



Academic Leadership Development

Critical Capabilities at the Department Level

A Resource Guide Developed for the
Confronting Challenges in Academic Units Consortium
by the National Center for Professional and Research Ethics

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Confronting Challenges in Academic Units Consortium

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Academic Leadership Development Critical Capabilities at the Department Level



Quality department leaders are critical for creating and maintaining vibrant academic units.



Photo by Katemangostar / Freepik

Ongoing leadership development is necessary, especially for chairs and heads, to have the strongest institutions possible, and to build institutional capacity.

Supporting Critical Capabilities at the Department Level

This report examines development programs focused on the knowledge and skills that department-level leaders need to succeed in the face of the special features and challenges of the academic environment.

Effective leadership and stewardship at department level is essential to the success of academic institutions.

The need for well-prepared and effective academic leaders has never been greater. At a time of increasing turnover in academic administration—coupled with a changing external environment for higher education, budgetary challenges, demographic trends in the traditional college-age population, and expanded state and federal oversight—effective stewardship in higher education is critical.

Department-level leaders influence the success of institutional missions through their roles in recruiting, retaining, and developing faculty and staff, as well as in setting the tone for the professional climate and culture in their units. Departments are where most faculty and students live. They reflect the changing trends within disciplinary knowledge. They are the key site of faculty and student recruitment, retention, and success. Leaders of such units occupy a unique role at the junction between the faculty and mandates from deans, provosts, and chancellors.

Despite the need for focused, role-specific leadership development at the department-level to nourish vibrant units, efforts to provide it continue to be scattered and ad hoc.

There has been little examination of elements that are most crucial in an effective program of academic leadership development, and few institutions approach succession planning systematically, if at all.

In this report, we describe a sample of existing programs, provide perspectives on the subject from academic leaders, and issue a call to action to institutional leadership to identify best practices, increase offerings, and consolidate resources.

This project had its genesis from a gathering of academic leaders, primarily deans and provosts, who came together to discuss and share strategies that have helped them in dealing with challenged academic units, those that are less than vibrant, troubled, or challenged in their ability to function effectively.

We started by looking for features that characterize flourishing academic units and ways to create and sustain these critical capabilities. We believe that in a vibrant unit:

- 1) The academic mission is strong: the unit has a commitment to quality teaching, research, service, mentoring, and shared governance.
- 2) The unit has a culture with an ethos of trust, respect, excellence, willingness to compromise, and willingness to share work fairly.

- 3) It has strong leadership with high levels of integrity, characterized by clear communication and transparency, and with shared planning and decision-making.
- 4) It is free from inappropriate external influences and able to prioritize appropriately for its role in the larger institution.

In each of these, the preparation and quality of unit-level leadership plays a central role. In particular, recognizing indicators of unit success or difficulty is part of the needed skill set: the department leader is critical in successful units and an essential component of constructive change in a challenged one. We thus collected (Appendix A) information on preparation programs for new unit-level leaders.

Out of those gatherings of academic leaders also grew a consortium (see box on CCAU) that offers, among other resources, a dashboard of indicators (Appendix B) for identifying unit-level challenges before they become incapacitating, as well as approaches and solutions for addressing those challenges. Many of the challenges facing units that catalyzed this project could have been prevented or mitigated by leaders who could see those issues in a larger context and were prepared with skills and tools to address them.

Particular Challenges in the Academic Environment

Academic leaders benefit from broad horizons, and a good understanding of the underpinning evolutionary history and mission of higher education, the concept of the professorate, the role of faculty governance, the foundational concepts of the national research structure, global cultures, and expectations of the citizenry of the public university. As the first tier of institutional leadership, the role of unit head provides opportunities for new leaders in higher education, who face challenges that do not always draw from the same strengths that led to their academic success. Often at or near the peak of their research and teaching careers, new department heads or chairs are



New frontline academic leaders may find themselves on a steep learning curve.



CCAU: Confronting Challenges in Academic Units

The CCAU Consortium offers support for dealing with units that are challenged in their ability to function effectively. Consortium resources help identify the features that characterize and sustain flourishing academic units and the ways in which academic units can mitigate difficulties. The consortium offers indicators for diagnosing areas of challenge, along with approaches and solutions for addressing them and confidential networking with colleagues who have experience and insights.

Through membership in the consortium, institutions gain access to CCAU resources and strategies, as well as

the opportunity to work with NCPRE staff and affiliated experts in invitation-only working conferences for institutional leaders who are dealing with challenged units and who want effective strategies for tackling these challenges. Each conference includes a limited number of selected attendees who bring their experience and wisdom to collaborative discussions on the challenges faced. Participants are guided through the development of problem-focused strategies based on our experience with effective practices, tailored to the particulars of each case. The goal of each event is for participants to leave with actionable strategies for the problems they face.

The cornerstone of CCAU's work with challenged academic units is the Academic Unit Diagnostic Tool, or **AUDiT**; available at <https://tinyurl.com/NCPRE-AUDiT>.

CCAU is hosted by the National Center for Professional and Research Ethics (NCPRE) at the University of Illinois Urbana-Champaign; NCPRE supports the Consortium in developing concepts, labels, tools, and approaches for dealing with challenges in a principled, pragmatic, and effective manner. NCPRE provides support for aspiring and sitting academic leaders through its online **Leadership Collection** (<https://tinyurl.com/leadership-collection>), a multi-media library of management and leadership materials developed and curated specifically for academic leaders.

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frequently ill-equipped for providing effective financial and compliance oversight, for using administrative data effectively for decision-making, for managing conflict, for navigating changed relationships with former (and future) peers and colleagues, or for coping with the often-difficult conversations they need to have with them.

Few new frontline academic leaders have spent much time contemplating, much less preparing, for a role that requires financial management and leadership skills. Department heads and chairs are almost universally drawn from the ranks of faculty, yet it is not a role to which top academics usually aspire in an environment that rewards individual endeavor and intellectual entrepreneurship. Many of these roles carry a great deal of responsibility with little formal authority. Finding faculty willing to set aside some part of their own scholarly agendas to serve in these roles is increasingly difficult. In some cases, the people who most aspire to them are not necessarily the those best suited to them (and vice versa).

The context is also challenging because academic departments vary in size from complex organizations, housing over 100 individual faculty members in a variety of strong sub-disciplines, to very small units with fewer than 10 tenure-track positions focused on a specific discipline. The executive officer of a large unit is essentially a full-time professional administrator, while in the case of small units, the leader is usually a fully-engaged member of the faculty with only a part-time leadership role. In both cases, effective leadership is critical to the health and long-term success of unit and the same fundamental principles apply—integrity, skilled interpersonal interactions, vision, clarity of purpose, transparency, and absence of manipulative actions motivated for personal or political gain.

Size also influences the level of authority granted to the role by institutional governing documents, more senior campus leaders, and the faculty governance structure. Large units typically include a business office that executes a host of budget, personal and facilities functions, and in addition the head may have oversight over a large research infrastructure involving relationships with other universities domestically and internationally. In this case, the department head often has very significant decision authority over these different functions. In the instance of a small unit, the majority of these functions may be served by a college or campus-level service unit with the chair or head having assigned authority for matters such as hiring faculty and staff, oversight of curriculum, assignment of instructional responsibilities and classroom and office space. While

leaders in large units often receive modest administrative stipends or have their academic year appointment extended into the summer, leaders of small units are often only compensated through course release arrangements.

Leadership training programs should not ignore these differences, and in fact should appreciate that it can be more difficult (sometimes, much more) to provide effective leadership to a small unit where personal relationships loom large than to a larger unit. An additional complicating factor can be the expectation that the leadership of the unit should rotate regularly, sometimes as often as every two to three years; in larger units, a five-year term with annual reviews tends to be more common, permitting a bit longer horizon for planning and implementation of principled decisions.



Program design should consider a range of issues including audience, timing, format, and content.

Where to Begin?

Thoughtful program design should consider a range of issues including concepts and techniques important to effective academic leadership as well as an orientation to institutional policies and procedures. Because management policies and procedures are relatively straightforward, uni-

versities often emphasize these matters instead of the more elusive “soft skills” of leadership that relate to human interactions. Yet coping with these human interactions is essential to successful leadership because they influence the effectiveness of policy and procedure implementation.

Audience

For new unit executive officer programs, the audience is generally those who have not had formal academic leadership roles with unit-wide or broader responsibilities.

Often, training cohorts include both newly appointed department heads/chairs as well as deans and more senior executives.

While that may be appropriate in many instances, especially for programs focused on an orientation to institutional policies and procedures, it is may not be sufficient for full consideration of how unit-level leaders engage with individuals and groups.

Department heads/chairs are almost always in a role of direct leadership in which they engage personally with individuals in their unit. Conversely, deans, associate deans, directors and campus-level leaders are often in positions of indirect stewardship where they rely more on the efforts of subordinate leaders and communication to achieve their goals. The skills of indirect leadership are substantially different from those of direct leadership, so some consideration may be warranted of how to help orient new deans and campus-level leaders to the changes needed to be effective at new levels. Similarly, many institutions are recognizing the need to prepare new investigators for the management and leadership responsibilities in a research group or laboratory. While related, those elements are beyond our scope here.

Timing and frequency

What information to provide, and when, is a very real challenge. Programs must balance the need to alert new unit leaders to a wide range of topics without being over-

whelming or off-putting when orienting new leaders to tasks and roles that can be challenging and that can affect relationships with longstanding colleagues.

We know that learning and retention occur best when learners can immediately apply new information. Yet for reasons of timing and convenience, a typical approach is to provide some program for new department leaders at the outset, but then offer very little follow-up or ongoing professional development once individuals are in the position and encountering challenges. This ignores the reality that leadership development occurs over time and requires ongoing support and learning.

Thus, it is important to select which topics can and should be addressed before leadership responsibilities are undertaken, and those that are more effectively provided as part of ongoing support during service. This includes consideration of the balance between and emphasis on hard vs. soft skills (budget vs dealing with conflict); and when particular institutional functions occur such as promotion and tenure, annual evaluations, submission of financial requests, etc.

In what follows we provide an overview of the format and topics that we believe should be part of an effective leadership program, along with some guidelines for when (early, or ongoing, or both) such training is best provided. We have surveyed several existing programs and have drawn out what appear to be some best practices, and offer links to valuable existing resources.

Features That Work

Content

A first choice is whether to focus on institution-specific vs. broader skills of unit-level leadership.

This choice, in turn, will drive decisions about whether to invite internal vs. external speakers; whether to kick off the year with an external speaker, and then follow with all-internal programming, or some other configuration. External speakers can bring perspective and credibility, and it is sometimes easier for them to raise hard questions and deliver challenging messages that are heard and absorbed. A roster of entirely internal speakers can bring specific local knowledge (and, at times, insularity); build networks for problem solving; and provide introductions to resources within the institution for later needs.

A second choice is how to balance “informational” vs. “transformational” goals.

Informational forms of learning strive to impart new and unknown facts, information, and data to make the unfamiliar more familiar, while transformational forms of learning seek to challenge existing ways of “knowing,” explore long-standing



Photo by Katemangostar/ Feepik

External speakers can bring fresh perspectives.

The Skill Sets

Regardless of the path to administration, virtually every new leader discovers the need for a new set of skills.

"One of the problems with the academic world is that you have to be a credible academic, and people invest years and years of training in becoming scientists and scholars. And then you're asked to give that all up and to manage people," said Kevin Grigsby, now the senior director for organizational leadership development at the American Association of Medical Colleges. "Generally the reward mechanisms in academia reward individual behaviors. But leading is a team sport. You have to shift from a model of 'every tub on its own bottom' to one of 'follow me.' And that is very difficult for many, many people, especially those people who have no training in that area."

"The challenge you have is somebody who's been very successful as an academic, but has not had significant preparation for a leadership role suddenly is asked to do the job," said Robert Easter, now president emeritus of the University of Illinois, "and quite often and quite often the faculty who are involved in that decision process tend to ... look at the academic credentials—you do good research, you teach well—and they're important, but leadership understanding is really important. And they sometimes will identify individuals who are great scholars but really struggle when they get into leadership positions."

In some cases, experience unrelated to academics can help the transition.

That was true for Robert Easter. "I was active in the rural youth organization Future Farmers of America, [and] became a state officer, so I had some



Management precursors can take shape in many ways.

practical experience in organizational operations, how to conduct meetings, and those kinds of things," he said. "Then, as [with] many of my generation, Uncle Sam asked me to join the military. I went through ROTC at Texas A&M and actually wound up spending 20 years as a reserve officer. And, from command experience I had some sense of the challenges of managing people in organizations. I had gone through the command and general staff course on leadership, so I'd had some fairly serious decision-making experience and training—in a very different context, but some of the fundamentals apply across the board. Probably most important was the opportunity to gain confidence, realizing you have to make a decision and then having the confidence that once you made the decision not to just fall apart when somebody criticizes you for making that decision."

For Amy Wildermuth, associate vice president for faculty at the University of Utah, it was an experience as a teenager working at her hometown public swimming pool that stands out as a management precursor to this day.

"I was 18 and I ran this place," she said. "We had 4,000 people that would come in—it wasn't quite a water park, but it was pretty popular, and it was a great place to come when it was really hot. And I had a woman who just lost it on me, because

she was bringing in breast milk for her baby in a glass bottle, and we didn't allow glass around the pool. And she just lost it. And I remember thinking, at 18, 'This is a really important moment, and I've got to do the right thing.' And I said, 'You know what? I think we have a solution to this. I'm going to put your glass bottles in my refrigerator here in my office, and whenever you need to feed your baby, just come in here. Come in the cool and you can just feed her. How does that work?' And I remember thinking that was a really important moment for me, to figure out a different solution, with a person in a really tough place. She's got three kids, it's really, really hot, they're just trying to go swimming—and now, as a parent, I really understand that moment."

Involvement outside the classroom can help produce management skills.

"I definitely was quite involved in my disciplinary society, the [American Association of Geographers], long before my institutional administrative opportunities arose," said Kavita Pandit, associate provost for faculty affairs at Georgia State University. "That involved kind of a leadership training in its own way. Even though there wasn't formal training, you were kind of being coached to bring people along and create consensus."

How does the Transition Happen in Practice?

Robert Easter is an expert in swine nutrition.

Kavita Pandit is a geographer.

Amy Wildermuth is a lawyer.

Kevin Grigsby is a social worker.

All four left successful academic careers to embark on an entirely different path, university administration. Countless others have made or will make the same journey—perhaps believing the new direction a mere detour, only to find their entire life route has changed.

The skills most university faculty have acquired will rarely include the abilities necessary to manage a unit or department. But skills acquired in other endeavors can become unexpectedly useful.

Further, as administrators' roles have become more sophisticated over the past few decades, so have development programs. Some have long standing, while universities also are creating programs unique to their settings.

But the nature and extent of training for new university administrators remains inconsistent.

Kevin Grigsby “went kicking and screaming” into administration, as he had been firmly on an academic track. “In medicine, I’ve held all the titles one can hold from clinical instructor to full professor.”

He was the interim director of research and development at the Telemedicine Center at the Medical College of Georgia when, at the conclusion of a search, he was asked to take the position.



“I’d experienced such bad modeling of leaders. My department chair at the Medical College of Georgia went to prison,” said Grigsby. “The dean, who I think knew me better than I knew me at the time, said, ‘I’m going to appoint you anyway.’”

The interim-to-permanent switch is one common way to move from faculty to administration. Another is to be invited to apply for a position.

Amy Wildermuth was at a fork in her professional road, as a law professor at the University of Utah, contemplating other opportunities, including a potential deanship elsewhere. When the position of associate vice president for faculty came open, she was encouraged to apply by a senior vice president.

“In my experience,” Wildermuth said, “it was important to have people around me say ‘This is something you should consider, or you should think about,’ encouraging me. . . . That was what got me interested in doing it, and for me, with this particular job, it was really about the personal relationship that I had (with former president David Pershing). In our relationship, he saw things in me that I did not know I was capable of.”

Robert Easter “really had no administrative ambition” when he became head of the Department of Animal Science at the University of Illinois.

“We had a meeting of the faculty advisory committee and they basically said, ‘Bob, it’s your turn.’ There was a search done, there were external candidates. I did it as an interim for six to eight months. I really wasn’t sure—and that’s probably why they did the search—I wasn’t sure I wanted to do it.

“I was close to the peak of my academic career. I had some great students, I had good funding, we were moving things forward. I was doing significant consulting and enjoying that. But it seemed like an opportunity that I needed to take, but more than that, some sense of expectation to do it.”

Kavita Pandit was associate chair of the Department of Geography at the University of Georgia when she received an offer for a department chair’s position at the University of Arizona and told her department chair at the University of Georgia. The chair at Georgia not only urged her against accepting it but “also said, ‘I’ve been thinking of retiring and so this will be my last year.’ Of course, they didn’t anoint me as the next chair, but (I knew) it would open up.”

She had found the associate chair’s position more fulfilling than her professor’s position, “and I just found that I was good at it. At that point, the idea of maybe getting engaged more in administration just made itself more apparent.”

personal and organizational assumptions, and interrogate traditional views of the world—to make the familiar less familiar. Metaphorically, this distinction is analogous to downloading new apps (informational) versus installing a new operating system (transformational). While many professional development experiences emphasize the “informational,” and there is much information to impart, the “transformational” can make significant differences for leadership development and institutional strength.

Selection of participants

How will participants be selected? Will they be self-nominated? Nominated by leaders or chosen centrally?

Self-nomination

- Pros: Participants are willing, even enthusiastic. They recognize the value of the information, which can increase retention and application of content and information.
- Cons: Often participants are already on the way to becoming (or are) strong leaders. The people who need help the most, who are unwilling or unable to recognize their need for help developing as leaders, can be missed. Potential participants can be reticent to self-nominate. Self-nomination may come after mistakes are made, rather than proactively.

Everyone in new position attends

- Pros: There is an institutionalized attendance expectation, which reinforces the importance and improves attendance. It can build networks and information is provided at the outset of new roles, rather than later. If there is an expectation that attendees also participate in subsequent programs, it can build a cohort.
- Cons: This approach can miss those already in leadership positions who could benefit from the

program and development opportunities. Attendance can devolve into pro-forma “just another mandatory training,” rather than elicit willing participation. If too much new information is provided at one time, it can overwhelm participants.

Only certain people attend (nominations/cohorts)

- Pros: A selected cohort can be leveraged for deliberate leadership development and succession planning. Nomination can include those considered likely to take on broader institutional responsibilities. Managed correctly, nomination can be seen as institutional approbation/appreciation.
- Cons: Nominated participants may have concerns that there is a perception they do not know how to do their jobs. It can provide information late, after mistakes are made.

Location

Removing people from the hustle and bustle of their daily responsibilities is critical if participants are to have the cognitive space to engage with new

material. The pressure of everyday responsibilities serves as a distraction limiting attention to the leadership development program. Cohort and interdepartmental relationships form more easily when contact between participants is prolonged and focused. These relationships can benefit the campus through peer support networks and even cross-departmental collaborations. It also shows the participants that their university cares about their development and treats this seriously, not simply as another bureaucratic box to check.

Even in-house programs benefit from off-campus locations for multiple day programs.

Format

The programs we examined typically fit into four general patterns:

- orientation for new leaders before the start of the academic year or term;
- lunch programs throughout the year on one topic at a time;
- periodic programs beyond lunch-hour duration, sometimes monthly, sometimes biweekly,



Holding sessions in a separate location increases focus and lessens distractions.

with a planned, cohesive program of sessions; and

- residential programs requiring new leaders to leave their own campuses behind and become part of a cohort, whether formally or informally, over months or years.

In many cases, leadership development includes elements of more than one—an orientation followed by periodic sessions throughout the year, for example. Even the briefest of development programs appears to serve the university—and the leader—better than no program at all, especially when new leaders are exposed to university personnel who are available to assist when issues arise.

Ongoing support

Even the best leaders can benefit from access to sounding boards and resources. Leadership styles and strengths develop over time. Program sessions can serve as food for thought and raise awareness, yet the real learning comes over time as participants deploy their new skills and behaviors to guide their units.

Ideally, ongoing support includes modeling of good leadership skills and thoughtful, planned mentoring from leaders higher in the institution. This can reinforce the values and behaviors introduced in development programs, and build a consistent institutional culture.

Participants will often have questions and situations that require consultation prior to decision and action. In addition to regular meetings and mentoring, an institutional safety net is provided if there is a supportive, non-punitive central hot-line or resource person who can help “direct traffic” when challenges or problems arise by connecting leaders with the resources/offices/policies. Early resources and guidance can be



New and experienced leaders benefit from time spent with peers developing and refining essential skills.

help prevent problems from growing to the point they contribute to departmental dysfunction.

Finally, peers can be a source of ongoing support, serve as sounding boards, and strengthen the lessons and skills learned at formal sessions. Peers may retain different information from formal sessions, more relevant to each at the time.

They can share experiences, and add relevant anecdotal evidence that reinforces more formal sessions. Peer cohorts, groups, or pairs can share the burden of ongoing support with formally appointed resource people. Crowd-sourcing for advice comes more naturally to rising generations, and preparing for those inclinations institutionally may be prudent.

The Essence of Effective Content

Our team surveyed a number of programs and a summary of common elements is shown in Appendix A. From these interviews with sitting leaders and those responsible for developing and offering academic leadership programs, the following elements emerged as a core of important topics for front-line leaders in colleges and universities.

Specific roles and responsibilities

Topics in this category include transitioning to leadership from being a peer—with prospects of returning to the professoriate after a term of service; promotion and

tenure, compliance and reporting obligations; budget management; mentoring, research, and career development; tone-setting and culture management.

These topics are a mix of institution-specific local policies (though often driven by external regulations) and a more generic topic, the difficulties of transitioning to leadership. In academia, the latter is complicated by two factors: the universal experience that evaluating another will change your relationship with that person permanently, and the specific reality that an academic leader is quite likely to return to faculty status in



Illustrated by Kreativkolors / Freepik

Conflict: Where the Rubber Meets the Road

It is a shared perception of many that more people leave front-line academic leadership positions because of the toll of difficult conversations and conflict management than any other reason.

"In academia, what's difficult is that faculty are not trained, or necessarily required on a regular basis, to resolve conflict or to be part of conflict or to have a difficult conversation," said Amy Wildermuth. "Those kinds of personnel situations or issues that would emerge in other settings are not necessarily ones that I would run into in my everyday life as a law professor. I don't know that there's more conflict in academia. I think what we have is you have to take the context of academia, which is that everybody's kind of an independent operator. So there's no hierarchical structure. ... The faculty, because they hold tenure, because they're academics, nobody tells them what to do. ... It's not the same kind of employee-employer relationship that you might find in other settings. ... We had somebody who got injured on a worker's comp (case) and they had to get a supervisor to sign, and they said 'I don't have a supervisor.' I said 'I think they mean for the (department) chair to sign it, and they said, 'The chair is not my supervisor.' 'OK, we're filling this form out for the state, could you just go with me here?'

"But all of that said, I don't think people are all that great at having difficult conversations. And that's really what we're talking about. When somebody upsets you, to be able to say, 'You've upset me, and here's why,' and not scream or cry, is a really hard skill. To say a hard thing or a difficult thing that needs to be said, most people don't know how to do it. And it takes this emotional toll. And they can't keep their tone even, sort of keep the conversation in a neutral state is very, very hard. ... My experience is that that's not unique to academia. It's just that it might come across as a little different because of that unique setting of academia."

"I cannot think of a single administrator for whom (conflict) has not popped up," said Kavita Pandit, associate provost for faculty affairs at Georgia State University. "I'd say it's 100 percent. It is totally there in some form or another. I certainly encountered – I shouldn't call it past tense – it's a continuing part of administration. I think a certain level of conflict is not a bad thing. I think if there is zero conflict, there may be a problem, because when you're trying to excel and reach higher, do something, modify with the times, there are changes involved and there are at some level winners and losers. So I think some basic level of conflict is not a bad thing."

"There's multiple levels of conflict," said Robert Easter. "There's conflict between the administrator and groups of faculty or individual faculty, but there's also conflict between groups of professors within a faculty or staff, and I think one of the significant roles an administrator has is trying to deal with that. There's no

question that it's human behavior, it's inevitable. Probably one of the most important things to me is being able to just sit down and listen to both sides of it and give the sense that you're giving them full opportunity to vent their frustrations. One of the things that I came to believe ... is that most people really know the right answer. They each have their points of view and they don't want to be disadvantaged. We are humans and don't want to be disadvantaged even if we know that we should be. And so it's been my experience if you really let people know they've had a chance to make their case, they're a lot more willing to accept something that's adversarial to what they wanted to do."

Kevin Grigsby estimates that "at least 50 percent" of administrators' tasks are related to conflict, for which they are "almost never" prepared: "Human resources, managing people: it's new. People are used to managing laboratories or managing clinics. But they haven't had much experience managing a whole group of people—especially a whole group of people who all consider themselves to be loosely affiliated, independent contractors. Faculty don't really see themselves as employees."



Department heads are at the junction between faculty and institutional leadership.

the same unit, especially in units that elect their chairs for very short terms of two to three years' duration. Addressing this directly can be helpful for new leaders, especially through providing concepts, tools, and specific words for framing the execution of evaluations in terms of duties in the role.

Nuts & bolts of daily unit life

Topics in this category include: what is a university budget; how funds flow to departments; what financial information department chairs should know in terms of codes and approvals, and what not to approve; what items can be approved at the unit level vs. which need second-level review; growing the financial capacity of the unit where possible; offices in the university that can provide support; managing office space and facilities; campus safety.

Most institutions are decentralized organizations that operate under many layers of regulation, and few faculty members will have been aware of many of them, much less have any background for managing compliance with them or meeting reporting requirements. The fortunate few will have some administra-

tive infrastructure in the unit that provides a collective memory and operating procedures—but all too often, these are not present, whether because the unit is too small to support its own staff or infrastructure, or because there is no institutional memory.

Interpersonal and communication skills

Among the topics new leaders ask for most frequently are how to communicate effectively within and external to the unit; time management; negotiation skills; effective meetings and use of committees and advisors; conflict resolution and difficult conversations; handling difficult people, stress and life balance. How programs introduce and build skills in these areas can be pivotal in how successful—and long-lasting—unit-level leaders are.

Making and keeping unit friends

Fund-raising/donor and alumni relations and supervision of those professionals responsible for these activities within the unit are topics that often require both orientation to institutional philosophies and reporting lines and some grounding in effective approaches and mindsets.

Institutional political structure

Of all the areas, protocols for interacting with boards of trustees, and regional, state, and federal oversight relationships is often the one for which new leaders have been least prepared by their faculty experience. And, it is an area where early missteps can cause damage to the unit. Proactive, well-coordinated and effective engagement with external constituencies important to institutional support is fundamental to the long-term success of the institution; it is a responsibility of institutional leaders at all levels; and it is possible.

Fundamental concepts of leadership

Underlying effective leadership is a strong sense of personal centering that includes the ability to articulate values; understand and adopt appropriate leadership styles for different situations; why and how to achieve appropriate transparency and accountability; communication; and basics of personnel management, including the importance of policy and procedures.

Sustaining a Vibrant Unit

The critical capabilities of strong academic units include student learning occurring at appropriate quality, volume; scholarship, research, and creative work being done at institutional standards, with impact; service and outreach that contribute to institutional mission; and governance that meets ethical and legal standards, and that is fiscally responsible. In a vibrant unit:

- 1) The academic mission is strong: the unit has a commitment to quality teaching, research, service, mentoring, and shared governance.
- 2) The unit has a culture with an ethos of trust, respect, excellence, willingness to compromise, and willingness to share work fairly.
- 3) It has strong leadership with high levels of integrity, characterized by clear communication and transparency, and with shared planning and decision-making.
- 4) It is free from inappropriate external influences and able to prioritize appropriately for its role in the larger institution.

We ask a lot of our front-line leaders. They are asked to create and sustain unit cultures in which individual creativity and entrepreneurship flourish while also maintaining a sense of identity, purpose, belonging, and responsibility to the mission of the institution. The individuals who serve in these leadership roles need and deserve thoughtful development and investment from our institutions.

Appendix A: Selected Leadership Program Profiles

Some universities and groups have long had programs aimed at leadership preparation and development; others are more sporadic or individually-focused. Programs vary in duration, frequency, and subject matter, with some focusing on institution-specific needs and cultures while others include more general matters as well. They differ in goals and target audiences.

We're grateful to the institutions mentioned for providing this information, either directly from their own materials or via interviews with institutional representatives.

Orientation Programs, with or without follow-on

The days before students return and classes resume provide an ideal opportunity for providing information to new leaders. With few of the distractions, and with the leaders already present and preparing to take on their new challenges, the timing makes sense. Within that timing, though, programs may differ in what they attempt to accomplish.

In many cases, whether directly linked or not, participants in the orientation program also have access to a schedule of periodic sessions throughout the year to discuss planned or newly pertinent topics.



The **University of Illinois Urbana-Champaign** initiated its formal programs for leadership development in the 1980s. Since then, some form of a multiple-day retreat is conducted just before the start of the fall semester; presently, it stands at two days. The Senior Leadership Retreat is designed to acquaint newly appointed executive

officers with university policies and procedures. It also provides a forum in which executive officers can meet with colleagues, share experiences, and gain knowledge of pertinent on-campus resources.

Sessions, held on campus but not in a classroom building, include budget and financial matters, building and maintaining a strong unit and how to make use of data resources. Case studies include the use of data as well as human resources challenges. Top campus leaders are presenters, and time is devoted to introducing key campus officials, including chancellor's representatives on research, advancement, international affairs, student affairs and public affairs. Another session is devoted to advice from current deans and department heads.



At **Georgia State University**, there is a one-day orientation for new department chairs just before the fall semester begins. The daylong program includes information on transitioning to leadership, budgeting and finance, faculty hiring and

mentoring, promotion and tenure processes, working with staff, handling difficult situations, and time management. Presenters are all internal to the university and range from professors to department chairs to representatives of the provost's office to a senior vice president. All department chairs then may take part in monthly "lunch-and-share" sessions on a range of topics. (See below)



At the **University of Wisconsin-Madison**, a "Chairs Boot Camp" was introduced in 2016-17. Lasting for three days before the start of the fall semester, it is the first campus-wide effort at the university to prepare new department chairs for their positions.

The first day's sessions cover basic facts chairs need to know; the expectations of leadership; and living with disruptions, ambiguity and crises. The second day deals with money and budgets; motivating faculty and staff; and effective department governance with relation to meetings, committees and strategic planning.

The final day covers managing conflict and having difficult conversations, developing faculty and staff; and communication, outreach and funding.

The speakers are all from the university, chosen during brainstorming sessions over the summer. Their presentations include discussion and case studies. Weekly chats are held all year for department chairs. (See below)

Periodic Programs

Several universities dedicate time throughout the academic year to bringing leaders together. These sessions, typically scheduled for a recurring day and time, have topics and presenters scheduled in advance.

Within that structure, though, the programs take different approaches. Some are lunchtime programs; others are longer sessions in a regularly scheduled morning or afternoon.



Lunchtime programs

At the **University of Utah** (above), monthly academic leader lunches are held to discuss topics that will arise or have arisen. Among the topics: the hiring process; an introduction to a behavioral intervention team, created to help students in distress; the university's budget process and outlook for the next year; faculty, staff and student discipline; and campus safety.

At **Georgia State University**, a “lunch-and-share” session is held monthly for department chairs, with topics chosen from suggestions by the chairs and other officials. They have ranged from managing faculty service loads, advising faculty on political expressions and mentoring assistant professors about promotion and tenure. There is an ability to adapt for timely issues: Following the passage of a state law allowing handguns on campus, a session focused on the effects of this law was organized.

At the **University of Wisconsin-Madison**, topics for the weekly “chairs chats” fall into four primary areas for department chairs: strategic planning, supervision and management, budgets and finance, and climate and inclusion. Some of the sessions follow the peer-to-peer (“chat”) model, and some are led by experienced chairs and other academic leaders. Among the sessions for the fall 2017 semester: guidance for making a strategic plan; how to take actions that positively affect a department's climate; and mentoring faculty and staff.

Ongoing Periodic Programs

At the **University of Illinois Urbana-Champaign**, a biweekly Academic Leadership Series, designed for new and experienced executive officers, has been in place for years. As currently configured, the 90-minute sessions include some specifically designed for newer officers, though all the sessions are open to all. Sessions are all held on campus.

The topics for the 2017-18 academic year include how-to and culture issues:

- How to compile strong promotion and tenure packages
- How to work with the university's Advancement officers to cultivate relationships with donors and alumni

- A discussion of the campus budgetary process, the current budget, and related financial issues
- Successful leadership approaches, strategies, and styles.
- Strategies and resources for navigating challenges and opportunities related to diversity, equity, access, and inclusion in graduate education
- Strategies and best practices for using feedback from program review and student learning outcomes to improve your unit
- How to approach staff personnel issues with fairness and professionalism
- An update on the campus budget situation, advice on discussing the budget with the faculty, and suggestions for promoting long-term financial stability in the unit
- A conversation on how best to use annual reviews to support faculty at all career stages
- A discussion of how space is allocated across campus and plans for the future
- How to build and maintain an open and inclusive climate in your unit
- An interactive demonstration of data available to leaders

At the **University of Utah**, a two-semester leadership development program has been in place for several years. It is especially targeted to those who are about to become leaders, or those in their first year of a leadership position, although notice of the program is widely distributed and it is open to others. The focus changed about five years ago to elements that allow participants to reflect on their individual leadership style. So the sessions are less about how a budget works or

how promotion and tenure works, and more about recognizing qualities in oneself and in others.

The fall session consists of three-hour meetings every other Friday, with presenters from the university or the local community who have an expertise in the subject. Topics cover leadership fundamentals, collaboration, negotiation styles, problem definition and tools, difficult conversations and both Myers Briggs Type Indicator (MBTI) and Thomas Kilmann Conflict Modes (TKI). Presentations are done via group discussion and role play.

Most of the participants in the fall sessions immediately take the second element of the sequence in the spring. Those five sessions include the Birkman assessment, conflict navigation and consensus building, facilitating inclusive environments, advanced negotiation, and leading and implementing change. These sessions also are three hours each, approximately every other week. As with the fall semester, the presenters are mostly university leaders; over time, the number of potential presenters for topics has grown, to cover availability from one semester to another.

Georgia State University's Academic Leadership Development Series set out to build a culture of outstanding leadership at the university using a strategic, staged process.

Year 1 (2016-2017): Signaling the importance of leadership from the top down. In the first year, the academic leadership program involved all academic administrators from department chairs to vice presidents in high-level monthly sessions. Session topics focused on the strategic goals of the university and innovative approaches that leaders can take toward advancing these goals. Sessions also underscored how the university works as a system, and the roles and responsibilities of each administra-



tor within this system. At the end of the first year, several deans initiated college-level leadership conversations and initiatives.

Year 2 (2017-2018): Building leadership skills amongst current department chairs. In the second year, the program was focused on department chairs. Sessions explored the characteristics of highly effective leaders in the corporate, public, and higher education sectors; and department chairs assessed themselves using StrengthsFinder and Emotional Intelligence tests. The conversations coming out of these sessions have continued during the monthly department chairs "Lunch and Share" sessions and are institutionalized into the annual orientations for new department chairs.

Year 3 (2018-2019) onwards: Building a bench strength of upcoming leaders. The focus is now moving to the development of future leaders at Georgia State through a year-long cohort-based professional development program. Participating faculty will be those who are interested in and have shown early aptitude for moving into administrative positions. The program will allow them to get an institutional perspective of the university, grapple with key issues in higher education, and learn about the qualities of effective leaders and their own leadership styles. Graduates of each class will be key contributors to innovation and leadership at Georgia State.

At **The University of Tulsa** (left), a program launched in the fall 2017 semester attempts to deal with the practical workings of the university, but with a focus on its culture. Its aim is to prepare mid-career faculty members for future leadership roles.

An initial cohort of 13 mid-career professors meets for two hours weekly, hearing from the president, vice presidents and other top university officials. The meetings, on Friday afternoons, include a presentation, and then case studies and/or role playing for specific problems that may arise on campus—up to and including how to negotiate with a donor whose contribution could create a political liability. The program also included a Jeffersonian dinner at the university president's house to wrap up the year and discuss the future of the university, individual personality assessments using Hogan Assessment System's Insight Reports, and feedback with a certified coach.

The topics to be covered in the yearlong program include: finances, budgeting, public relations, fund raising, planning, entrepreneurship, project management/plan execution, admissions/recruitment, academic misconduct, grants and contracts, effective communication, developing a vision, building an effective unit, performance appraisals, faculty recruiting and hiring, working with the Board of Trustees, student organizations/campus life and stress management/self-care.

A hybrid of local and off-campus work is under development at the College of Science at **Texas A&M University** (above right). There, new professors—about a dozen—are taking part. Along with meetings every other week on campus, featuring presentations on various aspects of the university's operation, the group will visit two other colleges and collaborate on a \$100,000 project.



The program began in the spring semester 2017 with “TAMU IOI,” covering the finances of the university and the college, interactions with state and federal governments, the process of student acceptance and the methods of course delivery. Most speakers were from the university. In the fall 2017 semester, the twice-monthly meetings include conversations with executive officers of the university about their views, as well their vision for the university going forward.

After the semester ends, the group will travel to one or two other universities, meeting their counterparts there. When they return from that travel, they will be asked to reach a consensus about how to spend \$100,000 that has been set aside to benefit the college.



An international program modeled on the best U.S. programs is under way at Singapore’s **Nanyang Technological University**, in collaboration with the University of Illinois Urbana-Champaign. The two universities formed a partnership in 2014 focused on developing academic leaders. The program launches a cohort annually of sitting and potential leaders—identified through an internal nomination process. Development through the year includes a two-day workshop in the

fall and again in the spring provided by Illinois leaders, combined with periodic half-day sessions through the year that are provided by NTU. Cohort members, who are paired with mentors, write individual development plans and participate in self-reflection; they meet the next cohort at a graduation dinner that encourages further connections. The first three cohorts of this program have provided short-term evaluations; a longitudinal evaluation is under design. This project also inspired the online multimedia Leadership Collection at the University of Illinois’ National Center for Professional and Research Ethics.

National Programs

Several leadership development programs are offered at a national level. These involve travel for off-campus residential learning; have extended duration, from as little as a week to as much as a two-year commitment; can carry significant expense; and, in most cases, are intended for those already in leadership positions.

These programs typically have access to topical experts from around the country with special knowledge and refined presentation skills.

One of the direct benefits—indeed, one of the overt goals—of most of these programs is the formation of a cohort. Similarly situated individuals can embrace common goals, share experiences and provide both a sounding board and advice for others in the group, during the sessions and for years after they conclude.



Big Ten Academic Alliance Academic Leadership Program

The Big Ten Academic Alliance (formerly the Committee on Institutional Cooperation) has two long-standing academic leadership programs for faculty and professional staff of Big Ten universities. The Academic Leadership Program is a year-long program for faculty and executive-level professional staff who are either considering a high level career in academic administration or newly within such positions. The Department Executive Officer Seminar is an annual seminar for department heads or chairs, typically in years 1-3 of holding a departmental executive officer position. The following provides an overview of these programs. Many graduates of these leadership programs have gone on to serve with distinction at the highest levels within research universities, including university presidents, provosts, deans and other top administrative positions.

Academic Leadership Program (ALP)
Institutionally nominated, year-long, cohort program of faculty and executive-level professional staff from across the universities of the Big Ten Academic Alliance

The goal of the Big Ten Academic Alliance Academic Leadership Program is to help a talented and diverse faculty and select executive-level professional staff further develop their ability to be effective academic leaders at all levels of research universities. It is intended to help those considering leadership positions understand the university as dynamic and inclusive institutions, and to help them build awareness of the diverse, complex, and changing landscape of higher education

while exploring their role in that landscape. Participants (designated as ALP Fellows) are chosen based on their proven abilities or demonstrated promise as leaders by their home institutions.

The objectives for the Academic Leadership Program, which apply across all three seminars, are described below:

- To learn more about the organization, operations, and physical infrastructure of research universities, as well as their similarities and differences
- To consider the skills and attributes of effective academic leaders, and the challenges and rewards of becoming an academic leader
- To consider current and future challenges and opportunities in higher education
- To recognize and implement the values of diversity, self-awareness, and ethical leadership
- To meet and develop professional relationships with colleagues through interactions during the seminars and on-campus activities
- To understand the financial landscape of higher education including budget models, philanthropy, public/private partnerships, and its implications for academic leadership

Specific Outcomes for Seminar I: Contemporary Issues in Higher Education

- To acquire an understanding of contemporary issues in higher education in their historical and institutional context
- To consider approaches for enhancing campus diversity, inclusion, and climate

- To explore opportunities for university engagement and globalization
- To consider and discuss emerging topics related to teaching and learning
- To introduce aspects of academic leadership values, styles, and skills

Specific Outcomes for Seminar II: Internal and External Relationships

- To consider and discuss topics related to faculty and their professional and personal development
- To explore topics related to the role of university staff and ways to work effectively with them
- To consider the experiences of our increasingly diverse student body within and beyond the classroom
- To consider and discuss opportunities and challenges in the university research mission
- To consider issues related to the university's relationships to external constituencies, including building bridges to the broader communities in which the university is situated
- To further explore the values, styles, and skills that contribute to effective academic leadership

Specific Outcomes for Seminar III: Money, Management, and Strategies

- To increase understanding of various university budget models
- To learn more about university sources of revenue
- To consider approaches to strategic planning at multiple levels of the institution
- To learn more about the issues and management of space and infrastructure

- To learn skills for assessing competing priorities and managing time
- To consider the value of building and maintaining a diverse and inclusive university community
- To reflect on leadership values, styles, and skills and to consider the range of opportunities in higher education leadership, both formal and informal

Department Executive Officer Seminar (DEO)

Institutionally nominated, annual two-day seminar of approximately 65 department heads and chairs from Big Ten Academic Alliance universities

This two-day seminar and workshop covers a wide-range of topics aimed at providing key leadership skills and strategies and explores contemporary issues facing executive officers. Seminar topics typically include conflict resolution, time management, faculty development, performance reviews, communications strategies, and group problem solving. Since its inception, DEO has served over 700 individuals at Big Ten universities.



Harvard Institutes for Higher Education

Application and fee-based summer 2-week residential programs; institutional endorsement required.

Two-week residential programs at the Harvard Institutes for Higher Education are tailored to different levels of administrative responsibility: middle management, deans, cabinet-level and executive officers.

The programs include a mix of classroom sessions and small group discussions, optional activities and social gatherings. Large class settings are supplemented by daily meetings of small discussion groups that remain intact for the duration of the program and, ideally, beyond. These smaller groups are intended to create a confidential setting for participants to share institution-specific or personal dimensions to whatever topic is under consideration in the large group.

Several overarching topics are common to all institutes: leadership; team effectiveness; financial management; diversity and campus community; strategic planning; transformational learning—essentially, looking not just at the institution and how the participant needs to operate within it, but also exploring one’s own assumptions about leadership and the world, as they might reveal limitations or barriers to effectiveness; and institutional values and integrity—negotiation, handling difficult situations and problem resolution, with an emphasis on being proactive. The topics are not sequential. Several are considered simultaneously over the course of several days in different sessions.

While many topics are the same, programs for different administrative levels are tailored to the distinctive leadership challenges faced by that particular group of professionals. This program design fosters the goal of cohort formation, so that similarly-situated individuals can exchange information and insights in a highly-relevant, peer-to-peer learning context. Within the homogeneity of administrative level, the programs strive for very heterogeneous participant groups. They aim for representation from multiple states and nations, and different kinds of institutions, from large research institutions to small lib-

eral arts colleges; and a range of job responsibilities, including academic affairs, student services, fund raisers, budget officers, and admissions and physical plant administrators.

As issues change in higher education, from big data to freedom of expression issues to state support and funding, the programs use updated or new case studies, in a hands-on, applied way that is intended to elicit multiple ways of analyzing and thinking about issues. The emphasis throughout is on gaining a better understanding one’s institution and identifying practical, “real world” ways to exercise leadership more effectively.



APLU Food Systems Leadership Institute

Two-year national cohort application-based, tuition program

This two-year national program is open to academic, governmental and industry leaders. It is a program of the Association of Public and Land-grant Universities.

It includes three residential sessions at different college campuses. The first, at North Carolina State University, focuses on individual leadership. The second, at The Ohio State University, focuses on university leadership. The final session, on food systems, is at California Polytechnic State University at San Luis Obispo.

In addition to the residential sessions, the program requires each participant to undertake significant activities. Each must create a personal development plan, find and meet regularly with a mentor, and conceive and execute a leadership project. Those in the program also are provided with individual execu-

tive coaching. And they are expected to take part in conference calls on a variety of topics related to leadership, organizations and food systems.

Participants also receive personality assessments, which can inform not only their own actions, but also how others along the spectrum of types might react. Presenters are national experts, including university presidents and chancellors as well as leaders from industry.



Association of American Medical Colleges

Association of American Medical Colleges

Institutionally-nominated week-long residential program

The Organizational Leadership in Academic Medicine seminar is a three and a half day learning and networking event targeted specifically to department chairs and associate deans in academic medicine and science who are new in their role (less than three years). It is offered annually at a different location each year. Expert faculty, interactive learning formats and structured networking opportunities provide a unique and impactful leadership development experience. An initial needs assessment and ongoing analysis of participant feedback informs the agenda. The following topic areas are focused on:

- Navigating governance structures in academic health centers
- Understanding funding sources and challenges across missions
- Enhancing the financial viability of one’s programs
- Working effectively with your Dean

- Building skills in negotiation, budgeting and recruitment
- Managing difficult faculty situations

Almost all the presenters are external, and the program comprises a diverse group of participants in terms of ethnicity, race, geographic and national origin, and other characteristics. Case studies often are based on actual organizations in crisis, with the specifics masked to provide anonymity to the organization.

Online Resources

The programs described so far take place at prescribed times, and typically give new leaders the benefit of exposure to institutional leaders and experts in a small-group setting. There is no online substitute for this kind of training. There is a unique role for online resources, as these can be consulted at any time: when the new leader happens to have an opportunity for self-study, when the new leader becomes aware of a gap in his or her skills and wants to fill that particular gap, and—most helpfully—when a new leader is about to be confronted with a particular challenge, and needs a reminder of the skills that can help the most.



The University of Illinois' National Center for Professional and Research Ethics (NCPRE), with support from and in collaboration with Nanyang Technical University (NTU), has developed a multi-media online library of management and leadership materials curated for academic leaders. Known as the Leadership Collection, this library is extended with new assets each month, and aims to provide materials on a wide selection of topics. NCPRE has developed

several types of resource for this purpose, including:

- Quick Tips (*I need a reminder now!*)
- Executive Briefings (*a synopsis of current thinking on a topic*)
- Annotated Bibliographies (*I'd like to learn more about this*)
- Expert videos (*wisdom from past and current academic leaders*)
- Scripted videos and case studies (*any of these situations look familiar? what went well and not so well? what happened next? how would you do it differently?*)

Leadership Collection resources are research and evidence-based, tailored for the academic environment, and relentlessly practical. Some examples of Quick Tips topics are:

- Role Transition: Becoming an Authority Figure in an Academic Environment
- Managing up
- Complaint handling
- Giving performance feedback to faculty
- Delivering difficult news
- Listening and asking questions
- Clarity of intention

Appendix B: Examples of Leadership Development Program Elements

Institution	Target	How chosen	Duration	Frequency	Location
Association of American Medical Colleges	New chairs, associate deans at medical schools	Apply	Four and a half days	Annual	Changes
Georgia State University	Initially, all leaders from department chairs up: associate deans, deans, associate provost, vice provost. Now, just department chairs	n/a	Academic year	2 times per year (reduced from 9 times a year)	Campus
Georgia State University	Lunch and share: department heads	n/a	Academic year	Approx monthly; 3 times per semester plus social gathering, "fireside chats" with president	Campus
Georgia State University	New department chairs	New chairs	One day	Once	Campus
Harvard Institutes for Higher Education	All levels; programs matched to responsibility	Apply	Two weeks	Annual	Harvard
Texas A&M University	Newly promoted full professors in the College of Science	All new full professors	Academic year	Every other week, for an hour at lunchtime	Campus
University of Illinois	Experienced leaders	Nominated	Two years	Varies; three onsite weeklong sessions in first year; monthly phone sessions in second year	Remote site, and by phone
University of Illinois	Experienced leaders	Nominated	Two years	Varies; three onsite weeklong sessions in first year; monthly phone sessions in second year	Remote site, and by phone
University of Tulsa	Mid-career faculty before they take leadership positions	New leaders apply; about half chosen for first cohort	Academic year	Weekly	Campus
University of Utah	Academic leaders	Standing, open sessions at lunchtime	Academic year	Monthly	Campus
University of Utah	New leaders; either just before or just after new position	Nominated or self-nominated; email invitation widely distributed	Academic year, but Leadership I is first semester and Leadership II is second semester	3-4 days for first semester; every other week for second semester	Campus
University of Wisconsin–Madison	Chairs, directors, others	All invited	Academic year	Weekly	Campus
University of Wisconsin–Madison	New department chairs	All invited	Three days	Annual	Campus

	List of topics available?	Speakers	Evaluation	Cohort	Notes	Resources
	http://www.cvent.com/events/organizational-leadership-in-academic-medicine-2017-executive-development-seminar-for-associate-dean/event-summary-00b63d627b9d4420b9455dc55edb4480.aspx	External expertise	Formal	Formal	Two textbooks, a third being written	Textbooks; e-versions have links, more info
	Not at time of interview	Internal and external	Survey	No		Advance reading provided
	Previous year's topics provided in box	Internal	Short survey after each session	n/a		Possible advance reading provided
	transitioning to leadership -roles and responsibilities of department chairs; budgeting and finance; faculty hiring and mentoring; promotion and tenure processes; working with staff; handling difficult situations; time management	Internal	n/a	n/a		n/a
	Not at time of interview	External	Detailed questionnaire after each session	Formal		Not specified in interview or online
	Provided in Appendix	Mostly internal, one external (CKG)	Not yet	Informal		By request from participants
	Not at time of interview	External	Detailed questionnaire after each session	Formal		Yes
	No; some description of content in text of interview	External	Detailed questionnaire after each session	Formal		Yes
	finances, budgeting, public relations, fundraising, planning, entrepreneurship, project management/plan execution, admissions/recruitment, academic misconduct, grants and contracts, effective communication, developing a vision, building an effective unit, performance appraisals, faculty recruiting and hiring, working with the Board of Trustees, student organizations/campus life and stress management/self-care.	Mostly internal, some external	Yes, but TBA	Formal		Planned
	Not at time of interview	Internal	n/a	No		n/a
	leadership fundamentals, collaboration, negotiation styles, problem definition and tools, difficult conversations and both Myers Briggs Type Indicator (MBTI) and Thomas Kilmann Conflict Modes (TKI) in fall semester; Birkman assessment, conflict navigation and consensus building, facilitating inclusive environments, advanced negotiation, and leading and implementing change in spring semester	Mostly internal, but some local experts	Survey	Informal	https://academic-affairs.utah.edu/office-for-faculty/chair-dean-resources/	Personal referral to person in Wildermuth's office who is knowledgeable about where person can get info/help; web info
	https://facstaff.provost.wisc.edu/events/list/?tribe_paged=1&tribe_event_display=list&tribe-bar-search=leadership+development+series	Internal	n/a	No		UW website
	Provided in Appendix	Internal	Survey	Informal		Online

Appendix C: Academic Unit Diagnostic Tool (AUDiT)

Vibrant Units (0 to 5)

- _____ Respectful dealings among colleagues, department
- _____ Openness, transparency, shared governance
- _____ Culture of excellence and quality; strong candidates
- _____ Support and mentoring for faculty and students alike
- _____ Open discussion of ideas and research; high productivity
- _____ Distributed service responsibilities, aligned with faculty strengths
- _____ High level of communication—willingness to listen, compromise; problems addressed, not submerged
- _____ Curricular innovations, adaptations to meet changing student, campus needs
- _____ Leadership has high expectations, uses policies, makes decisions, builds community
- _____ Collective vision of goals and priorities

TOTAL _____

Warning Signs (0 to 3)

- _____ Complaints disproportionate to other units, campus
- _____ Email and/or social media wars, harassment, silos, conflict aversion
- _____ Weak or ineffective hiring, requests for transfers, departures
- _____ Weak P&T practices; many terminal associate professors
- _____ Declining scholarly indicators (productivity, PhDs, PhD placement, time to degree...)
- _____ Financial disarray
- _____ Ad hoc practices; forum-shopping; seeking desired answers from different officers; hiding problems
- _____ Enrollment declines, lack of curricular innovation
- _____ Bimodal evaluations; generational discord; externalizing problems
- _____ Limited sense of priorities

TOTAL _____ (subtract)

Challenged Units (0 to 5)

- _____ Serious misconduct: discrimination; including sexual; financial; criminal, etc. (arrests, lawsuits...)
- _____ Culture that suppresses or hides problems, punishes reporting; faculty schisms, battles, flareups
- _____ Repeated inability to hire, retain quality faculty, staff
- _____ Toxic atmosphere, especially for junior faculty, students
- _____ Scholarly standing below university's; uneven in unit
- _____ Departmental business at a standstill; in gridlock
- _____ Lack of transparency, hidden agendas; faculty involve students in disputes
- _____ Curricular stagnation, lack of student interest in offerings; outdated curriculum
- _____ Weak or autocratic leadership; different messages to different audiences; meddling by previous leader of unit
- _____ Many individual priorities without shared purpose

TOTAL _____ (subtract)

TOTAL SCORE _____



ncpre National Center for Professional & Research Ethics



The **National Center for Professional & Research Ethics** (NCPRE) creates and shares resources to support the development of better ethics and leadership practices. We focus on leadership in a variety of institutional settings, from academia to business. NCPRE is part of the Coordinated Science Laboratory in the College of Engineering at the University of Illinois at Urbana-Champaign.

257 Coordinated Science Lab | 1308 W. Main Street | Urbana IL 61801-2307
phone 217.333.1416
<https://ethicscenter.csl.illinois.edu>



Confronting Challenges in Academic Units Consortium

The **Confronting Challenges in Academic Units Consortium** (CCAU) creates, curates, and houses resources in a central repository accessible to members, organizes regular conferences for member institutions, and pursues selected small research projects to support these stewards in assisting challenged units.