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ADMINISTRATIVE DEVELOPMENT FOR ACADEMIC DEANS IN THE CALIFORNIA STATE UNIVERSITY SYSTEM

Karen J. Wall

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ADMINISTRATIVE DEVELOPMENT FOR ACADEMIC DEANS IN

THE CALIFORNIA STATE UNIVERSITY SYSTEM

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A Dissertation

Presented to the

Faculty of

California State University,

San Bernardino

_____

In Partial Fulfillment

of the Requirements for the Degree

Doctor of Education

in

Educational Leadership

_____

by

Karen Joan Wall

June 2015

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Approved by:

Dr. Jay Fiene, Committee Chair, Educational Leadership

Dr. Todd Jennings, Committee Member

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ABSTRACT

Over the years, the academic dean position has evolved from mainly focusing on student matters to an emphasis on promoting quality teaching and academic programs. The dean's role is comprised of academic and administrative duties and responsibilities, requiring working with various stakeholders. The complexities associated with reduced budgets, increased enrollment demands, guarantee of quality education, and expectations from the private and public sectors create a perennial need for strong, competent leaders. Attributes for those in the dean's position have been described as being able to keep peace among various groups with competing priorities. Other abilities address the many internal and external pressures confronting the position, and the need to motivate, plan, and establish a shared vision for the college.

Research has found academic deans traditionally advance from faculty to administration with few opportunities to train for the administrative leadership aspect, having trained and oriented predominately for academic careers in scholarship and teaching. In the absence of administrative training, academic deans have found they lack the breadth and depth of administrative leadership practices. This research study examined the essential administrative competencies and preferred professional development method for academic deans responsible for discipline-specific colleges within the California State University (CSU) system. The study employed a mixed methods research

design for the collection and analysis of quantitative and qualitative data. The

findings from the surveys and interviews revealed significant results for

identifying essential administrative competencies, and preferred professional

development methods for effective academic deans. A common theme that

emerged was that their prior academic training and experience did not provide

a significant amount of transferable skills. Interview results described serving

on committees, working with mentors, training with immediate supervisors, and

attending professional development programs as the methods selected for

administrative development. Survey results identified *hands-on experience*, and

attending *seminars* as the most preferred professional development methods

for the majority of administrative competencies.

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CHAPTER ONE

INTRODUCTION

Background

Higher educational institutions have grown significantly in number, student

enrollment, and in the hiring of faculty and staff since World War II (Dill, 1984;

Kezar & Eckel, 2002; Rosser, Johnsrud, & Heck, 2003; Tucker & Bryan, 1988).

The twenty-first century, however, is likely to bring the most significant

challenges "in the history of the nation's higher education enterprise"

(McGuinness, 2011, p. 139). Institutions compete for students and funding

support along with the added market pressure to deliver quality programs while

competing in a global market (McGuinness, 2011; van Ameijde, Nelson,

Billsberry, & van Meurs, 2009). Most recently, as a result of the economic

downturn, recovery has been sluggish to regain and rebuild to the extent of prior

funding levels. Additionally, institutions are slow to change and for public

institutions the instability of governmental support has intensified the challenges

they face (McGuinness, 2011).

Senior leadership in higher education is typically comprised of college and

university presidents, provosts, vice-presidents, deans, and directors responsible

for areas within the administrative, academic, and student services (Del Favero,

2005; Heck, Johnsrud, & Rosser, 2000; Kezar & Eckel, 2002; Rosser et al.,

2003; Tucker & Bryan, 1988). Unlike private industry where it is difficult to

compare positions, higher education maintains a certain hierarchical structure that allows for identification of senior leadership positions (McDowell, Singell, & Stater, 2009). Over the years, the deanship role has expanded to other areas such as library services, student services, and admissions (Buller, 2007), but of all the senior leaders in higher education, the academic deanship is possibly the least researched (Bowker, 1982; Del Favero, 2005; Gmelch, 2000; Gmelch, Hopkins, & Damico, 2011). In addition, the role of dean is structured differently at the various institutions. For example, the dean of instruction at a community college or technical college may be responsible for all areas of academic affairs and serves as the institution's chief academic officer. By comparison, an academic dean at a four-year university might be responsible for a discipline-specific college (Tucker & Bryan, 1988) reporting upwards to a provost or vice president, with associate or assistant deans and department chairs serving under the dean (Buller, 2007). Nonetheless, senior leaders in higher education are challenged by financial restrictions, demand for access, changes in student population, and the need for transparency and accountability of public funds (Del Favero, 2005; Heck et al., 2000; Rosser et al., 2003; Tucker & Bryan, 1988). The complexities associated with the multifaceted role of academic dean comprised of academic and administrative duties and responsibilities, requiring working with various stakeholders are creating a need for leaders with the administrative competencies and fortitude to serve in these challenging roles.

Purpose of the Study

The purpose of this study was to identify the essential administrative competencies that academic deans consider the most crucial for effective leadership. The focus was on the role of academic deans who are responsible for discipline-specific colleges at four-year comprehensive public universities within the California State University (CSU) system. The CSU system is comprised of 23 institutions designated as either comprehensive, polytechnic, or maritime located throughout the State of California.

For identification of the essential administrative competencies, the variables explored in this study were administrative knowledge, skills, and abilities that are essential as perceived by current CSU academic deans. In addition, the study was designed to determine the best method for training and development of the essential administrative competencies. This research study utilized quantitative results from a survey, followed by qualitative results from semi-structured interviews with purposefully selected individuals for exploring the results through a phenomenological analysis of descriptions of participants' experiences (Moustakas, 1994).

Statement of the Problem

While researching material on administrative behaviors, Dill (1984) asserted that the rapid growth of higher education since World War II has produced a large amount of research and literature on organizations and

administration, with little research on administrative behavior, duties, and responsibilities. In the later years, there has been a plethora of research on leadership theories; however, little has been done on leadership effectiveness in higher education (Bryman, 2007).

Research shows that academic deans lack prior administrative experience and yet assume multifaceted and challenging roles without the benefit of training or a clear understanding of the role (Gmelch, 2000; Gmelch et al., 2011). Academic deans have generally trained for academic careers in scholarship and teaching rather than for administrative roles; thus, their academic experience did not adequately prepare them for the administrative functions (Gmelch et al., 2011; McDade, 1987; Millett, 1978; Wolverton, Gmelch, Montez, & Nies, 2001). Those that have served as faculty, department chairs, directors, or grant principal investigators attained some administrative experience in scholarship, course development, and grant management. However, the limited experience pertaining to specific functions such as meeting objectives, managing resources, and acquiring technology were attained while on the job (Gmelch et al., 2011; Millett, 1978; Wolverton & Gonzales, 2000). While on-the-job training can be effective, it can also increase the risk of making major mistakes when trying to learn the administrative functions. Another option proposed for developing administrative management skills, which is often used, is by reading. However, studies have shown the preferred method to increase knowledge and enhance managerial skills is with the use of professional development programs (Gmelch

et al., 2011; McDade, 1987). Before institutions can construct a professional development program, academic deans will need to identify the essential administrative competencies to effectively manage the administrative functions of the role of dean (Gmelch et al, 2011).

Research Questions

In an effort to identify the perceived essential administrative competencies that would best serve CSU academic deans this study focused on the following research question: How do California State University academic deans describe the development of their administrative competencies? The following guiding sub-questions further analyzed the research question employing both quantitative and qualitative research methods:

Quantitative Research Method

1. What administrative knowledge, skills, and competencies are essential as perceived by current CSU academic deans to serve as effective senior leaders?

2. What similarities or differences, if any, will emerge among CSU academic deans' gender, age, level of education, and years of experience with respect to the importance of the perceived administrative competencies?

3. What does data suggest would be the best means to attain the various administrative knowledge, skills, and competencies that are essential as perceived by current CSU academic deans?

Qualitative Research Method

4. What background, knowledge, experience, or skills do academic deans

    perceive they possessed that made them qualified for their current

    position?

5. What are the essential administrative practices and preparation methods

    as perceived by current CSU academic deans to serve as effective senior

    leaders?

Significance of the Study

This study is significant because currently the CSU system does not offer

an administrative professional development program to prepare academic deans

for their multifaceted and challenging role (Gmelch, 2000; Gmelch et al., 2011).

Academic deans serve a vital role to the institution in connecting administration

to the academic departments, while working with various contingency groups

(Wolverton & Gmelch, 2002). The premise around the work of Wolverton and

Gmelch (2002) is that "deans make a difference in their college and that their

leadership, or lack thereof, will increasingly influence the effectiveness and well-

being of the colleges they lead and the universities in which they work" (p. viii).

Based on Bisbee's (2007) recommendation, institutions need to identify

the specific challenges academic deans face in order to develop training

programs that focus on necessary skill development. Without the benefit of

professional development programs, institutions run the risk of the loss of vital

institutional knowledge that can create a significant impact on operations. Given the impending leadership crisis and future challenges, institutions will need to depend partly on the competencies the next generation of academic deans possess in order to continue with operations (Gmelch et al., 2011). Following this recommendation, this study served to provide a practical framework for programs to promote effective leadership for CSU academic deans. Otherwise, failure to provide some type of administrative development program can lead to the academic dean position becoming less attractive for those currently serving in the position, and those who would aspire to in the future.

Conceptual Framework of the Study

The conceptual framework of the study began by reviewing the career paths, roles, duties, and responsibilities of academic deans. Next, the review examined studies for identification of the essential administrative competencies. The review further examined the relevancy of higher educational administrative competency models for the role of academic dean. The final process of the review included identification of the preferred preparation methods for attaining the needed administrative competencies as a framework toward developing a training program for academic deans.

A broad understanding of the concept of competencies and relevant theoretical framework is necessary to understand the identification of effectiveness for the role of academic dean. Boyatzis (2008) defined competency

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as "a capability or ability" (p. 6), further describing it as "a set of related but different sets of behavior organized around an underlying construct" (p. 6), called the "intent" (p. 6). The "basic contingency theory," (p. 6) for maximizing performance, is demonstrated when a person's capabilities or abilities match the prerequisites of the job requirements and the organizational environment.

When testing for competence, McClelland (1973) introduced an alternative approach to traditional intelligence testing by using "criterion sampling" (p. 7) of one's ability. When determining one's competence, the best method may not be a general test for intelligence, but instead, by analyzing performance for the job. McClelland stated that, "some of the job sampling will have to be based on theory as well as practice" (p. 7) for a holistic understanding of the position and the methods for addressing the various functions. Another recommendation is to avoid limiting competencies solely based on cognitive skills related to occupational outcomes, and instead, include social competencies such as leadership and interpersonal skills (McClelland, 1973).

Professional organizations have attempted to address the complex array of challenges leaders face in today's educational environment. In view of this effort, leaders need to have a broad array of knowledge and skills or as Ruben (2006) would call "a diverse portfolio of leadership competencies" (p. 2). The portfolio Ruben recommends consists of broad categories comprised of analytic, personal, communication, organizational, and positional competencies composed of various themes for assessing leadership knowledge and skills. In comparison,

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Boyatzis' (2008) theory of performance combined talent aspects of a person's values, vision, philosophy, knowledge, and competency with role responsibilities, and organizational environment, including culture and climate, structure, economic, and social systems. The broad understanding of competencies and relevant theoretical framework was necessary for identifying the essential administrative competencies for academic deans.

Assumptions

The scope of this study assumed CSU academic deans are able to assess administrative competencies needed for their current role, specifically:

- Academic deans were able to identify the administrative duties and responsibilities associated with the role of a college-specific academic dean.

- Academic related duties were excluded from the administrative duties and responsibilities unless they were administrative in nature.

- Academic deans perceived a lack of administrative experience prior to, or while serving in the position.

- Academic deans were able to identify the methods they used to prepare for the role of academic dean.

- Even though the individual CSU institutions have variability in academic programs, student enrollment, and demographics, because the institutions

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are part of a system, academic deans are assumed to have similar role

attributes for generalization of the results.

- The instruments developed for the study had a sufficient degree of content

    validity and an appropriate level of reliability.

Limitations

The results from the survey study returned an acceptable response rate

(39.6%) from those willing to participate. However, the results may have been

limited due to the use of email as the method of delivery for the web-based

survey application. When sending a link for a web-based survey application

without prior notification there is uncertainty as to whether the potential

participant actually received and read the email, or it was sent to a "junk mail" or

"spam" folder. Interviews with purposefully selected individuals were limited due

to the difficulty in soliciting volunteers possibly due to the amount of time involved

with an interview process. Another limitation that affected participation in the

study was the requirement to obtain individual Institutional Research Board (IRB)

approval prior to conducting the study. At the time of this report, not all of the

institutions were eligible to participate in the study.

Other limitations to the study may be in the form of researcher bias or

personal goals, experience, and knowledge that may influence the research. As

Maxwell (2013) recommended, the researcher needed to "be aware" of factors

that may shape the research as in having first-hand knowledge or personal

connections to the topic, subjects, or situation. The researcher engaged in an effort to use an epoché process to minimize potential biases with having first-hand knowledge of the work environment to allow participants to describe their experiences "free of preconceptions, beliefs, and knowledge of the phenomenon" (Moustakas, 1994, p. 22).

Delimitations

The study proposed to exclude non-administrative competencies, otherwise considered academic competencies associated with the role of academic dean. The study did not identify theories of leadership, attributes, and behaviors of higher education leaders to test leader's effectiveness, but rather, sought to determine what academic deans perceive as the attributes or administrative skills necessary to perform as effective leaders.

Definition of Terms

The following terms were defined in the context of this study:

1. Academic Deans serve as the chief academic officer of a discipline-specific college and are responsible for overseeing teaching and research functions (Tucker & Bryan, 1988).
2. Academic Leadership is "the act of building a community of scholars to set direction and achieve common purposes through the empowerment of faculty and staff" (Wolverton & Gmelch, 2002, p. 33).

3. Administrative Competencies are both leadership responsibilities and management duties in many areas such as financial and budget management, fundraising, human resource management, strategic planning, and communication (Wolverton & Gmelch, 2002).

4. Competence "refers to a dean's ability to add value to an organization because of the technical knowledge base that he or she possess" (Wolverton & Gmelch, 2002, p. 91).

5. Competency is a capability or ability which is "a set of related but different sets of behavior organized around an underlying construct [called] intent" (Boyatzis, 2008, p. 6).

6. Effective deans are ones that enjoy the respect and confidence of the faculty, are deliberate in informing and staying informed about developments relating to educational programs, seeks to achieve excellence in personnel and performance, and are accessible to the faculty and staff (Gould, 1964).

7. Effectiveness is defined as "results-oriented activities such as increasing resources, improving the quality of program" (Rosser et al., 2003, p. 5).

8. Institutional Culture "consists of the institutions, patterns of interaction, and mental attitudes that form the social life of a community" (English, 1997, p. 21).

9. Leadership competencies involve maintaining a conducive work climate, fostering diversity, team building, soliciting input, strategic planning,

communicating goals, encouragement of professional development, fundraising, and representing the college to internal and external constituents (Wolverton & Gmelch, 2002).

10. Managerial competencies involve ensuring the operations of the college run efficiently by fostering quality teaching and academic programs, overseeing human resource management activities for hiring, evaluations, supervising, managing financial and budget resources, and effectively communicating to the college constituents (Wolverton & Gmelch, 2002).

11. Socialization is the process by which a person is introduced to the organization with the intent to familiarize the new person with various aspects of the organization (Enomoto & Matsuoka, 2007).

Summary

Consensus among scholars is that of all senior leaders in higher education, the academic dean position is the least researched, yet academic deans play a pivotal role in higher education serving as a bridge between various constituency groups comprised of faculty, staff, students, and administration (Bowker, 1982; Del Favero, 2005; Gmelch, 2000; Gmelch et al., 2011). Research suggests that academic deans have trained predominately for academic careers in scholarship and teaching, finding that their academic experience did not adequately prepare them for the myriad of academic and administrative duties and responsibilities associated with the role of academic dean (Gmelch et al.,

2011; McDade, 1987; Millett, 1978). Given the vital role of the academic dean, this study has the potential to be of great significance for the CSU system, which does not currently offer administrative professional development to prepare academic deans for their multifaceted and challenging role.

Before institutions are able to construct a professional development program, academic deans need to identify the essential administrative competencies to effectively manage the administrative functions of the role, and the preparation method to attain those essential administrative competencies (Gmelch et al, 2011). The literature review in the next chapter begins by reviewing the career paths, roles, duties, and responsibilities for identification of the essential administrative competencies when determining the development of academic deans. The review further examined the relevancy of higher educational administrative competency models for identification of the preferred preparation methods for attaining the administrative competencies identified as essential to the role of academic dean.

CHAPTER TWO

LITERATURE REVIEW

Introduction

Prior to establishing the academic deanship, presidents were responsible for overseeing the administrative affairs of the college (Gould, 1964). According to Gould (1964), presidents held out on creating the deanship role because they believed they were able to handle all administrative affairs when colleges were small. In an effort to research the origin of deans of colleges of arts and sciences, McGrath's (1936) study determined the first recorded deanship was established at Harvard Medical School in 1816, and other dean positions were subsequently established in the schools of law and medicine. McGinnis (1933) reported that the president of Harvard College made the first college dean appointment in 1869, and shortly thereafter, a number of institutions such as Amherst, Yale, University of Chicago, and Columbia College recognized the need for the academic dean position resulting in similar appointments.

In tracing the history of when the office of dean was widely established, McGrath's (1936) study determined the dates vary by institution type, and year established. For example, the large Eastern institutions have a median year of 1881 spanning 45 years from 1854 to 1899; the state universities median year of 1883 was established much later between 1871 to 1896, and the small Eastern and Western colleges have median years of 1891 and 1898, respectively

(McGrath, 1936). By 1913, the office of the academic dean was universally

established in many institutions, but Gould (1964) found academic deans'

responsibilities might have differed in practice, though in theory the job was

similar. Another factor that may influence the structure of the academic deanship,

when the college or university established the dean position engenders different

histories and traditions that affect the position. In an attempt to identify the

changes that have occurred thirty years prior to publication of his work, Gould's

review observed a progression in the deanship from primarily student focused,

through students and curriculum, to a period where faculty replaced students and

became the sole focus. In effect, academic deans assumed many of the

administrative duties once performed by the president freeing up the president to

focus on institutional expansion problems, fundraising, and public relations. In the

early years, McGinnis (1933) determined that most academic deans were

selected by the presidents from the faculty ranks, with few nominated by the

faculty and appointed by the president or the board of trustees.

In a more recent setting, Buller (2007) asserted that even though current

academic deans have a great amount of autonomy in specific areas of academic

responsibility, they ultimately report to a senior leader rather than a board.

Academic deans serve as middle management with multiple levels of reporting

relationships, responsible for a myriad of academic and administrative tasks and

activities directed toward multiple academic disciplines. In describing the nature

and the importance of the role of the academic dean, in addition to having a

direct relationship with various internal constituency groups, academic deans also serve as representatives to the community, public officials, and potential donors in support of the college's programs and services (Del Favero, 2005; Gmelch et al., 2011). A review of how the academic deanship has evolved over the years provides a foundational approach to determining the administrative characteristics of an effective academic dean.

Effective Academic Dean

Gould (1964) described an effective dean as "a person who enjoys the respect and confidence of his[/her] faculty" (p.15) by communicating and relying on the faculty for information pertaining to the educational programs. Effective deans are further described as ones who are able to accomplish tasks without attempting to do everything themselves; are able to delegate routine tasks to those competent; and can develop others to take on important duties. Other characteristics are integrity, loyalty, an even temperament, an ability to espouse the best interest of the institution when working with faculty and administrators, and the capacity for effecting change without creating conflict (Gould, 1964).

In a current review of leadership effectiveness in higher education, Bryman (2007) found the term "leadership" was often associated with both management and administration because of the difficulty in distinguishing the activities specific to each. Bryman's research at the department level used the key criterion of whether the styles or behaviors had an influence on the "goal-

directed" (p. 695) behaviors of others. As a result, Bryman's review of

departmental leadership effectiveness was generally found in the literature as the

"emphases on vision, integrity, consideration and sense of direction" (p. 706).

The specifics identified to the higher educational environment were "the need to

foster a collegial atmosphere and advancing the department's cause" (Bryman,

2007, p. 706).

Upon further review, when evaluating the effectiveness of administrative

practices Heck et al. (2000) recommended utilizing a role-based perspective

comprised of important role indicators such as vision and goals setting,

management, interpersonal relationships, and communication skills. The role

indicators must be in support of teaching and learning as prescribed by higher

educational research and practice. In comparison, Martin's (1993) study of

effective academic deans from public research universities found five areas of

expertise with similar attributes as cultural representatives, communicators,

managers, planners/analysts, and advocates. Some of the attributes associated

with the specific areas of expertise were demonstrating high energy, possessing

a passion for the values and mission of the college, providing continuous

information, exhibiting skills in various administrative functions, soliciting

constructive input from the various constituent groups, and connecting with

external stakeholders (Martin, 1993). In addition to these areas of expertise,

Martin reported that "these specific roles are not new in the study of leadership

and management, how they are defined and exercised at the level of the

deanship has not been well understood" (p. 17). Also interesting is that the roles were not defined where others can easily follow, rather the roles were "integral part of personal character and congruent with the values of the college they lead" (p. 17).

When identifying leadership effectiveness from the various research, leadership behaviors and practices are provided as guidelines that are often associated with many other forms of leadership competency methods (Bryman, 2007). There are a number of models that measure various components of the relationship between behavior, tasks, and interaction with the leader and follower (Shahmandi, Silong, Ismail, Samah, & Othman, 2011). For example, Shahmandi et al. (2011) noted a decision-making model based on the expectancy theory for explaining the behavior in certain circumstances toward achieving one's goals and objectives. The scholars argued that the models, based on the contingency theory suggest there is not a "best" method for leading (Shahmandi et al., 2011). Instead, leaders must use various leadership principles for different situations to be effective.

Effective administrative performance, however, is based on results or outcomes, and how those results or outcomes are achieved within the organization (Boyatzis, 1982). In view of the various authors' descriptions, the discursive use of effectiveness purports to represent a combination of administrative, management, and leadership behaviors, roles, and responsibilities that pose difficulty for assigning to the academic dean role

(Gmelch et al., 2011; McDade, 1987; Millett, 1978). For example, academic deans are expected to demonstrate to their college constituencies that they have the ability to focus on the college needs by utilizing various administrative, management, and leadership skills while contributing to the overall good of the university (Buller, 2007).

Framework of the Study

The broad understanding of the concept of competencies and relevant theoretical framework from the previous chapter was needed when reviewing effectiveness. The current study is designed to identify the administrative competencies that are necessary or perceived as important for effective academic deans. Administrative competencies are part of both leadership responsibilities and management duties. Competencies for leadership responsibilities involve maintaining a conducive work climate, fostering diversity, team building, soliciting input, strategic planning, communicating goals, encouraging professional development, fundraising, and representing the college to internal and external constituents (Wolverton & Gmelch, 2002). Managerial competencies involve ensuring the operations of the college run efficiently for fostering quality teaching and academic programs, by overseeing human resource management activities, sufficiently managing financial and budget resources, and effectively communicating to the college constituents (Wolverton & Gmelch, 2002).

This study began with a review of academic deans' career trajectory (career path) for characterizing the roles, duties, and responsibilities for identification of the administrative competencies. Expansion of the framework incorporated administrative leadership competencies for community college leaders to determine the applicability to the roles of academic deans in four-year public universities. Lastly, the review examined administrative competency models for identification of the preferred preparation methods for attaining the needed administrative competencies.

Career Trajectory

Research has shown the most common pathway to academic deanship is the transition from faculty to administration with often lacking the skills and background for effective performance, having trained and oriented predominately for academic careers in scholarship and teaching (Townsend & Bassoppo-Moyo, 1996a; Wolverton & Gmelch, 2002). A notable study conducted by the Center for Academic Leadership at Washington State University of more than 1,300 academic deans (response rate of 60%) from research, comprehensive, and baccalaureate institutions was to garner academic deans' administrative experience prior to, while in the position, and for development purposes (Wolverton & Gmelch, 2002). The study determined that academic deans served in various positions prior to their current position as in, deans at other institutions, associate deans, other academic leadership positions, or senior management positions (with some being counted in more than one category) (Wolverton &

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Gmelch, 2002). Specifically, the results of their study found 30% had served as an academic dean prior, less than 40% served as associate dean, more than 60% served as department chair (some serving as associate dean prior to academic dean), and 18% had administrative experience outside of academia (Wolverton & Gmelch, 2002). Even though the study showed some type of consistency in the career paths for academic deans, mainly those from faculty positions, career preparation for most administrators had no clear pattern, especially unique to one institutional type (Wolverton & Gmelch, 2002). By comparison, Riggans' (2000) study on the best career preparation for current undergraduate and education deans from a selection of four-year liberal arts universities resulted in identifying the dominant path as faculty, department head, then dean. Although, these results support the aforementioned findings that deans traditionally come from the faculty ranks, Riggans' study was limited to a population specific to undergraduate and education deans consisting of 42 subjects from homogenous institutions.

Recruitment for academic deans routinely draws from the current institution's associate dean or department chair pool of employees, or those serving as interim academic deans (Enomoto & Matsuoka, 2007). Successful department chairs tend to go on to become academic deans (Raines & Alberg, 2003). As for the CSU system, the 23 institutions traditionally conduct open and promotional searches for academic dean positions, which allow both internal and external candidates an opportunity to apply for the position. The search process

starts with the recruitment job posting that provides the relevant information

regarding the requirements, qualifications, and desired characteristics of the

position. As an example, the CSU job website ("CSU Careers," 2013) contained

several academic dean positions in various academic disciplines at different

institutions. Academic dean positions generally require an earned doctorate in

one of the disciplines in the college, a record of teaching and scholarly work as a

tenured associate or full professor, and at least three years of administrative

experience at the level of department chair or equivalent. Research has found

recruitment for academic deans is time consuming and can take multiple

attempts before finding the "right" or most qualified candidates (Enomoto &

Matsuoka, 2007; Gmelch et al., 2011).

When attempting to characterize the deanship career trajectory or

pathway to academic administration, consideration must be given in identifying

the administrative skills and the development of those skills needed for the

complex and challenging role of the academic dean (Green & Ridenour, 2004).

As Wolverton and Gonzales (2000) found, although the department chair

experience might be the best place to start to prepare for the academic deanship,

there is some debate as to whether the experience is adequate preparation. To

add to this debate, Millett (1978) reported that even though there are

associations that provide professional development for aspiring academic deans,

for the most part, department chairs are learning their administrative functions

while on the job. Utilizing the aforementioned literature, the next section of this

study outlines the various roles, duties, and responsibilities associated with the role of academic dean. The various administrative competencies and preferred preparation methods for attaining the needed administrative competencies are also included in this section.

Roles, Duties, and Responsibilities

Academic deans serve as the chief academic officer of a discipline-specific college responsible for overseeing teaching and research functions (Tucker & Bryan, 1988). Within the college are academic departments and programs from various disciplines such as science, business, and arts. The position is considered an academic manager within the institution and has several people employed in the various classifications of faculty, staff, and student employees (Tucker & Bryan, 1991). The role of academic dean is not found to be homogeneous because the duties and responsibilities can vary by institutional size, geographic location, mission and goals, private or public status, and the various disciplines within the institution (Martin, 1993). As an example, a small institution may have a single dean responsible for a variety of disciplines, whereas, a larger institution may have a dean for each college or discipline (Bowker, 1982).

Research has found the responsibilities of the academic deanship can create role ambiguity and cause conflict due to the lack of a clear understanding of the duties and responsibilities (Gmelch et al., 2011; Montez, Wolverton, & Gmelch 2002; Tucker & Bryan, 1988). Ambiguity arises when academic deans

do not have adequate information to perform effectively. Conflict, could be

created when expectations differ from those in the college to those in

administration (Wolverton & Gmelch, 2002). Additionally, administrative duties

related to funding, budgeting, personnel, facilities, faculty support, and student

issues could result in conflict due to the competing priorities of the various

constituency groups (Gmelch et al., 2011; Montez et al., 2002; Tucker & Bryan,

1988).

Martin's (1993) case studies of effective academic deans at public

research universities focused on why they are considered successful leaders as

opposed to other studies that focus on what they should be doing to be effective.

The results of the study identified attributes that fall under five areas of expertise:

1. A *cultural representative*, serving as an ambassador for the college in

supporting the disciplines with research and ensuring quality academic

programs; demonstrating high energy, a strong work ethic, and a passion

for the values and mission of the college; and in demonstrating that the

role is not just essential to the success of the college, but an essential part

of the role of academic dean;

2. A *communicator* in the form of setting up structures by forming networks

and groups to provide continuous information, willingness to accept input

from the college community, conducting an inclusive planning process,

allowing for decision-making when absent, and using various methods

such as social events, lunches, and other gatherings to voice concerns, ask questions, or seek information;

3. Perform as *skilled managers* in various administrative functions and being able to delegate these tasks to allow to focus on broader items, and successfully implement their ideas;

4. *Planner/analyst* in being able to solicit constructive input from the various constituent groups in planning toward long-term goals and objectives, serving as a visionary and planner working toward a shared vision; and,

5. *Advocate* with external stakeholders such as the community, legislators, local leaders, alumni, and donors in support of the college's goals and initiatives. (Martin, 1993)

The roles exhibiting these traits are not new to the concept of leadership; instead, the importance lies in how academic deans put them to use within the institutional environment (Martin, 1993). As a result, the study found there "is no single method that will work for all deans; however, they [the cases] suggest broad areas common to all deans who are effective leaders" (Martin, 1993, p. 30).

Wolverton and Gmelch (2002) reported that college deans are involved in activities classified as management and leadership. The management activities are how the daily operations function involving planning, organizing, and controlling. The planning activities involve setting operational goals and determining how to achieve them. Organizing is the prioritizing of operational

tasks and determining responsibility for completing those tasks. The controlling activity brings planning and organizing together with the assurance that the outcome is according to the plan. The specific duties are described with the use of role sets. The role sets, classified as management duties are fiscal resource management, academic personnel, and internal productivity, with specific operational activities consisting of managing the budgets, technology, personnel, college goals, and adhering to policies. The leadership role sets are in the areas of scholarship, leadership, and external and political relations. The duties entail relating the managerial activities to directing the college's future, demonstrated by effectiveness in decision-making, change management, and external relations (Wolverton & Gmelch, 2002). However, there was some uncertainty in academic deans being able to define their role, or as to the level of importance. Wolverton and Gmelch (2002) added that the greatest uncertainty was in the external and political relations role, which involved groups outside of the college and university. The study found that most academic deans lacked experience in developing external relations, or they did not see this role as a primary responsibility for managing the college (Wolverton & Gmelch, 2002).

Montez et al. (2002) also reviewed the aforementioned study for which both groups of authors provided 31 statements categorized into the six important dimensions as perceived by academic deans. The descriptions of the six dimensions in order of importance are as follows:

1. Internal productivity is comprised of tasks such as, effective communication, fostering good teaching, participating in committee work, and maintaining a conducive work climate;

2. Academic personnel management involved hiring department chairs and faculty, evaluating chairs and faculty, and supervising chairs and directors;

3. External and political relations comprised of building relationships with external community/stakeholders, donor and alumni relations, fostering diversity, strategic planning, and representing the college to the administration;

4. Leadership involved soliciting ideas to improve the college, inform college community of concerns, plan leadership teams, assign duties to chairs and directors, and coordinate college activities;

5. Resource management involved managing non-academic staff, funding sources, technology, and complying with regulatory requirement; and

6. Personal scholarship involved maintaining own scholarship, remaining current on academic discipline, and maintaining and fostering own professional growth. (Montez et al., 2002)

The scholars maintained that it is conceivable that the two dimensions of internal productivity and managing academic personnel ranked high because these two functions are core to the operations of a college (Montez et al., 2002; Wolverton & Gmelch, 2002). As compared to resource management, which is extremely important to the core operations of the college and would be expected to rank

high, but was reported to be under the authority of the university's administration and not in full control of the dean, so it did not rank as high. Nonetheless, descriptions of the six dimensions have similar attributes to Martin's (1993) five areas of expertise from the case studies of effective academic deans at public research universities.

In specific administrative functions, Buller (2007) found that academic deans spend a great amount of their time hiring and evaluating faculty, negotiating the fiscal needs of the college, addressing program assessment, and in developing partnerships with outside entities. For example, engaging faculty to do more to support the college and students required academic deans to have skill and tact in human relations (Buller, 2007). Identification of the administrative competencies is essential when determining the development of academic deans in the academy.

<u>Administrative Competencies</u>

As Boyatzis (1982) asserted, "organizations need managers to be able to reach their objectives" (p. 1), but organizations must have "competent managers to be able to reach these objectives both efficiently and effectively" (p. 1). Competencies are what Boyatzis considered "certain characteristics or abilities" (p. 12), in which one accomplishes or achieves in the job. Boyatzis explained that managers without the necessary competencies could go into a new position and maintain operations until such time when decisions or actions resulted in ineffective performance. Expertise, roles sets, traits, and competencies identified

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in the aforementioned research in budget management, human resource management, fundraising, technology, leadership, and strategic planning were important for the cultivation of effective academic deans. Descriptions of these administrative competencies and research supporting their importance are presented in the following section.

Budget Management. Public colleges and universities face a combination of acute state revenue constraints with having to compete with social services along with the ongoing changes in the public's perception toward higher education, all of which require continued state support for higher education (Del Favero, 2005; McGuinness, 2011; Rosser et al., 2003; Tucker & Bryan, 1988). Skills in budget management are important for academic leaders when addressing the needs of the academic programs and in trying to balance the competing priorities from various contingency groups (Del Favero, 2005; Rosser et al., 2003; Tucker & Bryan, 1988). However, budget management is often dependent on other administrative functions such as having to solicit external funding in support of academic programs, and the planning process involved with resource allocation. With an increased demand for budget knowledge and experience, academic administrators risk having limited capacity to respond to critics who claim that resources are not being allocated to the areas in most need (Wolverton & Gmelch, 2002). Effectively, academic deans' inexperience in these matters can be perceived as disproportionate concern about money issues as

opposed to academic matters resulting in criticism for not addressing funding requests for specific disciplines.

Townsend and Bassoppo-Moyo (1996a) described how academic administrators generally come from an academic rather than an administrative background with extensive teaching and familiarity with the landscape of higher education, so their academic experience often has not adequately prepared them to address budget matters. When the authors surveyed academic deans and vice presidents to identify their perception on what knowledge and skills they wished they possessed prior to taking their positions, of the 210 surveyed, 60% indicated they wished they had possessed competency in budgeting and finance prior to becoming academic administrators (Townsend & Bassoppo-Moyo, 1996a). Similarly, when asked what knowledge and skills were needed by current administrators about 40% reflected on budget, finance, fundraising, and grant writing skills (Townsend & Bassoppo-Moyo, 1996a).

Human Resource Management. Although budget skills top the list, another important attribute is skill in working with human resource management or human relations. Academic deans are responsible for hiring and evaluating faculty and staff, which involves the complexity of collective bargaining contracts for most public institutions. Even though academic deans are not directly involved in the collective bargaining process, they must know in detail the contract as it relates to all human resource matters i.e., hiring, evaluating, entitlements, grievances, complaints, etc. (Tucker & Bryan, 1988). As part of the recruiting process,

academic deans are compelled to recruit a diverse faculty and staff workforce usually modeled after the diversity of the student population. However, when recruiting for faculty and department chairs, academic deans find it difficult to recruit a diverse pool because of the time constraint and the cost associated when trying to conduct a national search for every vacant position (Tucker & Bryan, 1988).

Other duties in human relations necessitate support for senior faculty in scholarly work and in developing an environment where faculty contribute to administrative functions by serving on committees, and in maintaining quality academic programs (English, 1997; Tucker & Bryan, 1988). Competing priorities entail non-tenured faculty conduct scholarly work for meeting the tenure and promotion requirements without putting undue workload on senior faculty. Of the human relation skills, understanding legal matters and potential risks to the college is vital. Academic deans must be skilled in defending the decisions made involving hiring, for avoiding discrimination and harassment, as well as policies and procedures governing these matters (Montez et al., 2002).

Fundraising. Academic deans perform a vital role in cultivating external relationships, building a support group, and pursuing donors who believe in the mission and vision of their college. The various groups involved in the external relations are usually made up of alumni, parents, community leaders, legislatures, and business leaders. Because of the importance and sometimes high profile of fundraising, which are a critical external functions for both the

college and the university, the endeavors are usually assigned to the university

president or the development officer (Tucker & Bryan, 1988). For most academic

deans, however, fundraising is a relatively new function that evolved into a

regular part of their duties, partially due to the reduction in state budgets and the

need for colleges to fund their own projects or initiatives (Martin, 1993). However,

as many studies have reported, learning the task of fundraising is learned by

doing while in the position or working with the development officer (Fagin, 1997;

Gmelch et al., 2011).

Technology. Academic deans are expected to incorporate technology into

teaching and delivering programs and services to achieve efficiency, prepare

students for the workforce, and compete in the local, national, and global markets

(Montez et al., 2002; Tucker & Bryan, 1988; Wolverton & Gmelch, 2002). Public

universities are finding that in order to compete with the for-profit universities they

will need to incorporate a "virtual" platform for delivering courses online

(Wolverton & Gmelch, 2002). However, keeping up with cutting edge technology

has a cost associated, both monetary and in motivating faculty and staff to stay

current (Montez et al., 2002). Yet, academic deans can access technology

through a number of different means such as, ensuring technology is included in

grant proposals, collaborating with business and industry, or soliciting donations

for equipment. Key to being successful in addressing college technological needs

is for academic deans to set priorities based on where the greatest need is, and

by identifying how the need can benefit the most students (Bright & Richards, 2001; Wolverton & Gmelch, 2002).

Leadership. Presidents, provosts, and vice presidents rely heavily on academic deans to lead their college and to help the university forge ahead. In contrast, faculty members expect academic deans to support their discipline-specific initiatives in the areas of research and teaching. Students rely on academic deans to ensure quality programs, course offerings, and student support. The three perspectives can be viewed as having competing priorities and possibly leading to role ambiguity and conflict (Montez et al., 2002; Rosser et al., 2003; Tucker & Bryan, 1988).

When determining how to cultivate administrative leadership capacity for academic deans, Gmelch et al. (2011) found the best source of information is from those who are serving, or who have served as academic deans. For instance, Gmelch et al. interviewed 50 deans, conducted professional development seminars, and reflected on their 50 years of experience in 10 different deanships. The authors found similarities in the development of the academic deanship from their own experience, and the progress in the form of *stages* or what they considered as "seasons of the deanship" (p. 1). The stage or season for the first three years of deanship (springtime) is getting started, years four to seven of the deanship (summer) is hitting the stride, eight years and beyond of the deanship (fall) is keeping the "fire alive", and the last is the ending of an era, or life after "deaning" (winter) (p. 1).

In studying the first three years of the deanship (springtime), Gmelch et al. (2011) focused on why academic deans took the position, what process they used to prepare for the interview, and how they prepared for the role. The deans interviewed in this study confirmed that their experience as department chair and/or associate/assistant dean prepared them somewhat for the deanship position, but the most valued experience came from serving on college and university-wide committees, participating in professional associations, and becoming familiar with the academic programs in the college. Critical of all was the university-wide experience, which provided an overview of the "broader perspective of the university" (Gmelch et al., 2011, p. 20) and was key to focusing on college-wide issues.

For the summertime role extending years four to seven, academic deans reported that they were able to see the results of their hard work from the early years and were becoming more comfortable in their role; though, their passage was not easy (Gmelch et al., 2011). By the fourth or fifth year, academic deans made leadership changes in department chairs and/or associate deans. In years eight and beyond for the fall *season* academic deans reported that the work slowed down or become stagnate, they were known within the university community and were either just trying to work until retirement, or were considering moving up in academe. The concern for those planning to stay in the position is how they are going to renew their passion for the position and keep from falling behind on the current issues. Lastly, the winter *season* or the

transition period is when academic deans pursued promotions, another

institutional deanship, retired, or returned to faculty (Gmelch et al., 2011).

Strategic Planning. Buller (2007) outlined the requirement to be strategic

in planning for the college while contributing to the mission of the university.

When determining funding priorities academic deans must focus on transforming

the college initiatives as opposed to one discrete academic project (Buller, 2007).

Academic deans have to assume many roles while trying to balance competing

priorities between faculty expectation, and their administrative responsibility for

maintaining trust within the college (Buller, 2007; Gmelch et al., 2011; Montez et

al., 2002). For example, the planning process requires input from a variety of

college and university constituents on various matters relating to financial,

academic, institutional policy, and college services. The ability to balance these

competing priorities takes great skill in determining the best method to use in

soliciting input from various groups, and the process to which the consultation will

be used in the planning (Tucker & Bryan, 1988). If handled correctly, academic

deans can use this opportunity to not only compensate for their lack of skills in

strategic planning, but as a means for team building and creating a shared vision

for the college (Buller, 2007).

Bright and Richards (2001) suggested, since the strategic planning

process tends to center on the university's need as opposed to the specific

college's, academic deans can take advantage of the process to create a vision

for the college that is aligned with the university's. The objective of the

university's planning process is to build on the good work already in place, or to revitalize the institution and take it out of status quo and forge ahead. The latter involved all areas of the university to contribute toward matters pertaining to budget reductions, improvement in services, or adherence to policies and procedures. Academic deans could in effect use this exercise to develop a long-term college (Bright & Richards, 2001).

The aforementioned studies described the various administrative competencies and the importance of each for an effective leader. Tucker and Bryan (1988) portrayed the academic deans' leadership responsibilities as a "dove, dragon, and diplomat" (p. ix), which has been referenced in numerous articles since published. The dove represents being the "peacemaker" (p. ix) between the various groups academic deans interact with on a daily basis. The dragon on the other hand, is to ward off the "bad spirits" from entering the college. Lastly, the diplomat is usually the role academic deans tend to assume to direct the faculty, staff, and students toward common goals for striving for excellence while working together (Tucker & Bryan, 1988).

Research had found academic deans' role is vital to the institution, responsible for connecting administration to the academic departments while working with various groups, often resulting in competing demands (Gmelch et al., 2011; Montez et al., 2002; Tucker & Bryan, 1988). Because academic deans' skills have a great influence on the success of the college, it is imperative that they have the means to attain the professional development needed to serve as

effective administrators. The next section of this report reviewed the various

methods of professional development to attain the administrative competencies,

and the role of the institution in the development process.

<u>Administrative Professional Development</u>

Wolverton and Gmelch (2002) maintained that, "in higher education, we

make a very large assumption that the deans hired by colleges possess the skills

and aptitudes they need to be successful" (p. 10). Nonetheless, deans can learn

skills, but professional development activities are how deans attain aptitudes.

Under Gmelch et al. (2011) *seasons* of academic deans, professional

development was identified as just one part of their overall development,

because effective leadership occurs over time by providing a rich experience of

the organizational structure (Gmelch et al., 2011). Interaction with faculty, staff,

and students is critical for academic deans; consequently, having strong people

skills is a must in order to listen and address issues from the various constituents

(Gmelch et al., 2011).

Administrative leadership training, in combination with experience,

socialization, networking, and mentors can provide academic deans the

preparation needed to be effective leaders in higher education (Gmelch et al.,

2011). Academic deans' experience when moving into administration or hired

into the institution was identified "as the organizational socialization period"

(Wolverton & Gmelch, 2002, p. 19). The process of socialization is not

"unidirectional" but instead, involves newly appointed academic deans' self-

efficacy with the organization, and that of the organization. The intent is to familiarize academic deans with various aspects of the organization such as, learning policies and procedures, becoming familiar with the work environment, and understanding the nuances in each discipline (Enomoto & Matsuoka, 2007).

Professional Development Methods. Administrative development programs must address the array of administrative duties on a holistic level, as opposed to trying to focus on the details of each administrative function (Goldenbaum, 1978). One specific approach for fostering administrative development is to establish a senior leadership forum, where leaders from each college comprised of academic deans and department chairs meet to discuss topics such as, change management, visioning, faculty development, and strategic planning. In addition, leaders of colleges can collaborate with each other to further discuss various topics, share ideas, or address a joint task as a group. However, success for this type of program is often dependent upon institutions making an investment in this program or any other formal training (Wolverton & Gmelch, 2002).

In support of formalized training, McDade (1987) asserted that although some administrators attempt to attain administrative management skills through reading and on-the-job training, professional development programs are the more effective method. McDade further stated that even though academic administrators that come from different institutions may bring new ideas that can be incorporated into the institution, due to the time it takes to learn the culture

and organizational structure it may be more prudent to provide professional development opportunities for internal administrators who are interested in the role of academic dean. Raines and Alberg (2003) expanded on this topic by reporting the best academic leadership preparation method is by working with other leaders and serving on committees. Other methods are a formal administrative internship to obtain hands-on experience and to allow for a holistic view of the decision-making environment, or working with mentors who have specific expertise in administrative competencies. Lastly, Raines and Alberg identified institutes and seminars as opportunities for professional development in both the discipline-specific and general knowledge areas.

Similar to the aforementioned scholars, Gmelch et al. (2011) recommended providing internally conducted training programs, seminars, networking, and mentoring programs, along with regular sessions to continue to enhance skills and provide ongoing support. McDaniel (2002) found the "best leadership development" to be a combination of job experience, educational initiatives, and practical experience with feedback for continuous improvement. Greicar's (2009) study of 310 academic deans found the most preferred and beneficial preparation method for their leadership role was formal and informal mentoring, on-the-job training, professional conferences, seminars, and professional training programs. Of these, the majority of academic deans reported on-the-job training as the primary method they experienced when moving through their careers, followed by informal mentoring, and professional

conferences and seminars (Greicar, 2009). In light of these studies, descriptions and supporting research on mentoring, networking, evaluation process, balance of work demands, institutional culture, and other types of institutional support for the role of academic dean are presented in the next section.

Mentoring/Networking. Mentoring models are available in many forms. Raines and Alberg (2003) described the preschool to grade 12 (P-12) mentoring model that matches a newly appointed administrator with a single mentor. For higher education, the P-12 model may not be the best method because the mentee is only getting one perspective. When determining how to cultivate administrative leadership capacity for academic deans the best source of information is from those who are serving, or have served in the role of academic dean (Gmelch et al, 2011). Another suggestion is to connect with individuals who have expertise within the organization in areas that are most unfamiliar as in finance, human resources, fundraising, and other administrative functions (Allen-Meares, 1997; Raines & Alberg, 2003). Besides establishing a mentorship with experienced administrators, networking at conferences or with colleagues from other institutions provide valuable resources. Effectively, academic deans are already participating in professional organizations in their discipline, accreditation, and other professional conferences to keep abreast of new developments (English, 1997; Gmelch et al., 2011).

Allen-Meares (1997) argued out that throughout the different stages of academic deans' career they can expect to seek mentors with different expertise

in various areas such as the university culture, history, and general administrative experience. English's (1997) review of the various cultural experiences associated with specific disciplines or professional schools found that deans come into the position with their own "values, ideals, and perspectives" (p. 27). Nonetheless, those characteristics will be challenged due to the wide-ranging complex duties and the various stakeholder expectations. Academic deans are expected to serve in what English calls a "cross-cultural" (p. 27) environment between the culture of the institution, academic community, and the professional community (professional schools) requiring skills in demonstrating a sense of understanding, learning, adapting, and fairness to a variety of internal and external groups.

Evaluation Process. In 1978, Fisher reported on the importance of an evaluation process for academic deans that encompasses clearly defined goals and objectives to measure outcomes, specific expectations and priorities, and to provide a clear understanding of where the university wants to go with the academic programs. Fisher (1978) further noted that the evaluation process should be continuous, using clearly stated objectives as an assessment of competency-based performance. In effect, the evaluation process is intended to assess administrators' performance to provide constructive feedback that will not only benefit the administrator, but the university by improving the overall operation and effectiveness (Fisher, 1978).

Senior leaders in higher education are expected to be more accountable for their performance, so it is imperative for universities to invest in their academic leaders by promoting a broad evaluation process that includes input from faculty and staff (Rosser et al., 2003). The authors suggested that institutions start by first identifying the criterion to use in the evaluation process for measureable outcomes, such as improving performance, and identifying professional development. Then review the key aspects of academic deans' role to include in the evaluation process in the areas of performance, cognitive process, and effectiveness. The next step is to include those who interact with the academic dean within the unit and outside the unit. The recommendation is to establish the confidence in the process of evaluating academic deans as effective leaders (Rosser et al., 2003).

Balance of Life. Dill (1984) found similarities when comparing academic administrators to managers in other types of organizations – long hours, and a sizeable workload involving a continual vast array of tasks. With the immense work of running the college, and trying to learn the administrative functions expected of academic deans, the question was raised as to whether the demands were forcing academic deans to leave the position earlier than expected (Gmelch et al., 2011; Montez et al., 2002).

Institutional Culture. Institutions of higher education also have unique cultures different from other organizations because of their ethos, rituals, dynamic diverse groups, and the many challenges facing senior leaders (Kezar

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et al., 2002; Peterson & Spencer, 1990; Tierney, 1988). Institutional culture is not just limited to the university level; instead, being ubiquitous it varies in magnitude and intensity depending on the unit, players involved, and complexity. The term organizational "climate," which is often used interchangeably with culture, is the "current common patterns of important dimension of organizational life or its members' perceptions of and attitudes toward those dimensions" (Peterson & Spencer, 1990, p. 7). Understanding culture will not provide solutions to institutional challenges, but it will provide a "critical insight" (Tierney, 1988, p. 5) for making informed decisions. Tierney (1988) asserted that administrators are responsible for keeping the instances of cultural outbursts at bay, while working toward cultivating a shared vision and common goals. An understanding of organizational culture encourages educational leaders to "consider why different groups in the organization hold varying perceptions about institutional performance" (Tierney, 1988, p. 6).

<div align="center">Research Framework</div>

The lack of research on establishing evidence-based administrative competencies for academic deans in four-year public institutions sets limitations. To prepare academic deans as effective administrators in higher education, careful consideration to the design of preparation programs is desirable as they have a direct influence on the role of the deanship. In evaluating and designing the programs, more information about administrative competencies and

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academic training are similarly desirable in order to bring the knowledge into active use for the preparation of effective administrators.

The literature review was expanded to include administrators in community colleges to determine whether competency models were useful in developing a framework for this study. An review of the best preparation techniques for the different competency models was also conducted for possible use in this study. The research and evaluation of the applicability of community college administrators to academic deans determined the similarities and differences that existed between the two competency models. Described in this section are studies on competency models for community colleges administrators that were identified as having relevant research that provided practical instruments for use in this study.

The first study focused on the perceived critical leadership skills, knowledge, and competencies that were essential for community college administrators (Mapp, 2008). The various administrators in this study were chancellors to executive directors, including deans, associate deans, senior associate deans, assistant deans, and division deans. The survey instrument utilized in this study was comprised of 25 leadership competencies in major administrative areas of budget management, human resource management, technology, leadership, strategic planning, networking, relationships, communication, and cultural diversity. The theoretical framework focused on the correlation between the leadership competencies and the managerial roles

(Mapp, 2008). The leadership competencies in Mapp's (2008) study were found to have similarities to the administrative competencies referenced in this literature. As illustrated in Table 1, the various authors cited in this literature have referenced one or more of the leadership competencies. As a result, there is a good possibility that the leadership competencies in Mapp's survey instrument could be used as a framework for identifying the essential administrative competencies for academic deans in this study.

In addition, Mapp's (2008) study gathered the most appropriate training and development technique for attaining the leadership competencies. The study was designed to identify the preferred preparation method for each of the 25 leadership competencies from a selection of six techniques: seminar, mentor, classroom, hands-on experience, community college leadership program, and other. Similar to the leadership competencies, the preparations methods were also referenced in the literature for this study. As a result, the leadership competencies and preferred preparation methods from Mapp's study were determined to be viable for use in this study.

Table 1

Leadership Competencies and Skill Development Instrument (LeCASDI)
Compared to Authors Cited in this Study

Leadership Competencies	Authors Cited in this Study
Budget Management Business & Industry Partnerships Entrepreneurship Technology Planning	(Bright & Richards, 2001; Buller, 2007; Del Favero, 2005; Martin, 1993; Montez et al., 2002; Rosser et al., 2003; Townsend & Bassoppo-Moyo, 1996a; Tucker & Bryan, 1988; Wolverton & Gmelch, 2002)
Institutional & Strategic Planning	(Bright & Richards, 2001; Buller, 2007; Gmelch et al., 2011; Heck et al., 2000; Martin, 1993; Montez et al., 2002; Tucker & Bryan, 1988)
Board and CEO Relationships Peer Network Public Relations & Media Relationship with Political Leaders	(Fagin, 1997; Martin, 1993; Montez et al., 2002; Tucker & Bryan, 1991; Wolverton & Gmelch, 2002)
Conflict Resolution Employment Practices Personnel Selection/Human Resources Salary Administration	(English, 1997; Martin, 1993; Montez et al., 2002; Tucker & Bryan, 1991; Wolverton & Gmelch, 2002)
Change Agent Leadership Motivation Skills	(Martin, 1993; Montez et al., 2002; Rosser et al., 2003; Tucker & Bryan, 1988)
Communication Skills Information Processing	(Heck et al., 2000; Martin, 1993; Montez et al., 2002; Ruben, 2006; Townsend & Bassoppo-Moyo, 1997)
Legal Issues Policy Risk Management	(Bright & Richards, 2001; Buller, 2007; Gmelch et al., 2011; Martin, 1993; Montez et al., 2002; Tucker & Bryan, 1988)
Multicultural Understanding/ Cultural Diversity	(English, 1997; Kezar et al., 2002; Martin, 1993; Peterson & Spencer, 1990; Tierney, 1988)
Time Management Use of Administration Software Use of Presentation Software	(Martin, 1993; Wolverton & Gmelch, 2002)

Note. Leadership Competencies and Skill Development Instrument (LeCASDI)

Mapp, W. E. (2007). Leadership competencies and their development for community college administrators (Ph.D.). Walden University, United States -- Minnesota. Retrieved from http://search.proquest.com.libproxy.lib.csusb.edu/pqdthss/docview/304768306/abstract/8 018C07196D8428DPQ/1?accountid=10359

In the second study, Levin (2010) explored preparation methods for community college deans in Career and Technology Education (CTE), which drew on the experiences of three deans from different types (suburban, urban, rural) of large colleges. The research questions for this case study consisted of six guiding questions to ascertain the essential leadership practices, abilities, experiences, and succession planning strategies for deans of CTE. In Table 2, Levin's strategic leadership practices and abilities for CTE deans are juxtaposed to Mapp's (2008) leadership competencies to demonstrate the similarities in the two studies.

Akin to many educational institutions, Levin (2010) found the subject community colleges did not have systems in place for the career advancement and succession planning of CTE Deans. Mapp (2008) faced similar challenges in an effort to identify literature focusing on the necessary competencies for higher education administrators only to find the availability of resources to be minimal. Specifically, Mapp was unable to find an exact list of competencies, knowledge, skills, and abilities for community college administrators, but was able to find some articles relating to community college presidents and other administrators.

A review of a national study of a sample of community college chief academic officers found the authors used an open-ended survey with four questions as opposed to researcher-dictated choices (Townsend & Bassoppo-Moyo, 1997). The study examined academic officers' perceptions of the knowledge, skills, and attitudes necessary for their current level, as well as what

they might need in the future. The authors were aware that this type of survey may risk a lower rate of returned, but felt it was important to allow for more than one kind of response to each of the questions. The survey results were grouped into four main professional competencies comprised of contextual, communication, interpersonal, and technical competence. Within these four groups were a variety of administrative competencies such as understanding legal issues (contextual), budget and financial (technical), human relations, conflict resolution (interpersonal), and communications skills. The results of the study provided information for professional education for academic administrators and for adding additional courses for higher education doctoral programs (Townsend & Bassoppo-Moyo, 1997).

Expansion of the literature to include administrators in community colleges provided additional competency models and instrument options for use in developing a framework for this study. Additionally, a review of the best preparation techniques for the different competency models contributed to the survey instrument for this study. As a result, the competencies models and preferred preparation methods from the previous studies were used as a framework for developing the instruments for this study.

Table 2

Deans of CTE in Community Colleges Compared to Leadership Competencies

Leadership Competencies	Results of Guiding Questions Deans of CTE
Budget Management, Business & Industry Partnerships, Entrepreneurship, Technology Planning	• Need for substantial budget experience • Involvement in the community, business and industry, outside of the college
Institutional & Strategic Planning	• Collaboration with regard to decision-making, interdepartmentally, among community partnerships
Board and CEO Relationships, Peer Network, Public Relations & Media, Relationship with Political Leaders	• Maintaining involvement in professional associations • Collaboration with regard to decision-making, interdepartmentally, among community partnerships
Conflict Resolution, Employment Practices, Personnel Selection/ Human Resources, Salary Administration	• Knowledge and implementation of human resources policies and practices, contractual issues • Ability to relate to faculty issues and to evaluate faculty effectively
Change Agent, Leadership, Motivation Skills	• Demonstrating personality and character including expressing an energy and enthusiasm that can move people to action • Collaboration with regard to decision-making, interdepartmentally, among community partnerships
Communication Skills, Information Processing	• Collaboration with regard to decision-making, interdepartmentally, among community partnerships • Teaching experience to lending credibility to their expertise as an educator and as a supervisor of faculty
Legal Issues, Policy, Risk Management	• Community involvement with the unique familiarity with accreditation and licensing credentials to which the CTE programs ascribe
Multicultural Understanding/ Cultural Diversity	• Experience in working well with diverse groups of people
Time Management, Use of Administration Software, Use of Presentation Software	• Staying abreast of current trends in their fields, continued ability to provide leadership among faculty and programs

Note. Adapted from: Results of Guiding Questions Deans of CTE

Levin, S. Z. (2010). Deans of career and technical education: Charting the course to senior administration (Ed.D.). National-Louis University, United States -- Illinois. Retrieved from http://search.proquest.com.libproxy.lib.csusb.edu/pqdthss/docview/375469791/abstract/B62BF4D858ED4A97PQ/1?accountid=10359

Adapted from: Leadership Competencies and Skill Development Instrument (LeCASDI)

Mapp, W. E. (2007). Leadership competencies and their development for community college administrators (Ph.D.). Walden University, United States -- Minnesota. Retrieved from http://search.proquest.com.libproxy.lib.csusb.edu/pqdthss/docview/304768306/abstract/8018C07196D8428DPQ/1?accountid=10359

Summary

The postulated administrative duties of academic deans were wide ranging in the areas of personnel, staff development, fiscal management, and overseeing operations. The administrative leadership functions were reinforcing cultural values, working with a diverse group of constituencies, strategic planning, program development, and resource allocation. Academic deans were found to have little to no formal administrative training with having to assume their roles with the expectation they will need to learn on their own, while in the position (Wolverton & Gmelch, 2002). As one participant stated in an informal survey, he "did not set out to be a chairman, dean, vice president, or president" and "did not participate in any formal training or professional development programs in preparation for any of these positions" (Raines & Alberg, 2003, p. 33), but found himself serving in these roles.

Academic deans need administrative leadership development to ensure their success. Otherwise, failure to provide some type of administrative development can lead to the academic dean position becoming less attractive, thus creating a dilemma in recruiting qualified candidates. Additionally, institutions risk the loss of vital institutional knowledge that can create a significant impact on institutions, or a reduction in the pipeline for new academic deans. Given the impending leadership crisis and future challenges, institutions will need to depend partly on the competencies the next generation of academic deans possess in order to continue with operations (Gmelch et al., 2011).

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CHAPTER THREE

METHODOLOGY

Introduction

A review of the literature confirmed academic deans serving in multifaceted, challenging roles lack prior administrative experience and assume the position without the benefit of administrative training (Gmelch, 2000; Gmelch et al., 2011). Academic deans' educational background and academic careers are in scholarship and teaching rather than administration (Gmelch et al., 2011; McDade, 1987; Millett, 1978). A further review of the literature found that most of the research available regarding administrative competencies for senior leaders in higher education focused on presidents, vice presidents/deans of academic affairs, or community college leaders (Townsend & Bassoppo-Moyo, 1996a, 1996b, 1997), with only a few studies on college academic deans (Martin, 1993). Accordingly, a lack of research exists that identifies administrative development for academic deans at four-year comprehensive public universities.

The purpose of this study was to identify the essential administrative competencies and professional development that CSU academic deans consider the most crucial for effective leadership. The study used a mixed methods research design employing both quantitative and qualitative research to examine demographic information, perceived essential administrative competencies, and the preferred professional development methods. Presentation of the

methodology for this study begins with a review of the research questions, followed by descriptions of the mixed methods research design, institutions, participants, and phases of the data collection and analysis. The chapter ends with a summary of the methodology employed for this study.

Research Questions

In an effort to identify the perceived essential administrative competencies that would best serve academic deans as senior leaders in the CSU this study focused on the following research question: How do California State University academic deans describe the development of their administrative competencies? The following guiding sub-questions further analyzed the research question employing both quantitative and qualitative research methods:

Quantitative Research Method

1. What administrative knowledge, skills, and competencies are essential as perceived by current CSU academic deans to serve as effective senior leaders?

2. What similarities or differences, if any, will emerge among CSU academic deans' gender, age, level of education, and years of experience with respect to the importance of the perceived administrative competencies?

3. What does the data suggest would be the best means to attain the various administrative knowledge, skills, and competencies that are essential as perceived by current CSU academic deans?

Qualitative Research Method

4. What background, knowledge, experience, or skills do academic deans

    perceive they possessed that made them qualified for their current

    position?

5. What are the essential administrative practices and preparation methods

    as perceived by current CSU academic deans to serve as effective senior

    leaders?

Methodology

This study used an explanatory sequential design which is a two-phase

mixed methods research design for the collection and analysis of quantitative

data followed by the collection and analysis of qualitative data (Creswell & Plano

Clark, 2007).

Mixed methods research is a research design with philosophical

assumptions as well as methods of inquiry. As a methodology, it involves

philosophical assumptions that guide the direction of the collection and

analysis of data and the mixture of qualitative and quantitative approaches

in many phases in the research process. As a method, it focuses on

collecting, analyzing, and mixing both quantitative and qualitative data in a

single study or series of studies. Its central premise is that the use of

quantitative and qualitative approaches in combination provides a better

understanding of research problems than either approach alone. (Creswell

& Plano Clark, 2007, p. 5)

When using a mixed methods research design, Creswell and Plano Clark (2007)

argued that investigators typically place greater emphasis on the first phase to

identify statistically significant differences or anomalies in which the second

phase can further explain. The steps for the two-phase analysis of quantitative

and qualitative data employed in this study are described in the following

sections.

First Phase: Quantitative Method

The first phase of the study involved descriptive, quantitative research

utilizing a survey instrument to acquire information about characteristics,

opinions, and previous experiences (Leedy & Ormrod, 2013). This phase began

by surveying a large population of CSU academic deans to determine the

similarities and differences that existed between participant demographic

information, professional experience, and perceived importance of the various

administrative competencies. The survey also gathered the preferred

development method for attaining the various administrative competencies.

Second Phase: Qualitative Method

The second phase of the study was phenomenological qualitative

research, designed to describe "lived experiences of a concept or a

phenomenon" (Creswell, 2013, p. 76). This phase involved the use of semi-

structured interviews with purposeful sampling of selected participants to garner

perceived essential administrative competencies needed to perform as effective leaders. Purposeful sampling participants are persons selected to provide particularly relevant information pertaining to experience or knowledge about the subject matter (Creswell & Plano Clark, 2007).

The rationale for a mixed methods research design was to allow for a more complete view of the phenomenon, because each design has its strengths and limitations that often offset the other (Leedy & Ormrod, 2013). Krathwohl (2009) described mixed methods research design as the ability to enhance the research by using qualitative stories to make quantitative analyses "come alive" or to "flesh out the meaning" (p. 617). To further support the benefit of mixed methods design, Creswell and Plano Clark (2007) asserted, "The combination of qualitative and quantitative data provides a more complete picture by noting trends and generalizations as well as in-depth knowledge of participants' perspectives" (p. 33).

Institutions and Participants

The selection criteria for this study for both the quantitative and qualitative methods involved academic deans who are responsible for discipline-specific colleges at four-year public universities within the California State University system. The purpose was to identify the essential administrative competencies that academic deans consider the most crucial for effective leadership. For identification of the essential administrative competencies, the study explored the

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following variables: administrative knowledge, skills, and competencies that are essential as perceived by current CSU academic deans.

Institutions

The California State University system is comprised of 23 institutions made up of comprehensive, polytechnic, and one maritime located throughout the State of California. The oldest institution is San Jose State University founded in 1857, and the newest institution to the system is California State University, Channel Islands that opened in 2002 ("CSU Explore the System," 2012). The system offers undergraduate and graduate instruction in 1,800 bachelor's and master's degree programs in 357 subject areas. A few of the institutions also offer doctoral degree programs.

In 1974, the CSU system created a comprehensive administrator development program specifically designed for department chairs. The initial program expanded over three years to a series of eleven workshops offered over a two-week period. The workshops covered topics such as academic leadership, careers for faculty women, problem solving, department chair orientation, faculty evaluation, faculty retention and promotion process, goals, actions, and planning, management by objective, and conflict resolution. Participants who attended the workshops were mostly department chairs, associate deans, and a few higher level administrators (Zion, 1978).

The CSU system currently provides a comprehensive program for department chairs called, "The Chairperson in Transition, From Faculty to

Department Chair." The program is designed to provide training to be a "good department chair" by combining the academic and technical skills normally associated with a faculty position, with the organizational and interpersonal skills associated with the positon of a department chair (Zimmerman, 2014). Although the CSU system has a leadership program for department chairs, the system lacks a formal administrative training program specifically for academic deans.

Prior to conducting research for this study, individual CSU Institutional Review Board (IRB) approvals were requested from 20 of the institutions. The remaining three institutions were not requested at the time of this study. As a result, 16 out of the 20 requested IRB approvals were granted, one was still pending at the time this study was written, and the three were no longer pursued due to various reasons that prohibited the researcher from obtaining approval for use in this study.

Participants

This study was designed to reach those academic deans serving in CSU institutions as chief academic officers of discipline-specific colleges responsible for overseeing the teaching and research functions (Tucker & Bryan, 1988). To identify the participants for this study, the names and contact information were located on each institution's website and then verified for accuracy by calling institutions' provost office. The extra step in verification was needed because some institutions' websites were not updated with the most current contact information, and because some academic deans were on a leave of absence,

retired, or left the institution. Upon verification of the names, an email invitation

was sent to 101 academic deans requesting their participation in the survey

study. The email informed potential participants that the work was under the

direction of a faculty advisor and committee chair, and has been approved by the

Institutional Review Board (IRB) at both the researcher's institution and that of

the participant's. Practices to adhere to the principles and guidelines associated

with ethical human subject research were taken with care as required by the

researcher's institution and for the participants' as an unaffiliated investigator. Of

the 101 (*N*=101) who were contacted, 40 (N=40), participants from 15 of the 16

(IRB approved) institutions participated in the survey, yielding a return rate of

39.6%.

When selecting participants for the interviews, the researcher used a

purposeful sampling method defined as the intentional selection of participants

"who hold different perspectives on the central phenomenon or the key concept

being explored" (Creswell & Plano Clark, 2007, p. 112). The criteria for the

selection were those preferably serving as academic deans for at least one year

and less than five years. The criteria, derived from Gmelch et al. (2011),

combined the first three years of the deanship in the springtime role, and years

four to seven for the summertime role. The springtime role focused on why

academic deans took the position, and what process and method they used to

prepare for the role of academic dean. For the summertime role, extending years

four to seven, academic deans reported that they were able to see the results of

their hard work from the early years and were becoming more comfortable in their role; though, their passage was not easy (Gmelch et al., 2011). The basis for identifying the development of academic deans during these years is that there are similarities in individuals' own experience as they progress through the role of dean (Gmelch et al., 2011). The selection of interview participants attempted to reflect the population of academic deans that responded to the survey by gender, age, years of experience, and institutional size. The presumption with variations in race, gender, level of education, and experience, is that sampling of individuals will likely exhibit different perspectives pertaining to their experience as they prepare for, and advance to role of academic dean (Creswell & Plano Clark, 2007).

Data Collection

The collection process for the two data sources was sequential in nature (Creswell & Plano Clark, 2007). The first source was the quantitative research method from the results of a survey, and the second source was the phenomenological qualitative method from the semi-structured interviews. In addition to presenting the data collection process, this section describes the instruments for the quantitative research method, phenomenological qualitative method, and the researcher as an instrument.

<u>Survey Instrumentation</u>

        The survey instrument for the quantitative research method was the

Administrative Competencies and Skill Development Instrument (Appendix B).

This instrument was derived from a survey titled, "Leadership Competencies &

Skill Development Instrument," designed to reach community college leaders to

determine how important it is to possess the various administrative

competencies, and their perceptions for the best preparation technique for

developing the competencies (Mapp, 2008). Mapp's (2008) survey study was

comprised of 25 research-dictated competencies developed from various

sources of information such as previous surveys, community college

publications, and the literature. Although Mapp's (2008) survey instrument was

originally designed for community college leaders, the competencies identified in

this literature for academic deans matched those of Mapp's research-dictated

competencies. Approval to modify Mapp's (2008) survey instrument for CSU

academic deans was granted prior to use for this study. The modifications were

to relationships with a *Board*, for which CSU academic deans do not directly

interact with, and the title of *CEO*, which is not used in the CSU. The two

references were replaced with one relevant description for CSU academic deans

titled, *Relationships with a President and Provost/VP Academic Affairs.*

        The survey instrument for this study (Appendix B) consisted of two parts.

Part I was designed for the collection of demographic information regarding

participants' gender, race, ethnicity, age, number of years in current position, title

of current and previous positions, and level of education. Part II consisted of two sections: 1) Competency Belief Scale for gathering beliefs as to how important it is to possess the 25 various administrative competencies; and, 2) Skill Development Technique Scale for gathering the perceptions of the best preparation technique for attaining the stated competency. The two sections under Part II are described below.

Part II, Section 1: Competency Belief Scale. For the Competency Belief Scale, participants were asked to rate the essential administrative competencies that academic deans consider the most crucial for effective leadership. The belief scale was based on a five-point Likert-type rating scale from highest to lowest consisting of "5"=*Extremely important*, "4"=*Very important*, "3"=*Neither important nor unimportant*, "2"=*Unimportant*, and "1"=*Not important*. If the participants did not have any experience (whether in their current or former position), they were directed to mark the selection as "*N/A*" (not applicable).

Part II, Section 2: Skill Development Technique Scale. This section of the survey gathered the preferred skill preparation method for each administrative competency. The methods were ranked on a scale of "1"=*Best way to learn*, to "6"=*Worst way to learn* from the following selection: (a) seminar, (b) mentor, (c) classroom, (d) hands-on experience, (e) leadership program, and (f) other. Descriptions of the various skill preparation methods from Appendix B are as follows:

- Seminar is a short (8hrs.) course often featuring a presentation and discussion by experienced professionals on a related topic.

- Mentor is an experienced college administrator who meets with an academic dean on a regular basis to discuss various knowledge and skills needed.

- Classroom is the use of advanced courses on related subject matters.

- Hands-on Experience is the skill or knowledge learned by on-the-job training.

- Leadership Program is a long-term administrative leadership program specifically geared toward offering various topics for academic deans.

- Other method represents any other method that can be used to obtain the knowledge or skill.

Interview Instrumentation

A secondary data source for this study was in the form of semi-structured interviews with purposeful sampling of selected individuals. The objective of the interviews was to explore a phenomenological analysis of descriptions of participants' experiences (Moustakas, 1994). The interviews acquired information on professional experiences, beliefs, and stories for identifying categories and themes for reporting the lived experiences, and further interpretation of the survey data (Creswell, 2013).

The researcher selected an instrument from Levin's (2010) study titled, "Deans of Career and Technical Education [CTE]: Charting the Course to Senior

Administration," which was designed "to identify the essential leadership practices, abilities, experiences, and succession planning strategies used by 'exemplary' community college Deans of CTE" (p. 38). Prior to conducting interviews with the selected community college Deans of CTE, Levin (2010) conducted a pilot study with deans and supervisors who were not participating in the actual study for making adjustments on unclear or confusing questions. Levin used Mapp's (2008) study as a reference in support of the preferred methods of training for administrative leaders; therefore, this researcher was confident the two instruments would complemented each other. As a result, the researcher obtained permission to modify the interview instrument for use in this study by removing reference to Deans of CTE.

The interview instrument for this study was the "Professional Administrative Development for Academic Deans as Senior Leaders" (Appendix C). Before the interviews began, permission was obtained from the participants with the use of informed consent for adherence to the principles and guidelines associated with ethical human subject research. The protocol consisted of an interview by telephone, which was determined to be the better option by the researcher and the participant due to the distance between their locations. To assist in capturing the complete interview, audio equipment was used for data collection purposes. The recordings were transcribed verbatim, and then coded with the first cycle codes. Discussion of the coding process and emergent

themes will be discussed in the Data Analysis section below and in Chapter 5 of this study.

<u>Researcher as an Instrument</u>

My position as a researcher was to serve as an instrument for the study. My personal goals, experience, and knowledge were known to influence the research from the design phase to completion of the study (Maxwell, 2013). As such, Maxwell (2013) recommended that the researcher "be aware" of these influences and how they may shape the research. Having first-hand knowledge or personal connections to the topic, subjects, or situation are valuable sources of information that could not be obtained from other means. Maxwell argued that it is not possible to eliminate the researcher subjectivity, but instead, when conducting qualitative research the focus is on the ability to interpret how it (positively or negatively) may influence the study. Peshkin (1988) pointed out that regardless of the type of research method and problem, researcher background, or reputation, researchers "should systematically identify their subjectivity throughout the course of their research" (p. 17).

My rationale for disclosing researcher subjectivity is to allow the reader to understand "where self and subject became joined" (Peshkin, 1988, p. 17). My interest in administrative leadership competencies for academic deans began over thirteen years ago after assuming an administrative and financial position with one of the institutions. Academic deans regularly inquired about administrative and financial policies and procedures, which led to the realization

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that there was no formal administrative training for academic deans. Academic deans relied on training while in the position, and in seeking out knowledgeable peers to assist in providing guidance on administrative and financial matters. Early in their careers, academic deans became aware they lacked the administrative experience and technical expertise needed to maneuver through their role as college leaders. I also realized that some academic deans who were serving in an interim role found they were less prepared to take on the administrative work. Their duties as a department chair and/or associate dean provided some experience, but not at the level of an academic dean.

My experience working with academic deans provided me the ability to understand and interpret the information reported during the interviews, but not assume it would explain all the nuances of academic deans' plight. I had to be aware of my subjectivity as being present in my research in order to "knowingly clarify" (Peshkin, 1988, p.17) and attend to my subjectivity. More importantly, to inform the reader of this study the reason the interview responses were easily interpreted and applied to the categories created for this study. In addition to identification of the administrative competencies for academic deans, I anticipated being able to portray academic deans' meaningful and culturally salient responses of their rich and explanatory experiences, challenges, or successes (Creswell, 2013; Saldaña, 2012).

Data Analysis

A diagram or a graphical representation portraying the data analysis process is presented in *Figure 1* (Ivankova, Creswell, & Stick, 2006), and details of the processes are presented in this section. The diagram depicts the sequence of the research activities by indicating the data phases, data collection and analysis procedures, and list of products or outcomes for the stages of the study. The first stage commenced with a review of the survey research and quantitative data analysis in preparation for developing the first cycle codes. The second stage involved the interview research and qualitative data analysis in preparation for developing the second cycle coding. The final activity is the integration process for connecting the quantitative and qualitative results, and for interpretation and discussion of themes and findings.

Survey Research

The survey research acquired participants' demographic information regarding gender, race, ethnicity, age, number of years in current position, title of current and previous positions, and level of education. Other descriptive data included beliefs as to how important it is to possess the various administrative competencies, and the best preparation technique for development of the competencies. The statistical analysis of the quantitative data encompassed the use of Statistical Package for Social Sciences (SPSS) and spreadsheet software for tabling the demographic data, and calculating the mean, mode, minimum, and maximum. The mean, which is the most common central tendency, determined

the average score for each administrative competency question (Howell, 2008).

The mode is the most frequently occurring score, and the minimum and

maximum represent the first number and last number, respectively, in the order

of all the data. Both values could be repeated in the data set and the significance

in reporting these numbers is to display the lowest and highest scores reported

by the participants (Howell, 2008).

Development of First Cycle Codes

The first cycle coding process employed an *Exploratory* method to assign

initial codes "before more refined coding systems are developed and applied"

(Saldaña, 2012, p. 141). The specific type of Exploratory method was a

Provisional coding process which utilized a predetermined list of "researcher-

generated codes" (Saldaña, 2012, p. 141) that symbolized and attributed

meaning to the survey data for purposes of categorization. The Provisional

coding process was determined appropriate to "build on or corroborate previous

research and investigations" (Saldaña, 2012, p. 144). The list of codes can be

developed from various sources of information such as categories anticipated

from the results, the literature from the study, the study's conceptual framework,

research questions, previous research, and researcher's experiential information

(Saldaña, 2012). The predetermined, researcher-generated list of codes for this

study utilized a combination of the literature, research questions, information

from the survey instrument, and researcher's experiential information. As a

result, the following list of 50 codes was initiated for use in this study:

Table 3

First Cycle Coding – Researcher-Generated Codes

Researcher-Generated List of Codes	
1. Academic Personnel	26. Mentors
2. Allocating Resources	27. Motivation Skills
3. Budget Management	28. Multicultural Understanding
4. Business and Industry Partnerships	29. Organization Skills
5. Change Agent	30. Peer Network
6. Collaboration	31. Personnel Management
7. Communication Skills	32. Policy
8. Conflict Resolution	33. Political Relations
9. Cultural Diversity	34. Professional Development
10. Delegation	35. Professional Organizations
11. Employment Practices	36. Public Relations and Media
12. Entrepreneurship	37. Recruiting Faculty
13. External Relations	38. Relationship with Political Leaders
14. Faculty Tenure Process	39. Risk Management
15. Fiscal Resource Management	40. Salary Administration
16. Fundraising	41. Scholarship
17. Human Resources Management	42. Shared Governance
18. Information Processing	43. Staff Development
19. Institutional Governance	44. Staff Evaluations
20. Institutional Mission and Vision	45. Strategic Leadership
21. Institutional Procedures	46. Strategic Planning
22. Internal Relations	47. Technology
23. Leadership	48. Time Management
24. Legal issues	49. Union Environment
25. Market Conditions	50. Visionary

Interview Research

The interview research utilizing semi-structured interviews was transcribed

verbatim then coded with the first cycle coding, which "in qualitative inquiry is

most often a word or short phrase that symbolically assigns a summative, salient,

essence-capturing, and/or evocative attribute for a portion of language-based or visual data" (Saldaña, 2012, p. 3). The predetermined first cycle codes from Table 3 were mainly single words or short phases that described or identified the various administrative competencies that symbolized and attributed meaning for purposes of categorization. After the first cycle coding process was completed, the second cycle coding development process commenced.

Development of Second Cycle Codes

The second cycle coding employed an Elaborative coding process to further classify, prioritize, integrate, and synthesize the data (Saldaña, 2012). Saldaña (2012) recommended using a second cycle as an advanced method to reorganize and reanalyze the data coded from the first cycle. The objective of the second cycle was to organize the data in categories for use in supporting or modifying the observations from the survey results. The process is to allow for identification of differences between the two studies to acknowledge and address those differences (Saldaña, 2012).

The textual data were first aggregated into major categories or constructs of information gathered from the interview responses (Creswell, 2013). The major categories were necessary because some of the administrative competencies from the survey questions had similar constructs, or were not easily differentiated. Smith and Wolverton (2010) used a similar process for grouping categories of competencies from a detail analysis of the quantitative data. For example, under the category of analytical leadership the authors combined

competencies for entrepreneurial, creativity, strategic thinking, and action, because they found similarities in the traits that were all related to analytical leadership. Similarly, in this study when the organizing and coding occurred the themes that emerged afforded interpretation and comparison, allowing for triangulation and integration of the multiple data sources (Leedy & Ormrod, 2013; Maxwell, 2013).

Major Categories

Development of the major categories began with the top 10 administrative competencies from the survey results (Table 11), and those survey questions closely related but with lower scores. The major categories were organized as constructs made up of the administrative competencies that were repeated in the interview data by multiple participants, or those with fewer occurrences, but having some significance to the construct. In addition, closely associated topics from the coding process were included. For example, the first major category listed below is for the construct of communication under the heading of *Communication Skills.* In addition to the abilities for *Communication Skills*, abilities for administrative competencies *Information Processing*, and *Public Relations and Media* (Appendix B) were included. The eight major categories along with a brief description of the constructs and combined administrative competencies are listed below:

1. Communication Skills combined administrative competencies

   Communication Skills, Information Processing, and *Public Relations and*

Media. The constructs are abilities to communicate effectively, and convey information to internal and external audiences, including students, faculty, staff, community, and other special groups.

2. Strategic Planning Skills combined administrative competencies *Institutional and Strategic Planning,* and *Entrepreneurship*. The constructs are abilities to establish short and long-term goals and objectives, develop strategies, understand policies, programs, and procedures; and realize new opportunities for achieving goals.

3. Leadership Skills combined administrative competencies *Leadership Skills, Motivation Skills, Conflict Resolution,* and *Change Agent.* The constructs are abilities to influence people so they strive willingly and enthusiastically to help accomplish individual and institutional goals; provide incentives that motivate college employees to work toward attainment of goals; resolve disagreements between individuals and groups; and view the environment for opportunities and improvements to bring about change.

4. Financial/Budget Management combined administrative competency for *Budget Management* and aspects of fundraising. The constructs are abilities to develop and administer budgets, formulate financial plans for the future, and fundraising for acquiring funds.

5. University Administrative Relationships combined administrative competencies *President, Provost/VP Academic Affairs Relationships;*

Business & Industry Partnerships; Relationship with Political Leaders; and

Policy. The constructs are abilities to perform activities and transmit

information, including developing and presenting plans, policies, actions,

and results; successfully identify, develop, and implement a partnership

with business and/or industry; and enter into and effectively maintain

relationships with political leaders.

6. Human Resource Management combined administrative competencies

Personnel Selection/Human Resources, Employment Practices,

Multicultural Understanding/ Cultural Diversity, *Salary Administration*, and

Risk Management. The constructs are abilities to hire, staff, and train

employees; develop and administer the allocation of salary; value the

differences in the workforce; and understand the process of protecting the

college and the employees from lawsuits and the risk of uncertain events.

7. Time Management is the ability to maintain the appropriate allocation of

time to the overall conduct of job responsibilities in such a way that

performance was efficient and productive.

8. Peer Network/Mentor combined administrative competency for *Peer*

Network and aspects of mentoring. The constructs are abilities to enter

into and effectively maintain relationships with other deans, and state,

regional, and national persons; and establishing mentorships.

Integration Process

The integration process is defined as "the combination of quantitative and qualitative research within a given stage of inquiry" (Creswell, Plano Clark, Gutmann, & Hanson, 2003, p. 220). The combination or integration could occur at various stages of the research process from the beginning when formulating the methodology, research questions, and purpose to the data analysis stage (Creswell et al., 2003). An example would be the mixing of findings from the qualitative phase (second) to further interpret and explain the statistical results from the quantitative phase (first), or give meaning to the numerical data.

Integration for this study occurred at multiple stages from the beginning, intermediate, and final stage of the processes. The beginning stage occurred during the design of the study when the research questions were developed and the study instruments were selected. The intermediate stage occurred when the first and second cycle codes were developed, and the final stage was during the data analysis process for the interpretation and discussion of survey and interview results. It was at this stage that the eight major categories were employed for purposes of detecting themes when integrating and analyzing the study results. The diagram or a graphical representation referenced at the beginning of the Data Analysis section is presented next in *Figure 1* (Ivankova, Creswell, & Stick, 2006).

Data Analysis Process

Phase	Procedure	Product

| Survey Research Quantitative Data Collection | → | Survey (web-based) | → | Demographic and Numeric Data |

| Quantitative Data Analysis | → | Calculation SPSS and spreadsheet software | → | Descriptive Statistics |

Provisional Coding Process

| Development of First Cycle Codes | → | Literature, Research Questions, Survey, and Researcher Experience | → | Fifty Research-Generated Codes |

| Interview Research Qualitative Data Collection | → | In-depth Interviews (Telephone) | → | Transcribed Interviews |

| Qualitative Data Analysis | → | Coding and Construct Analysis | → | Codes and Constructs |

Elaborative Coding Process

| Development of Second Cycle Codes | → | Aggregate Text Data Into Categories | → | Eight Major Categories |

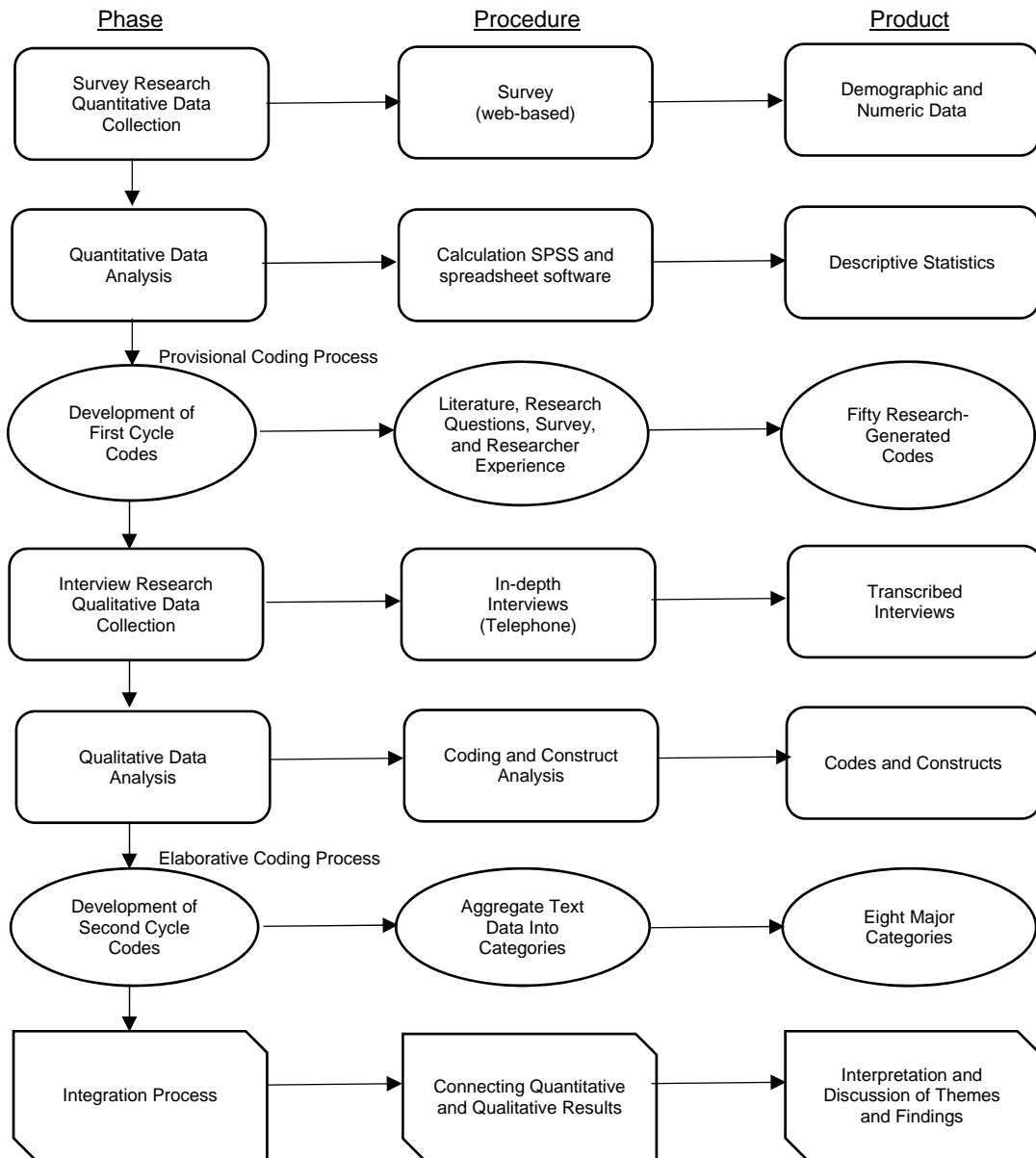| Integration Process | → | Connecting Quantitative and Qualitative Results | → | Interpretation and Discussion of Themes and Findings |

Figure 1. Diagram of data analysis process.

Adapted from: *Visual Model for Mixed Methods Sequential Explanatory Design Procedures*
Ivankova, N. V., Creswell, J. W., & Stick, S. L. (2006). Using mixed-methods sequential
explanatory design: From theory to practice. Field Methods, 18(1), 3–20.
http://doi.org/10.1177/1525822X05282260

In mixed methods research design, "validity differs in quantitative and qualitative research, but in both approaches, it serves the purpose of checking on the quality of the data and the results" (Creswell & Plano Clark, 2007, p. 133). Quantitative methods inherently have a certain level of controls designed into the method to anticipate threats to validity as compared to qualitative methods that are usually dealt with in theoretical terms (Creswell & Plano Clark, 2007). The basis is to "ensure that its measurement techniques–in the most elementary sense of what measurement involves–are valid indicators of the variables under investigation" (Leedy & Ormrod, 2013, p. 262). Often the concern in mixed methods research is in how the results of the two methods support, or not support each other.

This study employed a form of triangulation of data for the validation of the study results against another source, and method (Lincoln & Guba, 1985). Another form of triangulation was attributed to coding from several sources such as the literature, survey results, interview responses, and the researcher's experience (Creswell & Plano Clark, 2007). A method that is available in qualitative research is the use of member checking to allow the participants to confirm accuracy of the information (Lincoln & Guba, 1985). Participants in this study were offered the option for member checking to confirm accuracy of the transcribed information, but they elected to forego the process (Lincoln & Guba,

1985). Instead, the participants requested to remain anonymous, and avoid use of information that could identify their institution.

Reliability in quantitative research is achieved with "consistent and stable" (Creswell & Plano Clark, 2007, p. 133) scores when administering the same instrument. The effort employed in this study for addressing validity and reliability for the quantitative method included using an instrument and method from a similar study. Others efforts were with the use of Statistical Package for Social Sciences (SPSS) and spreadsheet software for calculating the data, and triangulation to compare results.

Summary

This explanatory study used a mixed methods research design to garner survey data from a large population of academic deans for identification of the administrative competencies needed for effective leadership. The study was also designed to determine whether a relationship existed between the administrative competencies and participant demographic information. The mixed methods research design included the use of semi-structured interviews with purposeful sampling of selected participants. The interview methodology was to identify the essential administrative competencies. In doing so, the interviews sought to understand the experiences that contributed to the development of the administrative competencies, and their personal journeys when advancing into the role of academic dean.

As Leedy and Ormrod (2013) explained, in studies of human behavior, a mixed methods research design with quantitative and qualitative elements can provide a more complete view of the phenomenon because each design can balance out the other. The results of this study have the potential for benefiting the CSU by contributing toward a framework in developing effective methods of preparation for academic deans. The framework would encompass the essential administrative competencies that CSU academic deans consider the most crucial to serve as effective senior leaders, and the preferred method to attain the administrative competencies.

CHAPTER FOUR

RESULTS

Introduction

In this chapter, the results of the study are presented in two sections. The first section is an analysis of quantitative survey data with demographic characteristics of the participants, followed by statistical analysis using calculated mean, mode, minimum, and maximum. The second section is an account of the participants' interview responses. Both of these research methods along with the use of research sub-questions were used to analyze the research question of this study. How do California State University academic deans describe the development of their administrative competencies?

Survey Results

The quantitative research phase of this study utilized a survey titled "Administrative Competencies & Skill Development Instrument" (Appendix B). The survey was designed to render demographic information (i.e., age, gender, race, ethnicity, professional experience, and education), the perceived importance of various administrative competencies needed to serve as effective leaders, and the preferred method of preparation for each administrative competency.

Prior to initiation of data collection, the researcher requested approval from 20 of the 23 individual CSU Institutional Review Boards (IRB). Of the 20 requested IRB approvals, 16 were granted, one was still pending at the time this study was written, and three were no longer pursued due to various reasons that prohibited the researcher from obtaining approval. Upon verification of the names and contact information, 101 (*N*=101) academic deans from the 16 institutions received an invitation by email requesting their participation in the survey. Of the 101 (*N*=101) who were contacted, participants from 15 of the 16 institutions participated in the survey study. The population of participants for this study totaled 40 (N=40), yielding a return rate of 39.6%.

The 40 (N=40) participants came from different size institutions, with different experiences, career paths, and other characteristics. To provide a frame of reference, participants' institutional size based on full-time equivalent students (FTES) from the system-wide 2014-15 funding model (Storm & Rideau, 2014) were classified into three groups: 1) under 10,000 FTES; 2) over 10,000 but less than 20,000 FTES; and, 3) over 20,000 FTES. In Table 4, participants (n=11) from institutions under 10,000 FTES represent 27.5% of the total population (N=40); participants (n=15) from institutions over 10,000, but less than 20,000 FTES represent 37.5% of the total population (N=40); and, participants (n=14) from institutions over 20,000 FTES represent 35.0% of the total population (N=40). In total, the participant institutions represent 65.3% of the CSU system's over 360 thousand FTES.

A comparison of the participants in this study by institutional size (Table 4) to the 23 CSU system-wide institutions divided by the same three FTES groups (Storm & Rideau, 2014), the results found the population of participants in this study to be a good representation of the system-wide institutions. For the first level, 35% of the system-wide institutions are under 10,000 FTES, as compared to 27.5% (n=11) of the population of participants in this study. The second level, 35% of the system-wide institutions are over 10,000 but less than 20,000 FTES as compared to 37.5% (n=15) of the population of participants in this study. The third level, 30.0% of the system-wide institutions are over 20,000 FTES as compared to 35.0% (n=14) of the population of participants in this study.

Table 4

Participant Institutional Size

Institution Group	n	Percentage
Under 10,000 FTES	11	27.5%
Over 10,000 but less than 20,000 FTES	15	37.5%
Over 20,000 FTES	14	35.0%
Total	40	100.0%

Data Analysis

This section presents the survey results in two parts: 1) Demographic Data of the participants; and, 2) the Descriptive Statistical Data Results of the administrative competencies. The quantitative research method was designed to

identify the administrative competencies and the demographic information for answering the research question for this study. How do California State University academic deans describe the development of their administrative competencies?

Demographic Data. In support of the research question the results of the demographic data addressed quantitative research method sub-question: What similarities or differences, if any, will emerge among CSU academic deans' gender, age, level of education, and years of experience with respect to the importance of the perceived administrative competencies? Participant demographic data for age, gender, race, ethnicity, educational background, length of time in current position, and previous position held are presented in the following tables.

The gathering of demographic data began with participants being asked to provide their age by selecting from age groups ranging from 18 to 66+ (or older). As depicted in Table 5, the 40 (N=40) participants are presented with one as a missing response. The data indicated that the majority of participants were between 56 and 65 years of age, representing 62.5% (n=25) of the total population. The next group were between 46 and 55 years of age representing 25.0% (n=10) of the total population. Lastly, the results demonstrated that none of the participants were 45 or under (n=0), but there were four (n=4) participants identified as 66+ (or older).

Table 5

Age Group of Participants

Age Group	*n*	Percentage
18 – 25	0	0.0%
26 – 35	0	0.0%
36 – 45	0	0.0%
46 – 55	10	25.0%
56 – 65	25	62.5%
66 or >	4	10.0%
Missing	1	2.5%

For a further review of the previous sub-question on the similarities or differences among CSU academic deans' demographic information, as observed in Table 6 the majority of the participants were male. Of the 40 participants, 60% (n=24) were male, and 37.5% (n=15) were female with one electing to not report. A more detail analysis of the age group and gender make-up determined that 12.5% (n=5) were male between the ages of 46 and 55; 42.5% (n=17) were male between the ages of 56 and 65; and, 5.0% (n=2) were male 66+. An analysis of the female population determined that 12.5% (n=5) were between the ages of 46 and 55; 20.0% (n=8) were between the ages of 56 and 65; and, 5.0% (n=2) were 66+. The one missing nonresponse (n=1) equaled the remaining 2.5% of the population.

Table 6

Gender of Participants

Gender	n	Percentage
Male	24	60.0%
Female	15	37.5%
Missing	1	2.5%

Participants in the study were asked to report their race/ethnicity. As illustrated in Table 7, the 40 participants predominantly reported as White for a total of 72.5% (n=29) of the population. The remaining population is represented in the various groups ranging from 2.5% (n=1) to 7.5% (n=3) for the three missing responses. As observed from the results, the remaining data did not return a second majority group.

Table 7

Race/Ethnicity of Participants

Race/Ethnicity	n	Percentage
Arab American	1	2.5%
Asian/Asian American	2	5.0%
Black or African American	1	2.5%
Hispanic or Latino	2	5.0%
Mixed	2	5.0%
White	29	72.5%
Missing	3	7.5%

An additional demographic question asked participants to identify their educational background or highest education degree from the options of Bachelors, Masters, Doctorate, or Professional. All participants identified possessing a doctorate degree with one identifying a professional degree in addition to a doctorate degree as illustrated in Table 8. These results are consistent with the educational requirements from a sampling of CSU system-wide academic dean job postings in the various colleges as follows:

- College of Arts - An earned doctorate, appropriate terminal degree or professional equivalency in the arts;

- College of Business - Earned appropriate terminal degree from an accredited institution as specified by Association to Advance Collegiate Schools of Business (AACSB) standards;

- College of Education - Earned doctorate in education or related field;

- College of Engineering - A doctorate degree from an accredited college or university;

- College of Natural and Behavioral Sciences - An earned doctorate in one of the disciplines represented in the college; and

- College of Social and Behavioral Sciences - An earned doctorate in one of the disciplines in the college. ("CSU Careers," 2013)

Table 8

Educational Background of Participants

Educational Level	n	Percentage
Doctorate	39	97.5%
Doctorate & Professional	1	2.5%

The results for length of time in their current position ranged (Table 9) from less than one year to eight years and beyond with one missing response. Survey results indicated that 18 (45.0%) participants have been in their position three years or less. The next group of participants, 13 (32.5%) have served in their position between four and seven years. With these two groups combined, the results show that 77.5% (n=31) of the population of participants have served in their current position seven years or less. The remaining eight participants have been in their position for eight years and beyond, or 20.0% (n=8) of the population.

Table 9

Length of Time in Current Position

Length of Time	n	Percentage
0 - 3 years	18	45.0%
4 - 7 years	13	32.5%
8 years and beyond	8	20.0%
Missing	1	2.5%

For reporting of previous position held, the majority of participants (45.0%, n=18) reported having served in a dean position, either executive dean, regular (current level) dean, interim dean, or associate dean prior to their most current dean position (Table 10). The next largest groups served as department chair (20.0%, n=8), or some level of faculty (i.e., Professor, Associate, or Assistant) position (17.5%, n=7) prior to their most current dean position. The remaining participants served in various director level positions (10.0%, n=4), or at the vice president/vice chancellor level (7.5%, n=3) in a regular, interim, or associate appointment prior to their most current dean position.

Table 10

Previous Position Held

Previous Position	*N*	Percentage
Dean-Executive, Interim, Associate	18	45.0%
Department Chair	8	20.0%
Faculty-Professor, Associate, Assistant	7	17.5%
Director-Executive, School, Program	4	10.0%
Vice President/Vice Chancellor, Interim, Associate	3	7.5%

Descriptive Statistical Data Results. The *Administrative Competencies and Skill Development Instrument* consisted of two sections to cull the beliefs as to: 1) how important it is to possess the 25 administrative competencies; and, 2) the best preparation method/technique to acquire the stated competency. In the first section, participants were asked to identify their perceived level of importance for

the various administrative competencies using a five-point Likert-type rating scale. The five-point scale from highest to lowest consisted of: "5"=*Extremely important*; "4"=*Very important*; "3"=*Neither important nor unimportant*; "2"=*Unimportant*, and "1"=*Not important*. If the participants did not have any experience (whether in their current or former position), they were directed to mark the selection as "*N/A*" (not applicable).

Calculated statistical data for each of the 25 competencies were provided in the form of the mean, mode, minimum, and maximum. The mean, which is the most common central tendency (Howell, 2008), determined the average response for each of the 25 competencies using the five-point rating scale. The mode is the most frequently occurring actual score, and the minimum and maximum figures represent the smallest and largest observation, respectively (Howell, 2008).

The descriptive statistical data were used to analyze sub-question: What administrative knowledge, skills, and competencies are essential as perceived by current CSU academic deans to serve as effective senior leaders? The administrative competencies (Appendix B) displayed in Table 11 are listed in ranked order based on highest calculated mean. Although the returned rate of the survey yielded 39.6% (N=40), some questions were unanswered. In these few instances, *Information Processing, Conflict Resolution*, and *Public Relations & Media* each had one missing response; and, *Time Management* had two, resulting in a calculation based on the adjusted number of responses.

The results indicated that *Communication Skills* ranked as the number one most important administrative competency to possess with a mean score of 4.90 out of 5.0, and a mode score of 5. The mean score was achieved as a result of four respondents selecting "4"=*Very important*, and 36 selecting "5"=*Extremely important* as to their estimation of how important they believe the administrative competency is to possess. The mode score of 5 as the most frequently occurring actual score was the result of the 36 respondents selecting "5"=*Extremely important*. The second highest scoring competency was *Leadership* with a mean score of 4.80, and a mode score of 5. The third highest scoring administrative competency was *Budget Management* with a mean score of 4.75, and a mode score of 5. Minimum scores for *Communication Skills* and *Leadership* were both 4 with the maximum score of 5. In contrast, *Budget Skills* had a minimum score of 3 with a maximum score of 5. Total population statistical data for the administrative competencies and scores by gender will be presented in Table 12.

The two lowest ranking competencies were *Use of Administrative Software* and *Use of Presentation Software* with mean scores of 3.43 and 3.53, respectively. A major difference in the two, *Use of Administrative Software* had a minimum score of 1 and a maximum score of 5, where *Use of Presentation Software* had a minimum score of 2 and a maximum score of 5. Compared to the two highest scoring competencies (i.e., *Communication Skills* and *Leadership)*, *Use of Administrative Software* and *Use of Presentation Software* received respectable scores in support of being important to possess.

Table 11

Administrative Competencies in Highest Ranked Order

Ranked Order	Administrative Competency	M	Mode	Min	Max
1	Communication Skills	4.90	5	4	5
2	Leadership	4.80	5	4	5
3	Budget Management	4.75	5	3	5
4	Institutional & Strategic Planning	4.73	5	4	5
5	President, Provost/VP Academic Affairs Relationships	4.70	5	3	5
6	Information Processing	4.69	5	4	5
7	Conflict Resolution	4.64	5	4	5
8	Multicultural Understanding/ Cultural Diversity	4.58	5	3	5
9	Personnel Selection/Human Resources	4.50	5	0	5
10	Time Management	4.47	4	4	5
11	Change Agent	4.45	5	2	5
12	Public Relations & Media	4.36	4	3	5
13	Employment Practices	4.35	4	2	5
14	Entrepreneurship	4.30	4	3	5
15	Motivation Skills	4.30	4	3	5
16	Peer Network	4.28	4	3	5
17	Policy	4.13	4	2	5
18	Risk Management	4.10	4	3	5
19	Business & Industry Partnerships	4.03	4	3	5
20	Salary Administration	3.95	4	3	5
21	Legal Issues	3.93	4	3	5
22	Technology Planning	3.88	4	3	5
23	Relationship With Political Leaders	3.65	3	3	5
24	Use of Presentation Software	3.53	4	2	5
25	Use of Administration Software	3.43	3	1	5

Note. Rating scale: 5 = Extremely Important; 4 = Very important; 3 = Neither important nor unimportant; 2 = Unimportant, 1 = Not important; and, N/A (not applicable) if no experience. Response population N=40; except Information Processing, Conflict Resolution, and Public Relations & Media n=39; and, Time Management n=38

The descriptive statistical data for the administrative competencies by gender presented in Table 12 were used to analyze the following quantitative research method sub-questions:

- What similarities or differences, if any, will emerge among CSU academic deans' gender, age, level of education, and years of experience with respect to the importance of the perceived administrative competencies?

- What administrative knowledge, skills, and competencies are essential as perceived by current CSU academic deans to serve as effective senior leaders?

When comparing the data presented in Table 12 for the administrative competencies by gender to the results in Table 11 for highest ranked order for the total population, the results concluded that *Communication Skills* remained as the highest ranked competency for the male and the female populations. However, the male population's mean score for *Communication Skills* was 4.88 as compared to the female population's mean score of 4.93, leading to the obvious conclusion that the female population considered *Communication Skills* of higher importance than the male population.

The second highest administrative competency differed by gender compared to the total population's selection of *Leadership* with a mean score of 4.80. The male population's second highest ranked competency resulted in equal scores for *Budget Management* and *Information Processing,* both resulting in mean scores of 4.83, where the female population selected *Budget Management*

as their fifth highest competency, and *Information Processing* as their tenth

highest competency. Instead, the female population's second highest ranked

administrative competency was *Conflict Resolution* with a mean score of 4.86,

where the male population selected *Conflict Resolution* as their eighth highest

ranked competency.

The third highest ranked administrative skill for the male population

resulted in equal scores for *Leadership,* and *President, Provost/VP Academic

Affairs Relationships*, both receiving mean scores of 4.79. The female population

also selected *Leadership* with a mean score of 4.80 as their third highest ranked

competency, but *President, Provost/VP Academic Affairs Relationships* was their

seventh highest ranked competency.

The fourth highest ranked competency for the female population was

Institutional and Strategic Planning, with a mean score of 4.73. The male

population also selected *Institutional and Strategic Planning* as their fourth

highest ranked competency, but since they had two sets of competencies tie, this

one could actually be their sixth highest competency. The missing responses for

the administrative competencies were not presented in this chart since the data

had no reference to a specific gender.

Table 12

Administrative Competencies for Comparison of Gender Differences

Administrative Competency	Pop. M	Male M	Min	Max	Female M	Min	Max
Communication Skills	4.90	4.88	4	5	4.93	4	5
Leadership	4.80	4.79	4	5	4.80	4	5
Budget Management	4.75	4.83	4	5	4.67	3	5
Institutional & Strategic Planning	4.73	4.75	4	5	4.73	4	5
President, Provost/VP Academic Affairs Relationships	4.70	4.79	4	5	4.60	3	5
Information Processing	4.69	4.83	4	5	4.47	4	5
Conflict Resolution	4.64	4.54	4	5	4.86	4	5
Multicultural Understanding/Cultural Diversity	4.58	4.54	4	5	4.67	3	5
Personnel Selection/Human Resources	4.50	4.46	0	5	4.60	4	5
Time Management	4.47	4.38	4	5	4.64	4	5
Change Agent	4.45	4.33	2	5	4.60	4	5
Public Relations & Media	4.36	4.33	3	5	4.43	4	5
Employment Practices	4.35	4.33	3	5	4.40	2	5
Entrepreneurship	4.30	4.25	3	5	4.40	4	5
Motivation Skills	4.30	4.21	3	5	4.40	4	5
Peer Network	4.28	4.29	4	5	4.27	3	5
Policy	4.13	4.21	3	5	4.00	2	5
Risk Management	4.10	4.13	3	5	4.07	3	5
Business & Industry Partnerships	4.03	4.04	3	5	4.00	3	5
Salary Administration	3.95	4.00	3	5	3.93	3	5
Legal Issues	3.93	3.88	3	5	4.07	3	5
Technology Planning	3.88	3.92	3	5	3.80	3	4
Relationship with Political Leaders	3.65	3.63	3	5	3.67	3	5
Use of Presentation Software	3.53	3.50	2	5	3.53	2	5
Use of Administration Software	3.43	3.50	2	5	3.33	1	5

For Part II of the survey instrument for the Skill Development Technique Scale, participants were asked to rank their preferred preparation technique for each administrative competency on a scale of "1"=*Best way to learn*, to "6"=*Worst way to learn.* Participants selected from the following methods: (a) seminar, (b) mentor, (c) classroom, (d) hands-on experience, (e) leadership program, and (f) other. Descriptions for each method are in Appendix B.

Although the total returned rate of the survey was 39.6% (N=40), some questions under this section were unanswered or intentionally left blank. The skill development methods returned 33 to 39 responses with the exception of *Other,* which returned 10 to 13 responses. The low rate of response for *Other* method may be due to no specific description for the use of *Other,* but instead, provided another option to select from not covered by an alternate method. Otherwise, failure to provide an alternate choice to the other methods could result in an increase in missing responses.

The descriptive statistical data were used to analyze the following quantitative research method sub-question: What does the data suggest would be the best means to attain the various administrative knowledge, skills, and competencies that are essential as perceived by current CSU academic deans? Because the ranking scale consisted of "1"=*Best way to learn*, to "6"=*Worst way to learn* the lower the total score the better the method for acquiring the stated competency. The mean score for each administrative competency is presented in Table 13 in the order from the survey instrument and not in any ranked order.

This presentation follows Howell's (2008) method for classifying numerical data by two types: 1) quantitative data, considered as measurement, statistical scores; and, 2) categorical data, as the frequency counts for measuring the number of responses in each category, which is presented in Table 14.

The data presented in Table 13 illustrate that the mean scores for the various methods range from 1.68 to 5.60. The two competencies with the most preferred methods were *Information Processing* and *Budget Management* with mean scores of 1.68, and 1.69, respectively. The preferred method for the two competencies was the use of *Hands-on Experience.* A review of the three highest ranked administrative competencies from Table 11 for *Communication Skills*, *Leadership*, and *Budget Management* determined the best methods were *Hands-on Experience* for *Communication Skills* and *Budget Management;* and a *Leadership Program* for attaining *Leadership* development. The second preferred method for the three highest ranked administrative competencies (*Communication Skills*, *Leadership*, and *Budget Management*) resulted in a *Mentor* for *Communication Skills* and *Budget Management;* and *Hands-on Experience* for *Leadership* development. Overall, the most preferred method for the majority of the administrative competencies was *Hands-on Experience*, and the least preferred was *Classroom* and *Other*. Additional data on the preferred methods is presented in Table 14 with the use of frequency counts for measuring the number of observations for each category.

Table 13

Mean Scores for Skill Development Technique Scale

Administrative Competency	Seminar	Mentor	Classroom	Hands-on Experience	Leadership Program	Other
	M	M	M	M	M	M
Budget Management	2.97	2.13	4.34	1.69	2.84	4.92
Institutional & Strategic Planning	2.89	2.38	4.21	2.10	2.21	4.85
Technology Planning	2.70	2.78	3.68	2.22	3.14	5.09
President, Provost/VP Academic Affairs Relationships	3.44	2.08	4.61	1.89	2.34	5.09
Information Processing	3.03	2.18	4.03	1.68	2.33	4.82
Conflict Resolution	2.31	2.08	3.71	2.03	2.45	4.67
Public Relations & Media	2.41	2.08	3.89	2.25	2.49	5.09
Legal Issues	2.16	2.51	3.17	3.03	2.68	5.09
Entrepreneurship	2.78	2.14	3.94	2.10	2.38	4.50
Personnel Selection/Human Resources	2.49	2.33	3.64	2.00	2.59	4.75
Leadership	2.92	2.18	4.08	2.11	1.97	4.75
Peer Network	3.34	2.11	4.49	1.89	2.03	5.00
Motivation Skills	2.64	2.25	4.06	2.19	2.06	5.00
Relationship With Political Leaders	3.09	1.83	4.18	2.40	2.34	5.00
Change Agent	2.86	2.14	4.06	2.24	2.08	5.00
Communication Skills	2.58	2.17	3.72	2.11	2.32	4.75
Policy	2.59	2.36	3.61	2.38	2.46	4.83
Business & Industry Partnerships	2.92	2.05	4.18	2.32	2.35	4.92
Salary Administration	2.39	2.22	3.91	2.46	2.92	5.09
Employment Practices	2.08	2.28	3.66	2.86	2.49	4.75
Risk Management	2.19	2.47	3.50	2.97	2.97	4.30
Multicultural Understanding/ Cultural Diversity	1.86	2.62	3.44	2.62	2.12	4.83
Time Management	2.37	2.38	3.97	2.12	2.56	5.30
Use of Administration Software	2.26	3.09	3.08	2.27	3.85	5.60
Use of Presentation Software	2.33	3.14	3.06	1.89	4.03	5.00

A further review of the Skill Development Technique data for the preferred method for acquiring the various administrative competencies Table 14 presents the frequencies responses for each skill development method. The frequency counts represent the actual range of responses as opposed to the concern for the number of missing responses. The frequencies were culled to demonstrate the methods for the "1"=*Best way to learn*, and the "6"=*Worst way to learn* the various administrative competencies. As a result, Table 14 illustrates that 22 participants selected *Hands-on Experience* for development of *Information Processing* as their number one selection, and none of the participants selected the method (*Hands-on Experience)* as their "Worst" selection. Similarly, 21 participants selected *Hands-on Experience* for *Budget Management*, and none of the participants selected it as their "Worst" method.

For the development of *Information Processing* the results demonstrated that the preferred method to attain the ability to convey information about all aspects of the college to internal audiences including students, faculty and staff, community political bodies, and other special interest groups is with the use of experience, skill, or knowledge learned by on-the-job training. A review of the highest ranked administrative competency for *Communication Skills* (Table 11), for communicating both orally and written including relaying information received from outsiders to members in the college, the results demonstrated that the preferred method is also with *Hands-on Experience*. The preferred method for the second highest ranked administrative competency for *Leadership* (Table 11)

to develop the ability to influence people so that they strive willingly and enthusiastically to help accomplish individual and institutional goals is with the use of a *Leadership program.* However, a close second method for *Leadership* development is with the use of *Hands-on Experience.* Additionally, the results for *Budget Management* demonstrated that the preferred method to develop and administer budgets, acquire funding to operate the college, and the ability to formulate financial plans for the future is with experience while on the job.

Based on the highest number of frequencies, a majority of participants selected *Hands-on Experience* for 14 of the 25 competencies, with *Seminar* being the second most selected method for seven of the 25 competencies. However, the method for the *Use of Administration Software* skills, tied with *Hands-on Experience* and *Seminar* resulting in double counting as the preferred method for each. Participants selected *Mentor* and *Leadership Programs* as next highest preferred methods for the majority of administrative competencies. The results for the worst methods returned *Classroom* and *Other* as the highest in frequency. Possible conclusions for selection of the preferred methods and further analysis of these responses will be evaluated in Chapter 5.

Table 14

Frequencies of Skill Development Methods

Administrative Competency	Seminar		Mentor		Classroom		Hands-on Experience		Leadership Program		Other	
	Best No. 1 (f)	Worst No. 6 (f)	Best No. 1 (f)	Worst No. 6 (f)	Best No. 1 (f)	Worst No. 6 (f)	Best No. 1 (f)	Worst No. 6 (f)	Best No. 1 (f)	Worst No. 6 (f)	Best No. 1 (f)	Worst No. 6 (f)
Budget Management	7	0	8	1	0	8	21	0	7	1	0	6
Institutional & Strategic Planning	7	0	7	1	0	5	15	0	14	0	0	7
Technology Planning	10	0	3	0	1	2	14	1	3	0	0	7
President, Provost/VP Academic Affairs Relationships	4	1	9	0	0	6	18	1	10	0	0	7
Information Processing	4	0	9	0	0	3	22	0	10	0	0	7
Conflict Resolution	14	0	8	0	1	2	15	0	8	1	1	7
Public Relations & Media	12	0	7	0	2	2	13	0	9	1	0	7
Legal Issues	17	0	6	1	6	1	6	1	8	1	0	7
Entrepreneurship	5	1	10	0	0	3	16	0	14	1	1	7
Personnel Selection/Human Resources	12	0	4	0	3	2	19	0	5	1	1	7
Leadership	8	1	10	0	0	2	14	0	15	0	1	7
Peer Network	5	2	11	0	0	3	19	0	13	0	0	7
Motivation Skills	11	0	7	0	1	4	13	0	14	0	0	6
Relationship with Political Leaders	4	0	13	0	0	4	12	1	7	0	0	6
Change Agent	4	0	14	0	0	3	14	0	15	1	0	7
Communication Skills	9	1	10	0	3	4	17	1	10	0	1	7
Policy	13	2	6	0	5	3	10	0	8	1	0	7
Business & Industry Partnerships	7	0	13	0	0	4	12	1	8	1	0	7
Salary Administration	12	0	10	0	3	4	11	1	3	1	0	7
Employment Practices	17	0	7	1	3	4	5	1	8	0	1	7
Risk Management	15	0	7	0	6	4	4	1	5	1	2	5
Multicultural Understanding/ Cultural Diversity	20	1	2	0	5	4	11	0	14	0	1	7
Time Management	11	0	8	0	2	4	13	0	8	1	0	7
Use of Administration Software	12	0	5	0	9	4	12	0	1	2	0	6
Use of Presentation Software	12	2	4	1	7	3	18	0	0	3	1	6

Note: Scale of 1 to 6 with 1 = Best to 6 = Worst, frequency (f) for each competency

Participant Interviews

The second data source was in the form of a phenomenological qualitative design utilizing semi-structured interviews with purposeful sampling of selected participants. The focus was to garner perceived essential administrative competencies needed to perform as effective leaders. The data presented in this section detailed an account of participant interview responses and the systematic way in which the responses were linked to the survey results and research questions. The steps of encoding the interview data and the collection of themes that emerged are also presented in this section.

The interview transcripts were coded for keys words or statements related to the context embedded within the survey results, and the literature utilizing the first cycle codes. The themes that emerged through the excerpts from participant's descriptions and responses were used to provide additional substance to help guide the researcher in addressing the research question for this study: How do California State University academic deans describe the development of their administrative competencies? In addition, the following sub-questions provided greater depth in the data analysis:

1. What background, knowledge, experience, or skills do academic deans perceive they possessed that made them qualified for their current position?

2. What are the essential administrative practices and preparation methods as perceived by current CSU academic deans to serve as effective senior leaders?

The interview phase of this study began by creating a list of potential participants from the 16 CSU institutions that granted IRB approval. Initial information was gathered from institutions' website on the appointment of academic deans to determine whether they met the criteria having served for at least one year and less than five years. The limited experience assumed that there are similarities in the development of individuals' experience, and their progress during this critical stage. Fifteen potential participants were sent the invite to participant and they were allowed to determine whether they met the criteria for this study. Four participants from the sampling volunteered to participate in the semi-structured interview process, yielding 10% of the population of participants who responded to the survey study (N=40). The composition of the semi-structured interviews consisted of participants (n=4) from various size institutions and various demographic backgrounds. Even though the makeup of the participants from the survey yielded 60.0% male, and 37.5% female with one missing at 2.5%, the researcher felt it was important to obtain an equal perspective from men (n=2) and women (n=2) for the interview phase.

The semi-structured interviews were conducted by telephone, which was determined to be the most appropriate method because of the distance between the researcher and participants' location. Other factors that influenced the

decision to conduct interviews by telephone were difficulty in scheduling, and

participants' preference in method. The interview process utilized an approved

interview instrument (Appendix C), and audio equipment for capturing the

complete interview. The interview recordings were transcribed verbatim, and

while transcribing the researcher utilized a method of coding for identifying keys

words or statements that emerged from the interview responses.

<u>Interpretation of Responses</u>

The interviews acquired information for interpreting the survey results

employing a process to classify, prioritize, integrate, and synthesize the data

(Saldaña, 2012). The goal was to develop categories, themes, or concepts to

support or modify the observations from the survey results. As the responses to

the interview questions were transcribed, the data were analyzed and coded with

the first cycle researcher-generated codes (Table 3). Next, the coded keys words

or statements were grouped under one of the eight major categories outlined in

Chapter 3. Excerpts from the interviews to describe the essential administrative

practices, background, knowledge, and skills needed by academic deans in

universities today are presented under the relevant major category below.

<u>Communication Skills</u>. This category included *Communication Skills*

defined as the ability to communicate well, including speaking, listening, and

writing. In addition, attributes from *Information Processing,* and *Public Relations

and Media* were combined, which are considered communication processes for

conveying information to internal and external audiences including students, faculty and staff, community political bodies, and other special groups.

When asked what are the essential administrative leadership practices needed by academic deans in universities today the need for strong skills and abilities under the construct of communication emerged as of one many practices, as stated by Participant 3:

I would say that academic deans need to … be very transparent in the way they do their business and the way they make their decisions …. you will never have a situation where everybody agrees with your decision, and I have my faculty telling me that over and over again, but what they do say is, we understand what the process was and why you made the decision whether we agree with it or not. (Participant 3, personal communication, December 2014)

The above statement from Participant 3 reflects the ability to communicate effectively as one of the core functions of communication skills, but more importantly, it includes attributes from *Information Processing* and *Public Relations and Media* for conveying information to internal and external audiences as in faculty, staff, students, and other constituents.

Participant 2 described the process for which academic deans need to work with various groups as stated, "they need to be able to collaborate, they need to be able to listen, be assessable, and bring people into that vision" (Participant 2, personal communication, December 2014). When participants

were asked to discuss their strategic leadership practices, Participant 4 brought

forth the importance of interpersonal skills, and the interaction between various

groups when referring to a lack of communication. As stated, "where I have seen

leadership fall apart in the dean position is where there is inconsistent practices,

something's done in one place and then it is not done in the other, lack of

transparency, lack of communication" (Participant 4, personal communication,

January 2015).

Additional communication efforts were noted as open lines of

communication with the provost, and fellow deans both within, and from other

institutions. Participant comments were not solely focused on communication

skills, but instead, the comments reflected leadership and strategic planning

abilities and the importance of communication efforts in conveying their message

and working with others. Clearly, the importance lies in communicating regularly

and effectively, resulting in the need to possess strong communication skills.

Strategic Planning Skills. This category included *Institutional and Strategic*

Planning defined as the ability to establish short and long-term goals and

objectives, to develop strategies, policies, programs, and procedures to achieve

them and to change them as circumstances warrant. Combined in this category

is *Entrepreneurship,* defined as the ability to see new opportunities and to initiate

changes necessary to implement them, because these skills are related to the

development of strategies. However, when discussing strategic planning it is

expected that other skills and abilities will be considered such as visionary,

fundraising, and leadership.

Participant 1 identified strategic planning as an essential administrative

leadership practice as stated,

Strategic planning is an important area, having an understanding of, an

ability to oversee that process, to be able to analyze the market conditions

and formulate some kind of vision, and to facilitate the faculty governance

processes to arrive at some type of shared vision, and implement it.

(Participant 1, personal communication, December 2014)

Similarly, Participant 2 emphasized the importance of a shared vision as stated,

"I think they also need to be able to develop a shared vision with their

stakeholder groups…. I think they also need related visioning strategic planning"

(Participant 2, personal communication, December 2014).

When asked to describe the essential administrative practices, Participant

1 reported on the importance of "finding ways to move strategic priorities ahead,

and provide incentives for strategically important efforts on the part of faculty and

staff" (Participant 1, personal communication, December 2014). Other important

abilities when discussing strategic planning were strong skills as a planner as

stated by Participant 3:

One of my colleagues was saying … I don't have much faith in strategic

plans, what you really need are strategic planners. I think that's really true

and getting people to give up what it is they want to do, what their vision

is, to be able to come together and have a strategic plan that aligns resources with mission, vision, and sticks to it, and really doesn't allow too many outliers with special interests to move the conversation or set the agenda is really important, but it is also really, really, hard. (Participant 3, personal communication, December 2014)

Participants identified strategic planning skills as being critical, however, the skills expand to planning efforts with a shared vision, financial resource management, alignment to the mission and vision, and implementation of the plan. In addition to strategic planning skills, strong leadership abilities are needed as outlined in the following section.

Leadership Skills. In addition to *Leadership Skills* defined as the ability to influence people so that they strive willingly and enthusiastically to help accomplish individual and institutional goals, *Motivation Skills, Conflict Resolution*, and *Change Agent* were combined under this category resulting in the expansion of how leadership is classified for this analysis. *Motivation Skills* provide incentives that motivate employees; *Conflict Resolution* resolves disagreements; and, *Change Agent* is the ability to view the college and its environment for opportunities and improvements to bring about change.

As outlined in the previous section, when discussing the need for essential administrative leadership practices the responses conveyed that they go beyond leadership abilities because of the many components integral to leadership. As an example, Participant 3 stated:

In terms of leadership practices, I think academic deans need to

understand and be active in the developmental process in bringing

revenue streams into their institutions. I think academic deans need to

understand what the mission and vision is of their institution, and be able

to align that to their college … then be able to articulate that vision to their

faculty and staff, then help build an understanding of how the organization

is going to move forward. (Participant 3, personal communication,

December 2014)

This statement encompasses leadership as the construct, with financial

management, fundraising, visionary, strategic planning, and communication skills

as components integral to leadership. Participant 4 identified additional important

skills:

You need to have strong organizational and management skills, those are

primary right off the top … and you need to be current, if you are not

current you just will make a lot of mistakes in terms of leading your group

in a certain direction and it might not be relevant to today's needs. You

need to be a visionary, you need to be very, very transparent and clear

about your expectations with the people that you work with. (Participant 4,

personal communication, January 2015)

Participant 4 discussed the importance of being current to avoid making

mistakes. Being current can involve knowing the constituents in which they

serve. Participant 1 described strategic leadership practices associated with being an academic dean as:

> As far as strategic leadership goes, I think an important piece that we have not really talked about in this conversation is engagement with the market in wherever your discipline is …. you look at all of those differences that one can be confronting as a new dean relative to experiences one has had in the past, formulating strategy effectively requires you really get in and learn the peculiarities of the market you are serving as well, and as quickly as possible. (Participant 1, personal communication, December 2014)

Participant 1 emphasized the importance of external pressures from the market in which the institution is serving for producing qualified students, and those involved in assisting in achieving strategic initiatives such as advisory groups made up of community and business constituents.

Participant 2 also brought up external pressures and added managing the changing environment as leadership requirements:

> I guess the only other thing I would add is we are in a pretty fast changing landscape and the only thing I really did not say was, reading and being adept in the change management and leadership literature. Most institutions are in the midst of change processes that they just entered into, not on purpose. A lot of it is because of leadership turnover or external pressures, budget issues. I think leaders today in higher

education need to figure out how to get involved in that change process,

instead of letting the change process manage you; you get a hold of it and

manage it to your strategic purposes. (Participant 2, personal

communication, December 2014)

In addition to emphasizing changing environment, Participant 2 described the

need to be a change agent and the ability to view opportunities and

improvements to bring about change, which all require strong leadership abilities.

Participant 3 discussed demonstrating leadership abilities with various

groups within the organization at all levels, including peers. Besides working

collaboratively, Participant 3 stated that "it is imperative you try to understand

what's happening in the other colleges, and you work really closely with your

fellow deans because that is what is going to really help the institution as a whole

achieve its vision" (Participant 3, personal communication, December 2014).

Participant 3 further described the importance of working with other deans

especially when trying to institute initiatives that can benefit the college and the

university as stated, "Because if you are fighting with the other deans for

resources then nothing is going to happen" (Participant 3, personal

communication, December 2014). The results determined that leadership and

strategic planning skills tend to evolve around financial management because of

the importance of managing vital resources to meet strategic goals and

objectives.

Financial/Budget Management. Financial combined with *Budget Management,* which are often used interchangeably, were defined as the ability to develop and administer budgets, acquire funding to operate the college, and the ability to formulate financial plans for the future. In addition, fundraising skills and overall financial abilities were commonly associated with the funding aspect of financial management. Participants stressed financial and budget management as essential administrative leadership practices needed by academic deans in universities today. As Participant 1 stated:

> There are financial management skills that are required for managing
>
> budgets in a resource-constrained environment …. Externally, there is
>
> significant fundraising component, the ability to identify prospects to
>
> develop pitches of various giving opportunities … to thereby bring in the
>
> resources that are needed to more fully carry out a strategic plan in the
>
> face of constrained resources from other sources. (Participant 1, personal
>
> communication, December 2014)

When discussing financial management connecting resources to programs, enrollment, and planning are vital as Participant 2 stated:

> I think academic deans need to understand planning, academic planning
>
> with respect to program prioritization, enrollment management then
>
> connecting that to budget…. I would say that of kind of academic planning
>
> that goes all the way to resource allocation is important. (Participant 2,
>
> personal communication, December 2014)

When asked about the abilities needed before assuming the job of academic dean, Participant 3 stated, "I thought I would need to … understand the budgeting and allocation process and how money flows through the colleges, allocated and spent" (Participant 3, personal communication, December 2014). When asked about their initial perceptions of the abilities needed to perform the function of academic deanship, Participant 4 stated:

> The thing that surprised me the most was that the dean position is very similar to a chair position. You had a lot of experience as a chair and in terms of leading a group of faculty, personnel issues, professional development of faculty … focusing on budgetary issues. (Participant 4, personal communication, January 2015)

Based on the responses, financial and budget management involve skills and abilities for managing budgets in a complex, resource-constrained environment. The process includes communicating, soliciting input, projecting needs, and prioritizing expectations. Skills are needed in maintaining and establishing relationships with internal and external constituents. The internal groups are the employees and students within the institution, and external constituents are the community, donors, advisory groups, and business industry in which the institution supports when producing qualified students for the workplace. The next section provides more information on those relationships.

University Administrative Relationships. This category includes the ability to establish relationships at various levels with the *President, Provost/VP*

Academic Affairs, and deans, along with the ability to perform activities and transmit information. In addition, *Business & Industry Partnerships*, and *Relationship with Political Leaders* are included. Activities include *Policy* oversight for the development and/or revision of policies, procedures, and operational activities, both internally and externally.

A common theme among the participants was the need to serve on various policy development committees to garner an understanding of the organization. When the participants were asked about the accuracy of their perception of the skills needed to perform the functions of the deanship, Participant 1 stated:

> In general, I don't think I had any inaccurate perceptions or expectations, I think there were things that I just didn't know, but I didn't have clearly formed expectations as to what they would be. In terms of the way things are structured, the structure of budgets, and of policies across the … 23 campus system, California State University system, that has some pretty integral policies…. It didn't surprise me that those existed but I didn't know the details of them until I got here and started working with them. (Participant 1, personal communication, December 2014)

When asked what background, knowledge, or skills made the participants think they were qualified for their current position, Participant 2 emphasized the importance of serving on committees or participating on university work to build relationships and gain an understanding of the organization as follows:

I participated a lot as a faculty member in the governance structure in the

university…. I was on department, college, and university committees as a

faculty member. I was also … an assistant chair and I think being a chair

would be important, so I think the participation in the university

governance then the actual chair management … experience was

important for me. (Participant 2, personal communication, December

2014)

Besides serving on university committees, a common theme that emerged

is to work with their dean on finding ways to develop their skills by supporting

professional development, or providing opportunities to engage in special

assignments. For other strategic leadership practices associated with building

relationships and a support structure Participant 3 stated:

You have to provide leadership below your place in the organization chart,

and [you] have to provide opinions and work with the folks above you, but

the other piece of that is you have to really be able to laterally integrate

with your fellow deans, especially in the deanship. (Participant 3, personal

communication, December 2014)

Participant 4 provided another suggestion for seeking out a professional

development opportunity as stated:

I've already given that advice to multiple people and I think they should

start at the department chair. Really work on becoming a good department

chair, because I believe that there is a direct correlation between a good

department chair and a good dean. I think it is very similar in job duties,

some department chairs might disagree, but I have given advice to quite a

few of what I consider to be … strong future leaders, and I want them to

experience the department chair position first, because that really gives

them an insight into whether they want to be a dean and it's just that it's a

great stepping stone. (Participant 4, personal communication, January

2015)

Participants conveyed the importance of establishing relationships, and they

provided suggestions on how to establish those relationships as in working with

their immediate supervisor on special assignments, volunteering for college and

university-wide committees, and joining professional networks. In examining the

trend or direction of these common themes, working with various internal and

external groups emerged as very important to build relationships, and aspects of

human resource management also emerged as a critical skill as outlined in the

following section.

Human Resource Management. *Human Resource Management* includes

Personnel Selection comprised of hiring, staffing, and training; and *Employment*

Practices as the ability to understand the process of protecting the college and

the employees from lawsuits, i.e., sexual harassment, discrimination, wrongful

termination, wrongful discipline, and mismanagement of employee benefits, etc.

Multicultural Understanding/Cultural Diversity has been combined under this

category, which is the ability to value the differences in the workforce (i.e.,

heterogeneity of gender, race, and ethnicity), while treating everyone alike and utilizing those differences to their advantage in efficiency, productivity, and retention. Other aspects of *Human Resource Management* were from *Salary Administration, Risk Management,* and *Legal Issues*.

When asked about the essential administrative leadership practices needed by academic deans in universities today, Participant 1 brought up various aspects of human resource management skills that are needed for academic deans:

It is kind of a multifaceted job, as are many of course, partially internal, partially external. Internally, given the dean's role there … [are] substantial number of direct reports, and responsibilities for the overall operation of a school or college, there is a human resource element that is important in terms of skills of recruiting, retaining, motivating employees in a tenured environment, tenured faculty environment ... (Participant 1, personal communication, December 2014)

Human resource management skills continue to be essential administrative practices needed by academic deans in universities today. The themes that emerged were the various types of positions within the college, in a unionized environment, and the complexity of the CSU as stated by Participant 2:

I really needed to understand personnel management, that's huge, you really don't get that experience in academia until you are a dean, and so, … helping deans understand personnel management early is critical.

Especially, in the California State University system, deans are the first,

they are the appropriate administrator; it is not the department chairs,

because department chairs are still in the union…. deans are the first level

beyond the provost and the president who have that … personnel

management responsibility. (Participant 2, personal communication,

December 2014)

When asked to discuss abilities needed prior to assuming the position of

academic dean Participant 3 referred to the difference between working with

faculty and staff at the dean level compared to the department chair level. As

stated,

…. in this position as opposed to being a department chair, the stakes

were a lot higher in terms of managing personnel and working with faculty,

so I felt that I was … going to need to be able to make those kinds of

decisions where there was going to be a certain amount of … anger and

unpleasantness …. I also thought … dealing with personalities … were

really the two big things that … I would need to have ... (Participant 3,

personal communication, December 2014)

The statement referred to the ability to make decisions that may not be widely

accepted by all parties involved. Other common themes that emerged when

working with various people, "… you have to be able to get folks to buy in to your

vision and ideas, or to be comfortable enough to tell you when there are ways

that could be better than your mission and vision" (Participant 3, personal communication, December 2014).

Participant 4 also described working with a variety of different groups when asked to provide additional strategic leadership practices associated with an academic dean:

"… a lot of leadership comes down to developing strong interpersonal skills … it really is a matter of interacting with a variety of different kinds of people in a fair manner …. where I have seen leadership fall apart in the dean position is where there are inconsistent practices … (Participant 4, personal communication, January 2015).

A review of the survey results found *Multicultural Understanding/Cultural Diversity* ranked as number eight of the top administrative competencies. As demonstrated by the interview responses above, the topic of *Multicultural Understanding/Cultural Diversity* was briefly discussed when describing the ability to work with various groups and treating everyone in a fair, consistent manner, but little was discussed on the ability to value the differences in the workforce (i.e., heterogeneity of gender, race, and ethnicity). The lack of discussion on valuing the differences could be the result of the interview questions not specifically addressing the topic. Another possible conclusion could be the topic of *Multicultural Understanding/Cultural Diversity* was not perceived to be an administrative competency, or improvement needed was not at the level of the many other administrative competencies being discussed.

Time Management. *Time Management* was the ability to maintain the appropriate allocation of time to the overall conduct of job responsibilities in such a way that performance is efficient and productive. Similar to the literature (Gmelch, 2000; Gmelch et al., 2011), the role of academic dean was referred to as "kind of a multifaceted job … partially internal, partially external" (Participant 1, personal communication, December 2014). A common theme that emerged among the participants was the amount of time needed for the role of the dean. The participants demonstrated a good understanding of the expectations of the position from an administrative skill level, however, the amount of time needed to manage conflict, political work, consulting, and ambiguity was greater than expected.

When asked about their initial perceptions of the abilities they thought they needed to perform the functions of academic dean Participant 3 stated:

I think all those were pretty accurate, the things that I did find out after a year was that, no matter how you set yourself up … to do this, the conflict, the management, you spend a lot of time with people if they would just do their jobs things would be fine. That was much harder on me then I thought. I assumed … you make decisions really pretty fast and while the part of that … was true … I found that I have to continually check myself on this … because … I would often make decisions too fast. That in this kind of position there is often more to whatever what someone is telling you or to whatever the situation is then you think, and so you have to

avoid doing too many things instantaneously, because often you make

decisions before you actually had the complete picture about whatever it is

you were going to do. (Participant 3, personal communication, December

2014)

Participant 3 was able to articulate the importance of managing time, when

working with various groups, making decisions, and trying to keep with the pace.

When pursuing participants' perceptions compared to the reality of the

position Participant 2 stated:

I guess, the time it takes to do the political work and consulting, there is a

lot that happens and has to happen …. The first part is how much time is

taken with attending to the consultation, collaboration, and political

processes that just really remove time from your day when you can do

other things; but it is important. The second thing is the fundraising piece

also takes lots of time and that is important to know upfront and be

prepared for. (Participant 2, personal communication, December 2014)

Since moving into the dean position, a common theme that emerged was the

lack of time for the duties, resulting in little to no time to conduct academic work

in scholarship and staying current in the field of study.

When asked about the attributes the participants wished they had spent

more time developing in preparation for this position Participant 4 stated:

I just spent a lot of time getting myself organized, … others might not

recognize this but, because I had so much work on accreditation, … I took

on a lot of work myself that I wished I would of had an attribute where I

could have really spent more time developing other[s] … to take on that

work…. that [is] … a bad characteristic to have because I have to trust

people I give assignments to … so managing that kind of activity is

something that I wished I could think through to develop that skill a little

more…. But it's just a time management thing that takes way too much

time on activities that other deans probably wouldn't. (Participant 4,

personal communication, January 2015)

Another common theme that emerged under time management was the need for

a network of people to provide ongoing support. The other academic deans

within the institution have probably faced similar issues, for which they can

provide consultation and recommendations as to how to manage situations that

may arise.

Peer Network/Mentorship. *Peer Network* is the ability to enter into and

effectively maintain relationships with other deans and state, regional, and

national persons. This includes knowing how to develop contacts, how to build

and maintain networks and how to communicate on a formal and informal basis.

Another aspect of this category, which is often associated with networking,

relationships, and support systems, is mentorship. Participant 4 outlined the

importance of a support structure:

I do think the support of fellow deans is really critical, and I think that's

something that we started but then it sort of fell apart because you get

busy but, that is such a valuable support structure, because you can

discuss a wide range of issues from hiring … a lecture to … a staff

member, and you can do that in a confidential safe environment. That is

really a critical piece of support for a new dean. (Participant 4, personal

communication, January 2015)

With the expansion of this category to include mentorships for building

relationships and developing skills when participants were asked to describe the

people who influenced them to pursue the responsibilities of academic dean,

commonalities emerged. Participant 1 stated:

I would say … indirectly … the dean under whom I served as associate

dean …. I had the opportunity to observe the very effective functioning of

a fine dean, and a little bit of what it took and what can be done in that

role, and it excited me, and motivated me. [My dean] supported me in …

taking … [an] aspiring deans seminar. Which was, perhaps … another

reason why I felt like I had a pretty good handle on what the requirements

of the job were and the expectations … of what it entailed .… [My dean]

really mentored me, he supported me, he gave a vision of what the role

entailed and what can be done with it, and that motivated me. (Participant

1, personal communication, December 2014)

Participant 2 demonstrated similar experience with mentors and encouragement

for career mobility as stated:

I have had a lot of mentors over the years who generally encouraged me

to continue moving forward in administration. I have a good colleague who

… has been a mentor, she … help[ed] me think through … apply[ing] for

that job, what skills does it require … I would say I really use mentors

primarily around the job search function I have in the past. (Participant 2,

personal communication, December 2014)

Participant 3 discussed three people who had great influence in providing

leadership and career advancement opportunities as reported:

The previous dean, actually the previous two deans of our college. I had

some leadership opportunities under the first dean. The second dean who

became our provost that is actually how I became dean. He asked me to

serve on an interim basis and had asked me when he was interim dean to

spend a semester working as associate dean. Those were really the two

people … who influenced me. There was also another … dean … at the

time had since retired, told [me when] this dean position is open you really

ought to throw your hat in the ring, in fact, I think you would do really well

…. so those were the three main people who really [encouraged] me for

going after this. (Participant 3, personal communication, December 2014)

Participant 1 described various mentorship experiences when advancing to the

role of academic dean, as stated:

The associate dean under whom I had worked, was another person who

was a very good mentor, and I left … and became an associate dean, he

left … and became a dean and we continued our association and

interaction over the years, and he was one of my references and was very

encouraging [and] supportive. (Participant 1, personal communication,

December 2014)

When asked to describe their mentors either prior to, or as they assumed the

responsibilities of academic deanship, participants related the person that

influenced them to those who also served as mentors. Mentoring experience was

also in the form of modeling, observing the expectations of the role, and in

supporting development in preparation for the role.

The themes as well as excerpts from the interviews regarding the

preparation methods as perceived by CSU academic deans for serving as

effective senior leaders provided information for addressing the research

question. Participants referred to professional development programs for aspiring

deans, seminars, conferences, and fellows programs for leadership development

and networking. When asked what other type of support or guidance would have

been helpful to prepare for a successful academic deanship, direct training on

the CSU financial system, and the personnel contract emerged as two of the

most important items. Otherwise, without direct knowledge or training on financial

and personnel matters academic deans find they have to learn while on the job.

Another recommendation was access to their direct supervisor for ongoing

support and guidance, and networking with deans from other CSU institutions in

the same discipline. Another common theme that emerged was the need for a

"socialization process" so academic deans could be introduced into the organization to learn about the operations, policies, and procedures (Enomoto & Matsuoka, 2007). The process would involve ongoing support from various institutional units in which the academic dean interacts with on a regular basis.

When asked what advice the participants would give those who are aspiring to be academic deans or wish to promote their current position as part of an institutional succession plan, the participants identified various methods to build leadership capacity. The most apparent was for deans to work with the department chairs, faculty, and associated deans in developing them for the role of dean. As Participant 1 stated:

> I was treated by my dean at my last institution more as a co-dean than an associate dean and I really attempt to do the same … with my associate dean ... which I bring … into all major decisions, and we strategize together …. I think … giving administrators at other levels the big picture of the issues confronting the school or the college and a role in identifying and implementing solutions, so when it is time for you to go there are other people who have already been involved, and they are integrated in the processes. (Participant 1, personal communication, December 2014)

Other suggestions were to serve on committees to learn about university governance, and to take on assignments for leadership opportunities. Participant 1 articulated the importance of leadership abilities involving decision-making,

implementation of the decisions, and providing an understanding of how the decisions are part of the overall organization.

Summary

In summarizing the findings for the perceived essential administrative competencies that would best serve CSU academic deans as senior leaders the results of this study focused on the research question: How do California State University academic deans describe the development of their administrative competencies? The survey data revealed that there were similarities in CSU academic deans' gender, age, and level of education. Academic deans reported their race/ethnicity predominantly as White with a few reporting in another category. A review of the length of time in their current position the results ranged from less than one year to eight years and beyond, with the majority (77.5%, n=31) of the participants having served less than seven years in their current position. This fact is significant because of the many economic challenges that have occurred within the CSU over the last seven years. As expected, the results on their previous position found that most served as a dean, interim dean, associate dean, or department chair prior to assuming their current position.

When reviewing the administrative knowledge, skills, and competencies that are essential to serve as effective senior leaders the aggregate results were somewhat different from the results by gender. Although, *Communication Skills* remained as the highest ranked competency for the male and female

populations, the second highest competency differed by gender. *Leadership Skills* scored second highest administrative competency by the combined population, where the male population's second highest ranked competency resulted in two competencies with equal scores: *Budget Management* and *Information Processing*. The female population selected *Conflict Resolution* as their second highest administrative competency.

The interviews acquired additional supporting information for further interpreting the survey data by identifying categories and themes to report the lived experiences (Creswell, 2013). The data were comprised of common professional experiences, beliefs, and stories to serve as a depth of understanding of knowledge, experience, and skills. The administrative competencies identified as important by the participants from the survey results had similarities to the interview responses. The common themes that emerged were skills, abilities, and experience in the areas of communication, leadership, financial management, human resource management, peer network, and mentoring. In addition, participant interviews provided recommendations on the best method in which to attain the administrative competencies needed to be effective in the role of academic dean. Participant interviews also revealed the importance of a strong institutional support system and the importance of developing skills whether to prepare themselves for career mobility, or for those to replace them as future leaders. Discussed in the next chapter are the findings, conclusions, limitations, and further research recommendations.

CHAPTER FIVE

DISCUSSION OF RESEARCH FINDINGS

Introduction

This chapter presents a discussion of the findings from the research, which utilized an explanatory sequential two-phase mixed methods research design employing quantitative and qualitative analyses (Creswell & Plano Clark, 2007). Participants for this study were academic deans from the California State University system, made up of 23 institutions located throughout the State of California. The survey instrument for the quantitative method was designed to collect demographic data, and variables of knowledge, skills, and essential administrative competencies. In conjunction with the demographic data and variables, the survey collected participants' preferred method for training and development of the essential administrative competencies. Subsequent to the quantitative method, data collected under the qualitative method was with the use of semi-structured interviews with purposefully selected individuals. Interviews inquired about common professional experiences, stories, and beliefs from participants as they advanced into, and while in the role of academic dean.

Research Questions

Utilizing the two research methods, this study sought to answer the following research question: How do California State University academic deans describe the development of their administrative competencies? The following

guiding sub-questions further analyzed the research question apportioned by the two research methods presented below:

<u>Quantitative Research Method</u>

1. What administrative knowledge, skills, and competencies are essential as perceived by current CSU academic deans to serve as effective senior leaders?

2. What similarities or differences, if any, will emerge among CSU academic deans' gender, age, level of education, and years of experience with respect to the importance of the perceived administrative competencies?

3. What does the data suggest would be the best means to attain the various administrative knowledge, skills, and competencies that are essential as perceived by current CSU academic deans?

<u>Qualitative Research Method</u>

4. What background, knowledge, experience, or skills do academic deans perceive they possessed that made them qualified for their current position?

5. What are the essential administrative practices and preparation methods as perceived by current CSU academic deans to serve as effective senior leaders?

Presentation of the results and findings in this chapter are organized in three sections: Interpretation of Themes and Findings; Discussion of Implications

and Recommendations; and Suggestions for Future Research. The chapter concludes with an overview of the research findings.

Interpretation of Themes and Findings

As presented in Chapter 3, development of the eight major categories for the second cycle coding process began with the top 10 (highest ranked) administrative competencies from the survey results (Table 11), and those survey questions closely related (Appendix B). The major categories were then paired with the related research sub-question for interpretation of the results. The analyses of the interview data synthesized with the survey data expound three emergent themes for the discussion of the results. The first theme addressed the perceived administrative qualifications and preparation methods prior to the role of academic dean. The second theme addressed the essential administrative competencies for serving in the role of academic dean. The third theme reviewed the prerequisites for professional development to provide a framework for acquiring the essential administrative competencies needed to serve as an effective academic dean. The analyses include sections on the correlation of survey results and interview responses, significance of demographic results, and skill development techniques.

Theme One: Perceived Administrative Qualifications

The results under this theme addressed Research Sub-Questions 4 and 5 to determine the background, knowledge, experience, and skills academic deans

perceived they possessed that made them qualified for their current position. The results also address the perceived essential administrative practices and preparation methods to serve as effective academic deans.

Participants reported that prior to advancing into the dean role, they were aware that institutions were extremely complex organizations, having many policies, regulations, political agendas, and stakeholders with conflicting demands. Their prior experience as an associate dean or department chair provided some of the administrative experience needed to work in their multi-faceted role. Other opportunities manifested when their duties as associate deans were expanded to include tasks normally performed by the academic dean in the areas of program management, strategic planning, budget oversight, and fundraising.

Participants reported it was important to pursue opportunities to develop their administrative skills by serving on, or chairing college or university-wide committees. Those participants who served on committees expressed that the experience provided an understanding of the issues central to higher education, or the work of the committee was procedural. Participants emphasized the importance of serving on committees that had a role in the university governance, such as the academic senate, sub-committees of the academic senate that set policy or curriculum, accreditation, or budget committees. Participants also found working in sub-groups of a committee provided an understanding of how the work of the larger committee fits into the overall

organization. Development of their leadership and interpersonal skills was achieved by chairing the sub-groups, and when working with various individuals from different parts of the institution for establishing and building relationships.

In addition to committee and group work, participants reported the importance of networking within their institution, system-wide, or with professional organizations. Other preparation methods were by attending professional development seminars, fellows programs, or system-wide meetings. The national higher education network and scholarly background provided an understanding of the different models of higher education. This understanding provided the realization that challenges are not unique to an institution or college, but instead, the challenges are experienced equally within, and across institutions.

Various perspectives emerged as to whether participants' formal education prepared them for the administrative role of academic dean. The responses ranged from offering a career path for advancing into the role of academic dean to no useful preparation at all. Degree programs were found to very rarely translate into the administrative role of dean, although, their educational background did provide the confidence and opportunity to pursue administrative leadership roles within the institution, or with professional organizations.

A review of the skills and abilities participants thought they needed before assuming their role resulted in a combination of human relations and

interpersonal skills. Specific abilities emerged such as working collaboratively with people, personnel management, planning, and being able to articulate a vision for the college. Other skills were budgeting and the resource allocation process across disciplines, within the college. In addition, fundraising experience was identified as a vital skill since it has the potential to provide additional resources; although, the concern was that it takes a great amount of time away from college operations.

Theme Two: Essential Administrative Skills

The findings under this theme addressed Research Sub-Questions 1 and 2 to identify the administrative knowledge, skills, and competencies that are essential to serve as effective senior leaders. Another objective was to determine whether there are similarities or differences among academic deans' gender, age, level of education, and years of experience with respect to the perceived administrative competencies.

The results found that many of the essential administrative competencies were associated with, or a subordinate to other competencies. For example, budget (financial) management was a common thread for strategic planning, fundraising, and implementing initiatives. Communication skills were deemed extremely important for financial management, human relations, decision-making, and strategic planning. Participants discussed the importance of being transparent in keeping college constituencies informed and when sharing their plan and vision. Financial management was particularly challenging because

decisions had the potential to result in points of contention between academic deans, department chairs, and faculty. Academic deans have to compete for institutional resources, or the lack of resources that require budget reductions for programs and services. Within the college, department chairs compete for resources for their programs in the same manner as the deans. The same process takes place as faculty members compete for resources, and expect their initiatives to gain support. During the discussion of financial management, the inability to raise equal funds for all disciplines was identified as a concern. Some disciplines such as the sciences are able to obtain more grants, and the business disciplines are able to raise corporate sponsorships. Other disciplines are expected to focus on providing general education in support of the programs for which the institution is known, resulting in fewer opportunities for raising funds.

Participants discussed the importance of strategic planning, and visionary skills and abilities as being integral to how decisions are made. In particular, strategic decisions on resource allocations were not made in isolation, but instead, with much input from various constituents. The importance is the ability to advance strategic priorities, and provide incentives for strategically important efforts across the disciplines within the school or college. The downside is that there are few opportunities to train to be strategic planners and visionaries, or acquire experience at the level of dean until in the position. Another factor involved in strategic planning initiatives is having an understanding of, and the ability to oversee that process for formulating a shared vision, and in facilitating

and implementing that vision. Having an understanding of how universities work from an administrative standpoint beyond their college, particularly the institution's mission and vision, and the ability to align that to the college for articulating the vision to their faculty, staff, and other constituents is vital.

Human resource management includes strong organizational, management, and team building skills and abilities to oversee operations involving human relations. Participants reported that experience in personnel management was usually not acquired until moving into the role of dean. The CSU is a unionized institutional system with numerous employee contracts, so it is particularly critical to have strong personnel management skills. For example, a college could have a number of employees classified under the 13 different union contracts ("CSU Careers," 2013). Each union contract has different requirements for hiring, evaluating, disciplining, and salary administration in which academic deans need to be familiar to avoid grievances or legal action.

Participant responses regarding working collaboratively with people and in "dealing" with different personalities focused on the need for strong leadership and interpersonal skills. Although the survey results determined that *Multicultural Understanding/Cultural Diversity* ranked number eight highest administrative competency, participant responses briefly addressed the topic. The interview responses attributed to this competency were the ability to work with various groups, and treating everyone in a fair, consistent manner. The lack of discussion on valuing the differences in the workforce could be the result of the interview

questions not specifically addressing this topic. Another possible conclusion could be that the participants interviewed did not perceive *Multicultural Understanding/Cultural Diversity* to be an administrative competency. More discussion on this topic could be for a future study.

Developing effective relationships and partnerships within the institution is vital. The relationships can take many forms such as mentor, peer, and subject expert. For example, most challenges academic deans face are not unique to the college so being able to confide in other academic deans can provide a valuable support network. Other resources identified were working with the various institutional administrators in business and finance, human resources, and the provost office.

Participants reported that formulating strategic relationships with advisory boards and outside constituents could lead to productive relationships, and afford fundraising opportunities. Conducting a strong outreach was critical for building a donor base. However, most participants had no fundraising experience prior to the role of dean, or few had minimal experience from their previous position(s). Being aware of their lack of experience in fundraising, participants reported the importance of working with their institutional development office for guidance and support, or seeking a mentor with expertise in this area.

Another area reported as important is the need to understand the many policies, procedures, and regulations of higher education, and those specific to the CSU. Participants reported that they were aware there were many policies,

but they were not aware of the particulars until required to administrate accordingly. At that point, participants reported that they needed to learn very quickly the details of the policies, procedures, and regulations that had an impact on their college, or an influence on decision-making. Participants reported the methods they used to learn the policies, procedures, and regulations of higher education were attending professional organizational seminars, regularly meeting with their supervisors and peers, and consulting with senior administrators responsible for various administrative areas within the institution.

Theme Three: Prerequisite for Professional Development

These results addressed Research Sub-Question 3 to determine the best means to attain the various administrative knowledge, skills, and competencies that are essential for academic deans. Administrative competencies that were identified as the most important from both the participant interviews and the survey data were: financial and budget management; fundraising; human resource management; communication skills; strategic planning; and leadership skills. Some of the administrative competencies required specific training unique to the CSU system, or in some cases specific to the institution. For example, participants identified financial and budget management as being critical, but having specific training on the complexity of the CSU budget management was preferred when projecting whether the college will have a deficit budget balance at the end of the year, or for interpreting financial analytics for student faculty ratios. Another particularly critical area was human resource management

regarding employee contracts for a unionized environment, and various other employment matters. Participants also reported that it was vital to understand the institution's mission and vision, and to have the ability to align that to their college. Participants identified the need to understand the many policies, procedures, and regulations of higher education, including trends and best practices, and those specific to the CSU. Participants reported they were aware there were many, but they did not know the magnitude until in the position. A final need was fundraising experience due to the lack of skill development opportunities prior to the role of academic dean.

Participants reported that the valuable sources for attaining the various administrative knowledge, skills, and competencies were institutional mentors, leadership opportunities, and support from various departments within the institution. Participants described with great enthusiasm their experiences with mentorships, senior leader support, and networks of groups, associate deans, and department chairs. Those participants who reported that they had the support and encouragement from a dean as a mentor recommended creating a similar program. Other sources were the system-wide groups for each discipline that meet once or twice a year. Consensus among the participants was that these groups are valuable resources, but the few meeting times a year was probably not enough.

Participants also supported future professional development for their career mobility beyond the role of dean. The particular needs identified were an

understanding of the market served by the institution, and the operations and disciplines in the other colleges. A final attribute was learning how to delegate more responsibility to those below them, within the college. However, the concern with delegating responsibility to others necessitates a great amount of academic deans' time for developing the skills needed for those to take on the additional responsibility.

Participants strongly suggested that there should be more encouragement and support in recognizing the value of training programs and administrative leadership development at various levels within the institution, starting with academic deans as direct supervisors, and working up to the system level. A common theme from the participants was for institutions to make a serious investment in professional development by offering various leadership preparation programs.

Correlations: Competency Belief Scale

An analysis of the three themes found that there is a strong correlation between the survey results from the Competency Belief Scale, and the participant interview responses regarding the essential administrative competencies for role of academic dean. The administrative competencies that were ranked highest importance by survey population (Table 11) were found to be frequently discussed in the interviews with many being discussed together. Another observation was that a number of competencies were correlated to time

management when referring to the ability to balance priorities with the time involved in learning the administrative skills.

A review of the highest ranked administrative competency from the survey results for *Communication Skills* found the interview responses supported the importance of possessing strong communication skills for conveying information to internal and external audiences, and for ensuring transparency in conducting business. The next highest ranked administrative competency from the survey results was *Leadership*. Participants reported on the importance of administrative leadership abilities involving decision-making and implementation, establishing a shared vision, and being able to align the college's vision to that of the institution. Another highly ranked administrative competency from the survey results was *Budget Management*, which was identified in the interviews when discussing managing the operational budgets, academic planning and enrollment management, strategic planning, fundraising, and implementing initiatives. Participants referred to the complexity of the CSU budget and the planning process, especially as it relates to a state public institution.

Human Resource Management was ranked high in the survey results, and participant interviews identified the skills as essential administrative leadership practices needed by academic deans in a unionized environment. Other critical aspects were hiring practices, and the evaluation process in a tenured environment. Establishing relationships at various levels with the president, provost/vice president, and deans, along with the ability to perform activities and

transmit information to these administrators was also vital. Other activities included developing and presenting plans, policies, actions, and results of the college. Common among the participants was the need to serve on various policy development committees to garner an understanding of the organization and for building essential relationships.

Significance of Demographic Results

The significance of the demographic survey data revealed the similarities or differences in age, gender, previous position, length of time in current position, and level of education. This section summarizes those similarities or differences with the exception of level of education. The results for level of education found that all participants possessed a doctorate degree with one having an additional professional degree (Table 8). These results are consistent with the educational requirements from a sampling of CSU system-wide academic dean job postings for which an earned doctorate in one of the disciplines represented in the college was required. Therefore, no further analysis is provided since the results for level of education were equivalent. The demographic survey data for age and gender are combined to provide a detail analysis of the population, followed by previous position and length of time in current position. Lastly, an analysis of the administrative competencies by gender as compared to the total population is provided.

Age Groups and Gender. The results of the 40 participants showed that 60% (n=24) were male, and 37.5% (n=15) were female with one electing to not

report (Table 6). A review of the age groups found that the majority of participants were between 56 and 65 years of age (Table 5). The significance observed was the difference in the male population from the female population for the group between 56 and 65 years of age. There were eight more males than females in this age group. One possible conclusion, the male population pursued the academic dean position later in their careers, or they stayed longer in the role. An unexpected observation was the equal gender populations in the remaining age groups between 46 and 55, and the 66+. The expected results would have been for the two populations to be close in numbers, but not exactly equal. These results were especially critical because although the age group between 56 and 65 differed slightly in gender population, with the other two groups being equal suggests that the survey results might not be gender biased.

Previous Position. The majority of academic deans (45.0%, n=18) reported having served in some type of a dean position, either an executive dean, regular (same level) dean, interim dean, or associate dean prior to their most current position (Table 10). The next largest groups served as department chair (20.0%, n=8); or some level of faculty (i.e., Professor, Associate, or Assistant) position (17.5%, n=7) prior to their most current role. The remaining participants served in various directors roles (10.0%, n=4); or at the vice president/vice chancellor level (7.5%, n=3) in a regular, interim, or associate appointment prior to their most current role. These results are similar to the

literature that deans do not follow a set career path, but instead, serve in various positions prior to becoming dean (Wolverton & Gonzales, 2000).

These results have great significance for evaluating the interview responses pertaining to the qualifications and preparation methods prior to the role of academic dean. Participants shared their experiences, beliefs, and suggestions as to how current and future academic leaders can attain the administrative development needed to be effective academic deans. Participant responses expressed the importance of developing skills whether to prepare themselves for career mobility, or for those to replace them as future leaders. Participants specifically reported that there was a need for administrative development in preparation for, and once in the role of academic dean.

Length of Time in Current Position. A review of the survey data on academic deans' length of time in their current position determined the range to be from less than one year to eight years and beyond (with one missing response). The majority (77.5%, n=31) of participants were reported to have served seven years or less in their position (Table 9). Survey results indicated that 18 (45.0%) have been in their position for three years or less, and 13 (32.5%) have served in their position between four and seven years. The remaining eight (20.0%) participants have served for eight years and beyond.

The purpose for grouping the results according to the length of time in their current position (i.e., three years or less, four and seven years, and eight years and beyond) was a postulation of the progress in *stages or seasons* that

correspond to the number of years in the deanship position (Gmelch et al., 2011). The first three years of the deanship, considered the springtime season is when deans are getting started in their position. Next four to seven years of the deanship are the summer phase when deans are starting to hit their stride, learn the job, and see the results of their hard work from the early years. Lastly, years eight and beyond of the deanship are the fall phase when deans are trying to keep the "fire alive", and the winter phase for life after "deaning" (Gmelch et al., 2011). The majority of the participants served less than seven years in their current position, which might postulate an understanding of their perceptions of the essential administrative competencies for the role of academic dean.

Administrative Competencies by Gender. A review of the survey results for the administrative competencies by gender indicated that *Communication Skills* remained the highest ranked administrative competency for each population (male and female). However, when reviewing the gender differences for the competency (*Communication Skills)* the female population (4.93) considered it slightly more important than the male population (4.88), and the total population (4.90). In a surprising finding, however, the second highest administrative competency differed by gender as compared to the total population's selection of *Leadership*. The male population's second highest ranked competency resulted in equal scores for *Budget Management* and *Information Processing*. It was conceivable that *Budget Management* ranked very high on the survey because the interview results indicated it to be vital. A possible conclusion as to why the

male population ranked *Information Processing* equally high may be that the competency had similar traits as *Communication Skills*. Results found that the female population's second highest administrative competency was *Conflict Resolution*, defined as the ability to resolve disagreements between individuals and groups, including handling problems, disturbances, and crises in a college environment. By comparison, the male population selected *Conflict Resolution* as their eighth highest ranked competency (further review of these specific differences would be an interesting topic for future study). The third highest ranked administrative skill for the male population resulted in equal scores for *Leadership*, and *President, Provost/VP Academic Affairs Relationships*. The female population also selected *Leadership* as their third highest ranked competency equivalent to the total population. An explanation of the differences in gender rankings may be that the participants perceived that there were few variations in the administrative competencies, or in how they interpreted the competency.

The lowest ranking administrative competencies did not receive a mean score of less than 3.33 (female score for Use of administration software), thereby resulting in a modest level of importance. As a result, participants perceived all the administrative competencies listed in the survey to be of some level of importance, as opposed to not important at all. For this reason, when considering skill development a recommendation would be to include as many administrative competencies as possible because they are often associated with, or a

subordinate to other competencies. As in communication, which was deemed extremely important for competencies in financial management, human relations, decision-making, and strategic planning for being transparent in keeping college constituencies informed, and when sharing a vision.

Skill Development Techniques

The Skill Development Technique Scale for ranking each administrative competency returned results that identified *Hands-on Experience,* and attending *Seminars* as the most preferred methods. The next two highest ranked methods were working with *Mentors,* and an administrative *Leadership Program*. It was conceivable that *Hands-on Experience* and *Seminars* were the preferred methods, because the two methods tend to be designed to reflect the most current and relevant information. Other possible reasons may be the direct feedback associated with *Hands-on Experience* and the time constraints involved with the other methods.

Interview responses allowed participants to share their experiences, beliefs, and suggestions as to how current and future academic deans can attain professional development in preparation for, and while in the role of academic dean. Participants reported that some institutions have successfully implemented leadership programs; and others have started but discontinued likely due to budget constraints or changes in leadership. Those participants with a program reported that it was their institutions' efforts and not a system-implemented program. Another method of administrative development was by serving on

committees responsible for critical work to advance the mission of the institution. Such committees included academic senate, policy, curriculum, budget, accreditation, and strategic planning committees. Participants reported that they initiated their own leadership opportunities by volunteering to serve on these committees, or working on special projects.

The interview data confirmed that a valuable support system came from within the institution in the form of mentors, peer networking, leadership opportunities, and working with administrative departments, i.e., business and finance, human resources, and the provost office. The results of this study should encourage institutional leadership to make a serious investment in professional development by offering various preparation programs for academic deans. In addition, since the data showed many of the participants came from the faculty ranks a professional development program or training institution could be developed to focus on individuals aspiring to be academic deans. The programs should include those practices confirmed to be valuable such as mentorships, senior leader support, and networking groups for deans, associate deans, and department chairs.

Discussion of Implications and Recommendations

There are important implications and recommendations for academic deans in the findings from this research. This next section discusses implications of the findings and recommendations for the essential administrative

competencies that academic deans consider the most crucial for being effective leaders.

Preparation for Role of Academic Dean

The results related to the background, knowledge, experience, and skills academic deans perceived they possessed that made qualified them for their current position found that participants were aware that there was a need for competent, effective leaders in academe. As supported in the literature, academic deans have generally trained for academic careers in scholarship and teaching rather than for administrative roles; thus, their academic experience did not adequately prepare them for the administrative functions of the academic deanship, or provide a clear understanding of the expectations of the position (Gmelch et al., 2011; McDade, 1987; Millett, 1978). Some of the participants discussed their experience having worked under effective leadership, or not so effective leadership. Nonetheless, the participants reported that they were able to use this experience to gain an understanding of the needed administrative abilities in preparation for the role of dean. Without this they would likely experience role ambiguity and conflict due to the lack of a clear understanding of the duties and responsibilities (Gmelch et al., 2011; Montez et al., 2002; Tucker & Bryan, 1988). A common response received from participants when asked about their preparation was that they would themselves search out leadership opportunities to build their administrative capacity.

The data in this study supported the literature on the lack of training for the more critical administrative constructs such as human resources, financial management, and working with the various internal and external constituents. Wolverton and Gmelch (2002) identified role sets that described the specific duties of academic deans as fiscal resources, academic personnel, and internal productivity involving managing the budgets, resources, personnel, college mission and goals, and ensuring the management of operations. The data also supported the literature for developing effective leadership practices. Heck et al. (2000) recommended utilizing a role-based perspective comprised of important role indicators such as vision and goals setting, management, interpersonal relationships, and communication skills. Martin's (1993) study found similar attributes as cultural representatives, communicators, managers, planners, analysts, and advocates. Other important traits identified were possessing a passion for the values and mission of the college, providing continuous information, exhibiting skills in various administrative functions, soliciting constructive input from the various constituent groups, and connecting with external stakeholders (Martin, 1993).

Participants were able to identify the vital administrative competencies, but found they were unaware of the magnitude, complexity, and time required for the various duties and responsibilities. As Foster (2006) stated, "Probably the most daunting aspect of the initial transition from faculty to administration is that there is a staggering amount to learn; in fact, learning how much there is to learn is

itself important" (p. 50). Participants acknowledged there were many policies, procedures, and regulations that had an impact on their college, or on decision-making, often referring to specifics to the CSU. The common message was due to the lack of training prior to assuming the role of academic dean, experience working with the various policies and procedures was attained while on the job in addition to performing the many other duties and responsibilities.

Training while on the job may be valuable experience, but for the majority (77.5%, n=31) of participants who have served seven years or less in their current position they have had to face the complexity of the reduction in the CSU budget during the economic downturn. The system faced budget cuts that required salary reductions for university employees, cutting of course sections, and reduction of operational budgets. Participants faced insurmountable budget challenges with having to cut costs and increase efficiency, as well as search for other resources in the form of grants, philanthropy, political support, and partnerships with the business industry. To compound matters, participants reported they did not have fundraising experience, or the experience was minimal and usually relied on the president or their prior dean.

An interesting finding resulted when participants reported that their formal education and prior academic training did not provide a significant amount of transferable skills to their administrative role. The few transferable skills were an understanding of the other disciplines, and the ability to make quick decisions. Other attributes were good interpersonal skills having worked with various people

and a strong work ethic. However, consensus was that very little experience from

their education and academic training could be used administratively in the role

of academic dean. Recommendations from the findings for the best method to

attain the administrative competencies needed to prepare for, and be successful

in the role of academic dean were serving on committees, working with mentors,

training from their immediate supervisor, and attending professional development

programs. Participant interviews also revealed the importance of a strong support

system within the institution.

Another interesting finding, the survey results determined that *Multicultural*

Understanding/Cultural Diversity ranked number eight highest administrative

competency, but the topic was discussed briefly during the participant interviews.

The interview responses discussed the ability to work with various groups in a

collaborate manner, treat everyone in a fair and consistent manner, and maintain

open lines of communication. However, a review of the interview results found

very little was discussed on the ability to value the differences in the workforce

(i.e., heterogeneity of gender, race, and ethnicity). Possible conclusion for the

lack of discussion on valuing the differences could be the interview questions did

not specifically address diversity in the workplace. Another possible conclusion

could be that the participants discussed administrative competencies in general,

and perceived *Multicultural Understanding/Cultural Diversity* to be more specific

to human management skills similar to recruiting, hiring, and evaluating. By not

discussing *Multicultural Understanding/Cultural Diversity* does not reduce the

importance, because embracing diversity is important to the CSU and to the individual institutions. A statement is often part of the institution's mission statement such as, "The university seeks to provide a supportive and welcoming social and physical setting where students, faculty and staff feel they belong and can excel" ("CSUSB President's Office," 2015).

Perception of Effective Leadership

The essential administrative knowledge, skills, and competencies perceived by current CSU academic deans to serve as effective senior leaders confirmed that the deanship is a multifaceted role, with a wide range of responsibilities and interaction with various constituent groups. The construct for administrative leadership necessitates academic deans to be competent, effective, accountable, and able to build trust with the various constituency groups. The responsibilities are comprised of a myriad of academic and administrative related duties including complex issues associated with reduced budgets, demands to increase enrollment, and to provide quality education.

The specific abilities determined to be of great importance as integral to effective administrative leadership were communication skills, financial management, fundraising, visionary, strategic planning, and human resources. Strong communication skills are needed in demonstrating transparency in the how business is conducted and decisions are made. In addition to being transparent and conveying information, academic deans need to be able to collaborate with the various constituency groups. Decisions should not be made

in isolation, but instead, by seeking input from various stakeholders, especially pertaining to resource allocation. In terms of resource allocation, of particular significance was given to financial and budget management abilities that are much needed in this challenging environment. It is conceivable, for example, the CSU reported from 2008-2012 the university system lost $1 billion in state revenue and has been forced to turn away enrollment for thousands of fully qualified students ("CSU Budget Central," 2014). During this period, academic leaders had to address cutting operational budgets and supporting reduction in employee salaries with the use of furloughs. Senior leaders were faced with hiring freezes and reduction in course sections, for which some of the participants had just entered into the academic dean role, and were immediately faced with these budget challenges.

Professional Development Framework

As a practical framework for professional development, institutions need to acknowledge the absence of a development program for CSU academic deans. An advantage to this study is that the CSU is a state university system for which academic deans have similar roles and responsibilities allowing for a strong comparable population of participants. There were many suggestions provided by the participants for seeking leadership opportunities within the institution, however, most of the opportunities were self-directed and not always at the encouragement or suggestion of direct supervisors. Participants reported that they volunteered to serve on department, college, and university level

committees that afforded the development of their administrative leadership skills, and the experience of the institutional governance structure. The recommendation for serving on committees was to select those committees that have a certain level of responsibility in accomplishing tasks that are vital to the organization.

A recommendation from the literature for fostering administrative leadership development for academic deans is by establishing a senior leadership forum, where leaders from each college comprised of academic deans and department chairs meet to discuss topics such as, change management, visioning, faculty development, and strategic planning. Key to the success is dependent on the university leadership making an investment in this program or any other formal training for future institutional senior leaders (Wolverton & Gmelch, 2002). Participants in this study recommended providing internally conducted training programs, seminars, networking, and mentoring programs, geared toward the academic deanship, with regular sessions for continued support. Similarly, Greicar's (2009) study on academic deans from four-year public and private higher educational institutions identified the method for the success of their leadership role as being formal mentoring, informal mentoring, on-the-job training, attending conferences and seminars, and professional training programs (Greicar, 2009).

As Wolverton and Gmelch (2002) stated, "in higher education, we make a very large assumption that the deans hired by colleges possess the skills and

aptitudes they need to be successful" (p. 10). However, as demonstrated by the study results and supported by Wolverton and Gmelch, deans can learn skills, but professional development activities are how deans attain aptitudes. Professional training, in combination with experience, socialization, networking, and mentors can provide academic deans the preparation needed to be effective leaders in higher education (Gmelch et al., 2011).

Although the study did not directly target aspiring academic deans, participants interviewed were able to provide insight for effective administrative development. This practical framework could be adapted as a professional development program to prepare aspiring academic deans as part of a succession plan. The data has shown that most of the academic deans have served as faculty prior to assuming the deanship. These same opportunities could be structured to promote leadership development as a means of encouraging more faculty members to consider administrative roles prior to making a commitment to the position.

Suggestions for Future Research

This section provides suggestions for future research taking into consideration variables that were not addressed in this study, or those that can be expanded. The study specifically did not address gender difference in career preparation and trajectory. Future research could focus on whether there are gender differences in preparation for their deanship role. Future research could

also focus on whether there are gender differences in the appointment of academic dean from within the institution, or from another institution. The premise is that internal candidates experience a different socialization into the role of academic dean than outside candidates (Enomoto & Matsuoka, 2007). Another future research topic could be whether specific disciplines require different preparation methods. Expansion of the research could also focus on whether academic discipline is a factor in the decision to advance into the role of dean.

Conclusion

The focus of this study was to identify the perceived essential administrative competencies that would best serve CSU academic deans, so programs can be developed for the training and development of these essential administrative competencies. Similar to the literature, academic deans reflected on the amount of time the position consumed in dealing with internal and external groups such as faculty, staff, students, parents, and policy and political relations (Gmelch et al, 2011). The participants described their role as having a myriad of challenging academic and administrative related duties. When preparing for the role of academic dean, participants recommended developing skills and abilities to delegate, value others, and advocate for the college. Other abilities are communicating effectively, strategic and financial planning, and an understanding of trends, policies, and procedures in higher education.

A common theme was that their academic training did not prepare them for the administrative functions for the role of academic dean. Participants reported they actively pursued opportunities to build their administrative capacity. They assumed roles to gain an understanding of the work associated with the dean position, served as department chair or associated dean, on committees related to the university's governance structure, and participated in professional organizations. When determining the best method to attain the administrative competencies needed to prepare for, and be successful in the role of academic dean the findings were by serving on committees, working with mentors, training from their immediate supervisor, and attending professional development programs.

The complexities associated with the multifaceted role of academic dean comprised of academic and administrative duties and responsibilities, challenges of reduced budgets, increased enrollment demands, guarantee of quality education, and expectations from various constituencies have created a perennial need for strong, competent leaders. As a result, higher education institutions will need to invest in providing the support in developing the administrative competencies and fortitude to serve in the challenging role of academic dean.

APPENDIX A

INSTITUTIONAL REVIEW BOARD APPROVAL

Academic Affairs

Office of Academic Research • Institutional Review Board

May 29, 2014

Ms. Karen Wall
c/o: Dean Jay Fiene, Ph.D.
College of Education
California State University, San Bernardino
5500 University Parkway
San Bernardino, California 92407

Dear Ms. Wall:

Your application to use human subjects, titled "Administrative Development for Academic Deans in The California State University System" has been reviewed and approved by the Institutional Review Board (IRB). The attached informed consent document has been stamped and signed by the IRB chairperson. All subsequent copies used must be this officially approved version. A change in your informed consent (no matter how minor the change) requires resubmission of your protocol as amended. **Your application is approved for one year from May 29, 2014 through May 28, 2015. One month prior to the approval end date you need to file for a renewal if you have not completed your research. See additional requirements (Items 1 – 4) of your approval below.**

Your responsibilities as the researcher/investigator reporting to the IRB Committee include the following 4 requirements as mandated by the Code of Federal Regulations 45 CFR 46 listed below. Please note that the protocol change form and renewal form are located on the IRB website under the forms menu. Failure to notify the IRB of the above may result in disciplinary action. You are required to keep copies of the informed consent forms and data for at least three years. Please notify the IRB Research Compliance Officer for any of the following:

1) Submit a protocol change form if any changes (no matter how minor) are proposed in your research protocol for review and approval of the IRB before implemented in your research,
2) If any unanticipated/adverse events are experienced by subjects during your research,
3) To apply for renewal and continuing review of your protocol one month prior to the protocols end date,
4) When your project has ended by emailing the IRB Research Compliance Officer.

The CSUSB IRB has not evaluated your proposal for scientific merit, except to weigh the risk to the human participants and the aspects of the proposal related to potential risk and benefit. This approval notice does not replace any departmental or additional approvals which may be required.

If you have any questions regarding the IRB decision, please contact Michael Gillespie, the IRB Compliance Officer. Mr. Michael Gillespie can be reached by phone at (909) 537-7588, by fax at (909) 537-7028, or by email at mgillesp@csusb.edu. Please include your application approval identification number (listed at the top) in all correspondence.

Best of luck with your research.

Sincerely,

Sharon P. Ward, Ph.D.

Sharon Ward, Ph.D., Chair
Institutional Review Board

SW/mg

cc: Dean Jay Fiene, Ph.D., College of Education

909.537.7588 • fax: 909.537.7028 • http://irb.csusb.edu/
5500 UNIVERSITY PARKWAY, SAN BERNARDINO, CA 92407-2393

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APPENDIX B

SURVEY INSTRUMENT

Administrative Competencies & Skill Development Instrument

I. Personal Information

Please respond to the following questions.

1. What is your age? _____

2. What is your Gender   ☐ Male   ☐ Female

3. What is your Race/Ethnicity (Select only one)

    ☐ Asian   ☐ Caucasian   ☐ Other   ☐ Multiracial

    ☐ Hispanic   ☐ Native American   ☐ Black/African-American

4. How long have you served in your current position? _____(yrs/mos)

5. What position/title do you hold in your current position?

    Position/Title_____

6. How long did you serve in your previous position? _____(yrs/mos)

    What was the Position/Title_____

7. What is the highest degree you hold?

    a. Bachelors _____
    b. Masters _____
    c. Doctorate _____
    d. Professional _____
    e. Other (Please Specify) _____

II. Administrative Competency & Skill Development
The Administrative Competencies and Skill Development Instrument is divided into two sections (columns) to seek your beliefs as to how important it is to possess each administrative competency, and your perception of the best preparation technique to use to obtain the stated competency.

Instructions
For the Competency Belief Scale, select only one box on the five-point scale. This is your estimate of how important you believe the research-dictated competency is for an academic dean to possess.

For the Skill Development Technique Scale, rank the order on a scale of 1-6. This scale seeks your estimated idea of what would be the best preparation technique an academic dean currently serving in the position can use to obtain the stated competency. Use the following guide of abbreviations for a description of each method.

SEM	Seminar - a short (8hrs) course often featuring a presentation and discussion by experienced professionals on related topic.
M	Mentor - an experienced college administrator who meets with an academic dean on a regular basis to discuss various knowledge and skills needed for academic deans.
CL	Classroom - advanced courses on related subject matter.
HOE	Hands-on Experience - skill or knowledge learned by on-the-job training.

		LP	Leadership Program – a long-term administrative leadership program specifically geared toward offering various topics for academic deans.

LP	Leadership Program – a long-term administrative leadership program specifically geared toward offering various topics for academic deans.
Other	Other - represents any other method you feel can be used to obtain the knowledge or skill.

If you have NO experience at all (whether in your current or former position(s)) with the stated competency, please mark NA and move to the next question.

	Question	Competency Belief Scale Select the box that most closely describes your belief on each competency. 5=Extremely Important 4=Very important 3=Neither important nor unimportant 2=Unimportant 1=Not important	Skill Development Technique Scale Rank the order you feel would be the best preparation/techniques. Use the reference above for each description. 1=Best way to learn 6=Worst way to learn
1	**Budget Management** The ability to develop and administer budgets, acquire funding to operate the college, and the ability to formulate financial plans for the future. Includes department budgets and capital expenses.	5 4 3 2 1 N/A ☐ ☐ ☐ ☐ ☐ ☐	SEM M CL HOE LP Other ___ __ __ ___ __ ___
2	**Institutional & Strategic Planning** The ability to establish short and long-term goals and objectives, to develop strategies, policies, programs, and procedures to achieve them and to change them as circumstances warrant.	5 4 3 2 1 N/A ☐ ☐ ☐ ☐ ☐ ☐	SEM M CL HOE LP Other ___ __ __ ___ __ ___
3	**Technology Planning** The ability to project, develop, and decide the college's technology needs. Includes computers and computer software needs.	5 4 3 2 1 N/A ☐ ☐ ☐ ☐ ☐ ☐	SEM M CL HOE LP Other ___ __ __ ___ __ ___
4	**President, Provost/VP Academic Affairs Relationships** The ability to perform activities and transmit information to the president and other college administrators. Includes developing and presenting monthly reports on plans, policies, actions, and results of the college.	5 4 3 2 1 N/A ☐ ☐ ☐ ☐ ☐ ☐	SEM M CL HOE LP Other ___ __ __ ___ __ ___
5	**Information Processing** The ability to convey information about all aspects of the college to internal audiences. These include students, faculty and staff, community political bodies, and other special interest groups.	5 4 3 2 1 N/A ☐ ☐ ☐ ☐ ☐ ☐	SEM M CL HOE LP Other ___ __ __ ___ __ ___

6	**Conflict Resolution** The ability to resolve disagreements between individuals and groups. Includes handling problems, disturbances, and crises in a college environment.	5 4 3 2 1 ☐ ☐ ☐ ☐ ☐ N/A ☐	SEM M CL HOE LP Other ___ __ __ __ __ __
7	**Public relations & media** The ability to convey information about all aspects of the college to its external and internal audiences. These include students, faculty and staff, community political bodies, and other special interest groups.	5 4 3 2 1 ☐ ☐ ☐ ☐ ☐ N/A ☐	SEM M CL HOE LP Other ___ __ __ __ __ __
8	**Legal issues** The ability to provide guidance and interpret laws and regulations related to department. Includes representing department in contractual agreements.	5 4 3 2 1 ☐ ☐ ☐ ☐ ☐ N/A ☐	SEM M CL HOE LP Other ___ __ __ __ __ __
9	**Entrepreneurship** The ability to see new opportunities and to initiate changes necessary to implement them.	5 4 3 2 1 ☐ ☐ ☐ ☐ ☐ N/A ☐	SEM M CL HOE LP Other ___ __ __ __ __ __
10	**Personnel Selection/Human Resources** Responsible for hiring, staffing, and training the various positions in your departments/college. The ability to attract and select quality employees.	5 4 3 2 1 ☐ ☐ ☐ ☐ ☐ N/A ☐	SEM M CL HOE LP Other ___ __ __ __ __ __
11	**Leadership** The ability to influence people so that they strive willingly and enthusiastically to help accomplish individual and institutional goals.	5 4 3 2 1 ☐ ☐ ☐ ☐ ☐ N/A ☐	SEM M CL HOE LP Other ___ __ __ __ __ __
12	**Peer Network** The ability to enter into and effectively maintain relationships with other deans and state, regional, and national persons. This includes knowing how to develop contacts, how to build and maintain networks and how to communicate on a formal and informal basis.	5 4 3 2 1 ☐ ☐ ☐ ☐ ☐ N/A ☐	SEM M CL HOE LP Other ___ __ __ __ __ __
13	**Motivation Skills** The ability to provide incentives that motivate college employees to work toward attainment of goals.	5 4 3 2 1 ☐ ☐ ☐ ☐ ☐ N/A ☐	SEM M CL HOE LP Other ___ __ __ __ __ __
14	**Relationship with political leaders** The ability to enter into and effectively maintain relationships	5 4 3 2 1 ☐ ☐ ☐ ☐ ☐ N/A ☐	SEM M CL HOE LP Other ___ __ __ __ __ __

	with political leaders at city, county, state, regional, and national levels. This includes knowing how to develop contacts, how to build and maintain networks and how to communicate on a formal and informal basis.		
15	**Change Agent** The ability to view the college and its environment for opportunities and improvements to bring about change.	5 4 3 2 1 N/A ☐ ☐ ☐ ☐ ☐ ☐	SEM M CL HOE LP Other ___ __ __ ___ __ ___
16	**Communication Skills** The ability to communicate well both orally and written, including speaking, listening, and writing. Includes relaying information received from outsiders to member in the college.	5 4 3 2 1 N/A ☐ ☐ ☐ ☐ ☐ ☐	SEM M CL HOE LP Other ___ __ __ ___ __ ___
17	**Policy** The ability to understand and provide oversight in the development and/or revision policies, procedures, and operational activities, both internally and externally, of the department.	5 4 3 2 1 N/A ☐ ☐ ☐ ☐ ☐ ☐	SEM M CL HOE LP Other ___ __ __ ___ __ ___
18	**Business & Industry Partnerships** The ability to successfully identify, develop, and implement a partnership with business and/or industry in order to help the department, campus, and/or college as a whole.	5 4 3 2 1 N/A ☐ ☐ ☐ ☐ ☐ ☐	SEM M CL HOE LP Other ___ __ __ ___ __ ___
19	**Salary Administration** The ability to develop and administer the allocation of salary throughout the department, campus, and/or college as a whole. Includes strictly salary of college employees.	5 4 3 2 1 N/A ☐ ☐ ☐ ☐ ☐ ☐	SEM M CL HOE LP Other ___ __ __ ___ __ ___
20	**Employment Practices** The ability to understand the process of protecting the college and the college employees from lawsuits, i.e., sexual harassment, discrimination, wrongful termination, wrongful discipline, and mismanagement of employee benefits, etc.	5 4 3 2 1 N/A ☐ ☐ ☐ ☐ ☐ ☐	SEM M CL HOE LP Other ___ __ __ ___ __ ___
21	**Risk Management** The ability to understand the overall process of identifying, controlling,	5 4 3 2 1 N/A ☐ ☐ ☐ ☐ ☐ ☐	SEM M CL HOE LP Other ___ __ __ ___ __ ___

	and minimizing the impact of uncertain events in the classroom, labs, and/or in the college.		
22	**Multicultural Understanding/ Cultural Diversity** The ability to value the differences in the workforce, i.e., heterogeneity of gender, race, and ethnicity, while treating everyone alike and utilizing those differences to your advantage in efficiency, productivity, and retention.	5　4　3　2　1　　　N/A ☐ ☐ ☐ ☐ ☐　　☐	SEM　M　CL　HOE　LP　Other ___　__　__　___　__　___
23	**Time Management** Ability to maintain the appropriate allocation of time to the overall conduct of your job responsibilities in such a way that your performance is efficient and productive.	5　4　3　2　1　　　N/A ☐ ☐ ☐ ☐ ☐　　☐	SEM　M　CL　HOE　LP　Other ___　__　__　___　__　___
24	**Use of administration software** The ability to use computer software specific for administrative responsibilities and/or geared specific to job duties, i.e., Blackboard, PeopleSoft, data warehouse, etc.	5　4　3　2　1　　　N/A ☐ ☐ ☐ ☐ ☐　　☐	SEM　M　CL　HOE　LP　Other ___　__　__　___　__　___
25	**Use of presentation software** The ability to use computer software specific for making presentations on related administrative work, such as Microsoft Office PowerPoint.	5　4　3　2　1　　　N/A ☐ ☐ ☐ ☐ ☐　　☐	SEM　M　CL　HOE　LP　Other ___　__　__　___　__　___

Note. Approved to use as modified from:

Mapp, W. E. (2007). Leadership competencies and their development for community college administrators (Ph.D.). Walden University, United States -- Minnesota. Retrieved from http://search.proquest.com.libproxy.lib.csusb.edu/pqdthss/docview/304768306/abstract/8018C07196D8428DPQ/1?accountid=10359

APPENDIX C

INTERVIEW INSTRUMENT

Professional Administrative Development for Academic Deans as Senior Leaders

Interview Instrument

1. What are the essential administrative leadership practices needed by academic deans in universities today?

2. What background, knowledge, or skills did you have that made you think you were qualified for your current position?

3. Discuss the abilities you thought you needed before assuming the job of academic dean.

4. Now that you have been in the position for at least a year, how accurate were your initial perceptions of the abilities you thought you needed to perform the function?

5. How inaccurate were those perceptions compared with the reality of the position?

6. How did your formal education prepare you for this senior leadership role?

7. What work and life experience prepared you for this senior leadership role?

8. How is the job as academic dean of your college different from that of other college deans?

9. Who were the people that influenced you to pursue the responsibilities of academic dean? How do you describe their influence?

10. Who were the people that mentored you either prior to, or as you assumed the responsibilities of academic dean?

11. As you moved into the job what other kinds of support or guidance, would have been helpful to prepare you to be a successful academic deanship?

12. What are two or three attributes you wish you'd spent more time developing in preparation for this position?

13. What skills, besides the ones already discussed, do you think you need to further develop and enhance your own career mobility beyond the role of academic dean

14. What advice would you give to someone who, aspiring for career mobility, wants to pursue the job of academic dean?

15. What advice would you give to an academic dean who wishes to promote his/her current position as an integral strategy of institutional succession planning?

16. What have I not asked you about strategic leadership practices associated with being an academic dean that would be important for me to know?

Note. Approved to use as modified from:

Levin, S. Z. (2010). Deans of career and technical education: Charting the course to senior administration (Ed.D.). National-Louis University, United States -- Illinois. Retrieved from http://search.proquest.com.libproxy.lib.csusb.edu/pqdthss/docview/375469791/abstract/B62BF4D858ED4A97PQ/1?accountid=10359

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