (TOTBDEXP in CV study) • Chair of commission to rewrite City Charter • Chair or leader of national or international professional association or system-wide committee (TOTLEADXP) • Conference organizing • Consulting (CONSL) • Department/School Service • Editor Edit Board (TOTEDIT) • Experience Outside Academe • External Community Work • Graduate student leader • Member of national or international professional association (TOTASSOC) • Professional service • Program Review Board • Review Board Grants Scholarships
FEELINGS Group code for references to interviewee's feelings about something related to leadership role. Groups below for negative and for positive feelings.	• Humbling • Impatient • Isolated - academic • Obligation • Outgrew former role - too small • Skeptical • Stretch - felt like a • Surprising • Understand your own feelings about leadership
FEELINGS (Negative)	• Afraid in over my head • Anxiety • Difficult job • Disappointed • Embarrassing • Frustrated • Hurt • Less power more anxiety • Likes Least

	• Nothing prepares you for • Overwhelmed • Regret • Shock • Shouting • Stress • Terrified • Uncomfortable • Upsetting • Worrying
FEELINGS (Positive)	• Enjoy - variety • ENJOY - work with entire campus • Enjoy Faculty & Students • Enjoys current job • Fun • Happy • Like doing • Love this job • Love to teach and write • Loves doing research professor role • Proud • Reward/Motivation • Successful/feel good at
KNOWLEDGE GAINED/NEEDED Group code for knowledge (declarative knowledge, information, understanding of) gained or needed for leader role. This codes interviewee references related to types of knowledge gained for, or needed for, leader role.	• Academic discipline/field • Academic Personnel issues • Academic Programs/Instruction • Culture - understand it • Engineering • Evaluate Faculty Work/Department • Financial Knowledge • Gaining Broader Perspective • Grants • Group processes • International programs • Legal issues • Online learning • Organizational change • Pattern recognition • Policies • Political Savvy • Prior experience in UC system • Shared Governance • Similarities across universities

	• Structure of the university • Training ground • UC System - Transition to
POSITION TYPES - JOBS Group codes for all the position types/jobs in the study. Examples include department chair, dean, founding director, Academic Senate- Chair. Each type of position mentioned by an interviewee is coded as a code under this Position Types-Jobs group code. Pre-populated with codes found in the CV study and added to in interviews.	• Academic Senate - Chair • Academic Senate - Vice Chair • ACE Fellow • Assistant Dean • Assistant professor • Associate Dean • Associate professor • Dean • Dean of Extension • Department Chair • Department Vice Chair • Director of a Center or Institute • Director of Lab • EVC role spans academic and business sides • EVC Roles - importance • EVC/Provost • Executive Dean • Faculty Member • Founding Chair • Founding Dean • Founding Director • Graduate Advisor within the department • Graduate studies - dept • Interim Dean • Interim Position • Management positions outside academe • Most difficult position on campus • PI Grant • Preparation for EVC/P position • Professional school deans • Running a clinic • Self-employment • Structure of deanships • Taking turns to be department chair • Undergraduate studies - dept • Vice Provost • Vice Provost Academic Affairs • Visiting Scholar

PREPARATION/ DEVELOPMENT Group code for examples pointing to preparation or development for leader role. Includes instances of self-assessment of preparation for the role, if provided by interviewee. Includes examples of how the person learned, prepared or developed for leader role.	• Best Preparation • Dean - when I became • Department Chair - when I became • Easy transition • EVC/P - when I became • Felt Prepared • Gaining expertise over time • Graduate school doesn't teach administration • Incoming Deans Skill - HIGH • Incoming Deans Skill - LOW • Incoming Deans Skill - MEDIUM • Leadership Development Training • Leadership Development Training/Program • Leap • Learn from mistakes • Learning by Observation • Learning from feedback • Less prepared for • Living/working abroad • Maintaining balance • On-the-job Training
RELATIONSHIPS Group sub-code for all influential relationships. Has sub-groups for colleagues and feedback. Group sub-code for different kinds of feedback includes coaching, encouragement, mentoring and performance reviews.	• Colleagues • Consultant • Family situation or Spouse-Partner • Feedback • Gain Trust of others • Good will • Homogeneous group • Microaggressions • Networks • Post Docs • Relationship with staff • Relationship with your boss • Relationships with Faculty • Relationships with other deans • Role Modeling • Role of Staff Member • Students

ROLES AND TASKS Group code for Roles and Tasks of the dean or other leader type. Includes codes for each of the dean's roles that were provided to interviewees on the diagram of Deans Roles and Tasks. These are designated by "DR" (dean's role) and then the name of the role/task. Includes: Academic Programs, Budget Resource Management, External Political Relations and Fundraising, Internal Communication, Interpersonal Relations Negotiation Conflict Resolution, Personal Scholarship, Personnel Management - Faculty, Personnel Management - Staff, Strategic Planning, Student Affairs, University Committee Service. Includes codes for less time/more time spent on a role/task and also for high, medium, low importance for a dean's role.	• Dean's Role - HIGH Importance • Dean's Role - LOW Importance • Dean's Role - MEDIUM Importance • Diagram - Deans Roles • DR - More time • DR -Less time • DR Academic Programs • DR Budget Resource Management • DR External Political Relations and Fundraising • DR Internal Communication • DR Interpersonal Relations Negotiation Conflict Resolution • DR Personal Scholarship • DR Personnel Management FACULTY • DR Personnel Management STAFF • DR Strategic Planning • DR Student Affairs • DR University Committee Service • EVC Roles - importance
SELECTION FOR LEADERSHIP Group code for different items related to being selected for a leadership role. Includes codes for high, medium or low importance for being selected for a leadership role.	• Being Drafted • Competition • Department chair - never been • Exposure to decision makers • External Candidates • Failed search • Hiring Committee Star Struck • Internal Candidates • Luck • Managing well without asking for help • Non Academics as Leaders • Observing faculty behavior in other roles prior to appointment • Personality issue • Potential • Recruit from Senate • Recruiting and grooming faculty members for Department Chair • Recruiting women • Selection for Chair • Selection for Dean • Selection for EVC

	• Selection for EVC/P - never a chair - reluctant to • Selection for Leadership - HIGH importance • Selection for Leadership - LOW Importance • Selection for Leadership - MEDIUM Importance • Selection process - informal • Signals Interest in Leadership • Taking turns to be department chair • Viewed as highly successful in job
SELF-IDENTITY AS LEADER Group code for all instances or examples that related to self-identity as a leader.	• Boiled Frog • Exposure to a leadership role • Onset of interest in seeking higher administrative positions • Self-awareness • Self-Confidence • Self-esteem • SELF-IDENTITY as SCHOLAR • Self-Identity NOT as a LEADER • Signals Interest in Leadership • Testing ground
SIGNS OF DISTINCTION AS SCHOLAR Group code for things described that signaled distinction as a scholar.	• Awards • Distinction as a scholar • Membership in national academy • Nobel laureate • Presentations • Publishing
SKILLS/ BEHAVIORS - LEADERS Group code for skills and behaviors of the leader. Includes sub group codes for communication, consultation/ collaboration, financial or resource related skills, difficult issues or situations, personnel management, empowerment, planning skills, relationship skills, different kinds of leadership tactics. Also decision making, flexibility, innovation, fundraising, interdisciplinary, judgment, management skills, project management, getting results, risk taking, teaching.	• Academic entrepreneurialism • Administrative experience • Change Agent • Communication • Consultation/Collaboration • Decision-Making • Difficult issues or situations • Empowerment • Financial or Resource-related skills • Evaluating • Flexible/ adaptive • Fundraising • Gendered behavior • Handle failure • Innovation • Interdisciplinary

	• Judgment • Management skill • Planning • Project management experience • Relationship skills • Results - Accomplish something • Risk taking • Tactics • Teaching • Technical skill • Thorough • Transferable skills
VS. SCHOLARSHIP VS. ADMINISTRATION (LEADERSHIP) Group code for items that point to interest in or tradeoff between scholarship vs. administration/leadership. This is a VERSUS code -- one thing against the other, in contrast to.	• Increasing academic standing of the unit/campus • Necessary but not sufficient condition • Negative reference to leadership role • Respect and Scholarship • Scholarship • Time commitment • Tradeoffs

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