Faculty Management: An Examination of the Dual Role of Faculty as Managers in Higher Education

Rume J. Azikiwe

Thomas Jefferson University, rume.azikiwe@jefferson.edu

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FACULTY MANAGEMENT

AN EXAMINATION OF THE DUAL ROLE OF FACULTY AS MANAGERS
IN HIGHER EDUCATION

By

Rume J. Azikiwe

A dissertation submitted in fulfillment of the requirements for the degree of Doctor of Management in Strategic Leadership

at

THOMAS JEFFERSON UNIVERSITY

2020
AUTHORIZATION TO SUBMIT DISSERTATION

This dissertation of Rume Joy Azikiwe, submitted for the degree of Doctor of Management in Strategic Leadership and titled “Faculty Management: An Examination of the Dual Role of Faculty as Managers in Higher Education,” has been reviewed in final form. Permission, as indicated by the signatures and dates given below, is now granted to submit final copies to Thomas Jefferson University for approval.

Approved by:

Rosa M. Colon-Kolacko, PhD, MBA, CDM, SHRM-SCP
Chairperson, Dissertation Committee

Elliot Cole, Ph. D.
Member, Dissertation Committee

Geoffrey Garrett, Ph. D.
Member, Dissertation Committee

Victoria Mulhern
Member, Dissertation Committee
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ABSTRACT

This research study offers a better understanding on the role of faculty when they are given managerial/leadership roles beyond their teaching and research duties. It focuses on why faculty members accept initial roles with a university; how they become faculty managers; how they are transitioned into faculty management roles; what challenges are with having faculty managers in the role; how the concept of academic freedom/empowerment plays a role in challenges of faculty managers; and how university leadership can respond to, support, and prepare faculty managers to be successful in these administrative roles. To better understand faculty managers, the researcher conducted sixty qualitative in-person interviews with participants, both on the administrative and faculty management side of higher education institutions. The researcher found many faculty managers went into their initial roles in higher education to teach or conduct research and many went into their roles as faculty managers not of their choosing but because they were next in line or strongly encouraged to do so. Few faculty managers received on the job training to prepare them for their management roles. This project is important because a gap exists in research concerning the topic of faculty managers and it will provide insight from 65 (43 faculty managers and 22 non-faculty managers in administrative roles) people from small to large institutions who have firsthand experience with this situation. The study will provide a framework for training, mentoring, and onboarding for key decision makers and faculty managers in universities, thereby offering a means to alleviate this problem.
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CHAPTER 1

INTRODUCTION

Leadership is one of the most complex and multifaceted phenomena to which organizational and psychological research has been applied. While the term "leader" was noted as early as the 1300s and conceptualized even before biblical times, the term leadership as we understand it today, has been in existence only since the late 1700s (Stogdill, 1974). Moreover, scientific research on the topic did not begin until the twentieth century (Stogdill & Bass, 1981). There has since been intensive research on the subject. Burns (1978) remarked that, "Leadership is one of the most observed and least understood phenomena on earth” (p. 3). This problem arises not only in understanding the operation of the theory but even in its definition (King, 1990). Kotter (1990) suggested leadership is the process undertaken to negotiate change and differentiates it as establishing direction, building teams, inspiring, energizing and motivating. On the other hand, Rost (1991) defined leadership as an influential relationship among leaders and collaborators with mutual purposes.

There is a pattern that exists in various industries, be it healthcare, government, law enforcement, or higher education, where practitioners reach a peak in their performance and are then put in administrative positions. As a result, many professionals find themselves running a practice, department, or organization without the experience and often desire to do so. In higher education, this phenomenon frequently elevates faculty members into administrative roles. Similar to a doctor, dentist, or lawyer, university professors attend school to master their areas and topics of focus. Faculty members who then enter management roles often do so because they are thrust into those positions, despite lacking sufficient preparation for a job that differs considerably from
the teaching and research jobs for which they were hired. Yet there is minimal training for faculty who start on the road to becoming a manager.

**Background**

Historically, secondary schools, colleges and universities were controlled by principals and faculty who thought of themselves as such and carried themselves in that manner. Faculty made key administrative decision, as well as set the academic tone for the institution. University of Michigan President Henry Phillip Tappan, (1961) suggested faculty are the only workmen who can build up universities. Increasing faculty responsibility and professionalism allowed many institutions to accept faculty control both over the curriculum and other education-related matters (Birnbaum, 2004). Over time, as colleges and universities grew there were steps taken to allow faculty to concentrate on academic roles and research, but there was a lack of focus on administrative tasks. Verchota (1971) suggested that academic departments were conceived when principals realized they needed help supervising instruction, while attending to administrative details.

This research project is built on accounts of faculty leaders who share the same story: they were hired to teach or conduct research in one domain. Then, after spending 10 years advancing in the field and classroom, they were told the path to administration is the right move to make. They are given budgets and staff to manage, they are given tasks to complete, and then it hits them are not prepared for the role as much as they should or could be.

**Defining Faculty**

Faculty, when speaking in terms of education, is a person who is seen as a subject matter expert (SME) and lectures and conducts research to further the understanding of a topic. The Merriam-Webster dictionary provides several definitions for faculty some of which include: a
branch of teaching or learning in an educational institution, something in which one is trained or qualified, the members of a profession, or those members of the administration having academic rank. Popovich and Abel (2002), proposed that research, education, service, and in some cases, clinical service, are the four-legged stool which defines the activities of university faculty. None of these definitions pertain to faculty in managerial roles. Faculty in management roles come from a plethora of disciplines and backgrounds. As in exhibit one, they are from the sciences and humanities. Even a cursory review of several faculty openings at various schools illustrates the gap. Administrative experience so they can manage staff is never mentioned, but rather focus on the research, teaching experience or becoming a chair. Exhibit one through five offer a few examples.

**Faculty managers in their roles.**

When assuming a role as a manager, whether a faculty member or an administrative assistant who receives a promotion to office manager, there is often the misconception they should be able to automatically lead their staff. For this purpose, staff are identified as employees of the organization who receive payment, direction and other benefits from the institution. Leadership often complements management but they do not always go hand-in-hand. Bass (2010) argued that, although management and leadership overlap, the two are not synonymous. Kotter (2001) suggested leadership and management are two distinctive and complementary systems of action.

Consider a simple military analogy: A peacetime army can usually survive with good administration and management up and down the hierarchy, coupled with good leadership concentrated at the very top. A wartime army, however, needs competent leadership at all levels. No one yet has figured out how to manage people effectively into battle; they must be led. These two different functions - coping with complexity and coping with change-
shape the characteristic activities of management and leadership. Each system of action involves deciding what needs to be done, creating networks of people and relationships that can accomplish an agenda, and then trying to ensure that those people actually do the job (p. 86).

Academic faculty is no different from a military organization; the primary goal is to manage effectively. What universities need is a system which helps to transform their faculty into effective managers. This seems to be the case in various fields. One enters with an expected outcome in mind for a career. Once they reach a certain level or work a certain number of years, they become managers of others.

For faculty members, teaching and research are second nature. They went to school to become subject matter experts in their field of study and are working at their educational institution to further their research or spread their knowledge to a new group of students. They are prepared to cope with challenges of their research or teaching assignments but not for the roles of management they agree to and this can be complex for them. Kotter (1987) best defines the management process as involving (a) planning and budgeting, (b) organizing and staffing, and (c) controlling and problem solving. The management process reduces uncertainty and stabilizes the organization. The same can even be said of those who attend school for management. Mintzberg (2004) proposed recognizing conventional MBA programs as specialized training in the functions of business, rather than the practice of managing.

Statement of the Problem

When faculty accept employment in higher education as professors, they seldom do so hoping for positions of staff leadership; on the contrary, they accept positions where they can focus on teaching, research and bringing in grants. Somewhere along their career tracks, they are told
they are being placed in a dual role as a manager and a leader but are not given the tools to equip them to be successful in those roles. Having no prior experience, faculty are placed in their staff leadership positions without management training or adequate understanding of the role they are stepping into. They often know little or nothing of what is necessary to be successful in the leadership roles, little or nothing regarding their support staff, lack awareness of policies or laws governing the hiring and firing components of their new position, and do not recognize the time and toll the role will take on personal and professional lives. McMinn (2016) proposed,

An interviewer asks young children what they want to be when they grow into adults. The responses are varied and aspirational, pointing to such noble pursuits as medicine, law, space travel, and cattle-wrangling on the open plains. Never once have I heard “college administrator!” in that long list of responses. In truth, most of us do not aspire to become an academic administrator. Few of us received any graduate training that would help us lead an academic program, school, or institution, so deciding to become an administrator can leave us feeling underprepared and overwhelmed (p.1).

Leadership is a concept that is continually evolving and with changes in culture, performance expectations, employee dynamics, and engagement, those who lead employees must evolve as well. This faculty leadership problem is similar to that of the Peter Principle which states that by working efficiently at a certain level, an employee will be promoted to the next level. The Peter Principle, written by educator Laurence J. Peter and writer Raymond Hull, contends that employees are often promoted to a level beyond their capacity to perform the duties of the job (Peter & Hull, 1969). Lazear (2004) suggests that more often, when it comes to the Peter Principle, individuals who are good in one job are not necessarily good in the job into which they are promoted. The selection process for leaders in faculty roles, such as department chairs, is
frequently flawed since the search committee members often have no leadership positions themselves and get distracted by the curriculum vitae. Chu (2012) suggests the days are gone when chairs could wait out their terms, just do what had always been done, and assume that staff and historical protocol will keep the ship sailing on calm seas. In an interview with Andrew Hibel (2011) of HigherEd Jobs, when asked about preparation and selection for administrative roles, Chu stated:

A good deal of research conducted on department chairs has found that very few ever receive formal training before becoming chair. To be clear about it, most chairs receive ZERO training before they become chief managers and leaders for their multi-million dollar organizations. Chairs also say that it takes them a year or two before they feel their feet are on the ground. Most new chairs basically "do not know what they do not know." It is after a year or so before they do.

This research focuses on why faculty accept management roles and how they are prepared for them. Through qualitative inquiries that capture the voices of faculty in management roles, and in some cases those who support them, this research first illuminates the duties faculty had when they accepted their roles within the university. It then examines how faculty came to accept their faculty management positions and how they are prepared for them. Finally, this research provides guidance and insight on how faculty can navigate these roles, and their impression about what they feel is needed to be successful.

The Encyclopedia Britannica defines higher education as types of education given in postsecondary institutions of learning and usually affording, at the end of a course of study, a named degree, diploma, or certificate of higher studies. Higher-educational institutions include not only universities and colleges but also various professional schools that provide preparation in
such fields as law, theology, medicine, business, music, and art. There is a gap in scholarly research regarding this very common problem in higher education, although it affects many professionals. This is a significant problem in the higher education world, putting a faculty member in charge of a budget, a team, hiring, and performance management without proper explanation of expectations. Often when they are placed in these roles, they are unsuited for the job. A faculty member who is a brilliant academic but does not have the skills needed for administrative tasks will cause chaos when placed in that position. Staff will not be managed appropriately, there will be unintended consequences with legal implications due to failure to observe employment guidelines hiring and/or addressing of issues, and faculty members themselves experience frustration and sometimes even burnout. In an article written in 2013 for *Forbes* magazine, Kruse described what leadership is not; specifically, leadership has nothing to do with seniority or one’s position in the hierarchy of a company, nor anything to do with titles. Linda Hill (2003) of the Harvard Business School declared that, before receiving a role in management, most people work as “doers,” or individual contributors. Hill suggests the primary responsibility up until that point was to perform a specific task. For faculty members assigned to administrative roles, transitioning from the position of contributor to that of leader can cause all manner of problems. Garcia (2014) states,

Frequently, academic deans come into their positions directly from the faculty. One year they are teaching and involving themselves in faculty issues; the next they are at a desk all day long, fielding student complaints and organizing faculty evaluations. Whereas before they sat at Faculty Senate meetings, now they attend Manager’s Council-part of a different professional environment. Now they manage budgets. Now they have administrative assistants and other staff (p. 1).
Purpose of the Research

The purpose of this research is to ascertain how faculty managers and those around them understand the hats faculty managers wear in their management roles. The research pinpoints the path faculty saw themselves on prior to assuming a role in management, gives clarity on why they accepted the role, helps to understand the preparation they received when in the roles, and identifies ways that may better prepare future faculty managers. The goal of the research and qualitative design was an in-depth understanding of the participants by allowing them to share their own stories and lived experiences.

Research Questions

A detailed inquiry into faculty management reveals minimal information surrounding the research topic. The gap in data drives the research questions:

1. How do faculty and those around them understand the roles faculty should perform when they assume management positions?
2. How do faculty managers navigate their roles as leaders with their teaching and research duties?

Conceptual Framework

This project began with the researcher’s impression that faculty receive no professional development or advice prior to assuming administrative roles. The project includes the voices of both faculty and those who are supposed to support them in their roles such as Human Resources (HR) business partners, General Council Associates, Executive Directors and Talent Managers. The researcher found it important to include these voices as support staff are the people faculty administrators turn to when they encounter challenges. Perspectives from them offer a full picture
of faculty management and the potential issues. It began from the assumption that faculty hinder administrative decisions and resist initiatives to provide administrative training. The task was to understand why faculty choose not to partake in any developmental activities for these roles, and better understand why they would not take time away from the classroom or research to help develop or properly administer where staff were concerned.

The concept of faculty as managers is not a framework that currently exists, as detailed below in the literature review and discussion with those interviewed. Because of that, the literature review contains opinion pieces by faculty and nurses as managers that can be used to build the framework. To further this point, the research included interviews, focus groups, and a mini pilot project to substantiate those assumptions.

**Significance of the Research**

There has been very little published on the careers of faculty in management roles. Many in academia understand the mission to teach and conduct research (if it is a research institution). When tasked with varying levels of teaching, research, budgeting, supervising of staff, collaborating with other faculty, and running meetings, identifying why this exists and the best path forward is essential. This research provides opportunities to understand the dual role of faculty management and leaders and paths for setting them for success.

The goal of this project is creating awareness and introducing changes to the way faculty management roles are handled. Those who can benefit from it include higher education administration, both on the academic and non-academic side, as well as those in faculty roles, current faculty managers and those who will one day assume those roles. There is also a potential benefit for people outside higher education who serve in similar star-turned-manager roles in their professional fields.
**Delimitations and Limitations of the Research**

A limitation of this project is the researcher’s experience in higher education administration and the possible bias due to regularly hearing about faculty management issues. Because of this, the researcher used a hermeneutic approach to revisit the participant data which helped to evolve their understanding. A stance of impartiality was taken by the researcher to ensure reliable and valid findings.

The research focuses on faculty and their experience in becoming faculty managers, with the intention to highlight the experiences needed to be successful in those roles. As such, faculty members who have no management experience were omitted from participating in the research. The feedback from the participants reflects the opinions of those who participated in the interviews and focus groups of the researcher. Those interviewed cover a sample size from one large institution and three small institutions due to reach of contacts.

**Conclusion**

This project will hopefully result in changes to how faculty prepared for their faculty manager roles in higher education. The findings presented in this research will serve as a window into the misconceptions that faculty do not want more training or resources that will better prepare them for their roles in administration. The research will be an avenue to get those in higher education to pour resources into training for faculty managers, making training a requirement for faculty who go management roles and investing in coaching for them as well.
CHAPTER 2
LITERATURE REVIEW

Introduction

There is not much literature on the subject of faculty as managers or faculty holding management roles. For this literature review, the researcher conducted extensive searches independently, as well as in concert with research experts, librarians, and various higher education listservs. The searches were done by narrowing down the search options, using various combinations of words and phrases with "and" "or" "*" among others. Sites in the search included:

- Business Source Complete
- Education Source
- Google Scholar
- ProQuest Dissertations & Thesis Fulltext
- Questia.com
- EBSCOhost

Words/phrases searched included:

- faculty manag* (the asterisk allows the system to search for anything with those words in it)
- faculty as managers
- faculty leaders
- higher education and/or managers and/or faculty
- faculty and/or staff displeasure
- concern* and/or manag* and/or faculty
- staff and/or concern and/or faculty manag* and/or leader
• faculty and/or training
• faculty and/or learning and/or development
• teachers becoming managers
• teachers ready for managers

What literature reveals about faculty managers

“Important? Definitely. Overworked? Probably. Prepared for the job? Rarely. This is the typical academic department chairperson” (Bennett, 1983, p. 1). When put in management roles, as happens frequently today, there is no training for faculty on what being a manager entails. Additionally, there is little discussion as to what will be expected from the new leader as they assume their managerial role. Paul Bryant, Ph.D. (2005) suggests that very few academics begin their career with the conscious intention of becoming an administrator. He goes on to say:

Sometimes a prominent professor is placed as a figurehead in an administrative position to enhance the prestige of the institution. Such a ‘star’ will often be given assistants to actually do the administrative work. And once in a great while there is that gifted individual who can continue to do prolific research, publish prestigiously, occasionally teach a class brilliantly, and still fill a real administrative post effectively, but those are rare. Most administrative positions, if taken seriously and responsibly, require hard work, time, and energy that cannot then be spent on preparing to teach or on research and publication. Just finding time to read the journals and stay current in an academic field can become a challenge (pg. 7).

Land (2003) argues that, since doctoral programs prepare faculty for discipline-specific topics and not administrative issues, the task of assuming an administrative role is done as an evolutionary process and not a definitive career path. Prior to a managerial promotion, most people work as
“doers,” or individual contributors, asserts Hill (2003). Before assuming their managerial positions, their roles and responsibility were to perform a specific task. Fatting (2013) writes of community colleges and the need respond to global economic challenges by shifting collegiate decision making to business model approaches, including managerial, entrepreneurial and corporate models. However, some chairs in those positions lacked the time and expertise needed to supervise diverse personalities. Fatting goes on to suggest that, as a result, student outcome could have suffered and chairpersons lacked the leadership training to effectively manage and lead a large number of staff. Garcia (2014) also writes of community college academics, suggesting when they first enter the college their time is spent teaching, then turned suddenly into dealing with faculty issues.

One year they are teaching and involving themselves in faculty issues; the next they are at a desk all day long, fielding student complaints and organizing faculty evaluations. Whereas before they sat at Faculty Senate meetings, now they attend Managers’ Council—part of a different professional environment. Now they manage budgets. Now they have administrative assistants and other staff. Now they have facilities to manage. (p.1)

Herein lies the issue. In a position of management or supervision, there is a belief that those who hold those titles not only master the function(s) they oversee, but that they also understand how to manage a workforce. The disconnect arises because there is no setting of expectations on how to hire, how to write a budget, how to manage staff, or even how to manage all the many balls that faculty managers must now juggle. That leads to the question, how are these faculty managers expected to be successful? “Managers have to know a lot, and they often have to make decisions based on that knowledge. They have to bring out the best in other people” (Mintzberg, 2004, p.12).
Perlmutter (2017) goes as far to compare the lack of training to that of the docent at a local children’s museum receiving more training than that of a faculty administrator; it’s sink or swim-you learn by doing (or not doing) and surviving (or drowning).

**Excerpts from memoirs/journals**

With limited publications or scholarly work surrounding faculty as managers, looking at this from a different angle was necessary. Excerpts from journal articles and memoirs will help illustrate the challenges of faculty administrative roles. Perlmutter (2017) offers one case of a professor he knew which states,

A professor I know in the social sciences stepped into a chair’s job after 15 years on the faculty. She described the experience as "the worst time of my life" as she collided with a torrent of paperwork and email, budget woes, assessment reports, risk-management demands, and centrifugal forces tugging her away from her own research, teaching, and family. Most of all, though, it was all the people problems that drove her downward and ultimately out of administration — the constant pressure from faculty colleagues (who turned on her in ways she had never experienced or foreseen) as well as from senior administrators, students, staff members, alumni, donors, and, yes, parents. She quit within a year. What struck her most about her brief reign was how unprepared she was for the types, scale, and severity of the administrative challenges she faced.

To understand how to teach or conduct research takes time, and to become a faculty administrator takes time as well. In a 2013 interview, Mary Cullinan, PhD, President of Southern Oregon University, when asked about her experience said,

I wish I’d spent time learning and thinking about leadership. As an English major and faculty member, I thought seriously about teaching and research. But becoming chair was
a shock. I was completely unprepared. Many academic administrators fell into their roles, as I did, and then learned through mistakes. If you think administration is an exciting option, prepare yourself. Talk to colleagues, as you suggested. Attend conferences.

Gmelch (2000) argues that in the American system of higher education, seven years represents the threshold for faculty to attain the status of expert and another seven years for them to achieve full rank professor. With that in mind, the question then becomes, why is it assumed faculty leaders can be created with a weekend seminar? Far too often this seems to be the case presented in memoirs and journals examined during this research. The experience from all levels of faculty into administration is typically the same story. McCarthy (2003) suggests,

> The reality of administrative life was not something I was prepared for, and I found little relevant or accessible training available for those who find themselves thrown into the complex world of academic management. As I talk with other administrators, I realize that I am not alone. For those who have come out of the faculty ranks where, presumably, they were respected and attuned to the work, an ambivalence often surfaces in conversation. They find the rewards of administration counterbalanced in large measure by frustration. They are called on to make decisions based on scant information, without the training that would build decision-making skills. They are expected to enforce accountability in an atmosphere where union contracts and tenure make it nearly impossible to perform anything but the most cursory disciplinary actions. Poets are expected to be budget managers; pianists are expected to become strategic planners (pg. 40).

Detter (2016) similarly asserts that no one completes a Ph.D. (as opposed to an Ed.D.) in order to enter campus administration. He goes on to suggest administration is a category of academic work that faculty-reward systems refuse to recognize adequately. Instead, faculty are taught early on
how to value accomplishments as scholars and are taught to choose mentors whose research has distinguished them in their fields.

Kelly (2012) uses Monte Finkelstein as an example to prove the point. Kelly states Finkelstein did not plan to be a leader. He began as a history instructor, gradually took on more leadership responsibilities, and came to his division deanship at Tallahassee Community College through his desire for challenges beyond the classroom and the retirement of the previous dean. “I had been teaching for 21 or 22 years and had sworn never to get into administration. The history program chair wasn’t doing such a good job, so the dean said, ‘Monte, why don’t you do it?’ I said, ‘Fine, I’ll try it out for a while. It will give me something else to do’ because I was kind of getting bored with the classroom,” Finkelstein says (Kelly 2012, p. 4) This example is not uncommon from examples uncovered in discussions with those that took part in this research project.

Recently-appointed administrators are all too often left to fend for themselves, having to learn “on the job” many of the skills they will need to know in order to succeed in their new positions. Is there any way to shorten this “learning curve” for new administrators? What are the special challenges that newly appointed administrators will face, and what kind of advice and considerations should these administrators be given (Buller, 2012)?

Russ Olwell, PhD (2012) writes:

Traditionally, new department heads and administrators were hired and then left to sink or swim. Drawn from the ranks of faculty, many new chairs have virtually no training or resources to draw on in their new role. And as the work of chairs has moved beyond schedules and payroll, the new demands of assessments, program reviews, strategic planning, and mentoring make the job a moving target. In addition, the institutions in which
new chairs and administrators find themselves have changed. Deans, associate deans, and other administrators have crushing demands on their time, including development, grant-writing, and accreditation, leaving less time for answering questions from department chairs, never mind mentoring them (p.16).

Kelly (2012) also writes of the mind-boggling transition due to inadequate preparation, unrealistic expectations, and increased workload can be overwhelming for faculty members making the transition to department chair.

**Other industries and examples**

Due to this gap in literature surrounding faculty management, it is worth examining other professional fields to properly demonstrate the problem that exists when one excels to a management role with no experience. Hill (2003) writes of a branch manager in a securities firm who had been in a new position for one month and at that point he felt intense panic, but there was nothing that could be done. Prior to promotion, the branch manager was a star broker who was aggressive and innovative. Hill presents the case that in the banking industry, branch managers are generally promoted from the ranks for competence and achievements based on their individual contributions.

Gordon (2005), discussing librarians, points out that they enter the profession with the idea of specializing in subfields, only to later do they realize they need to assume management responsibility to move forward in their career. This is similar to that of a faculty on the tenure track.

Another similar role that is not unlike that of faculty administrators is entrepreneurs who become Chief Executive Officers (CEOs). Just as faculty who accept teaching or research position in colleges or universities, Picken (2017) argues entrepreneurs begin their journeys with dreams
of success and financial rewards in mind, and even in successful firms, the odds are against the founder holding top jobs are high due to the inability to broaden leadership styles and behaviors. Drucker (1985) offered:

Unless a new venture develops into a new business and makes sure of being “managed,” it will not survive no matter how brilliant the entrepreneurial idea, how much money it attracts, how good its products, nor even how great the demand for them (p. 188).

When faculty accept their roles as faculty leaders, as suggested in the literature above, there is a lack of knowledge sharing or training on the management aspect of their roles. Similarly, in a study conducted in 1990 on 155 high-tech manufacturing firms, Willard et al. ascertained that unless the founder is replaced or supplemented by “professional” management, performance is predicted to stagnate or decline rapidly.

**Making a connection through healthcare professionals as managers**

Attempting to make a connection to other industries, this researcher drew upon literature of nurses as managers in order to illume the similarities between the nurses and faculty. These connections help to inform the study and offer different viewpoints. Literature suggests most nurses, similar to faculty, receive no management training in nursing school. They too seem to receive little on-the-job training on how to run a unit, while in some cases still assuming duties of a nurse. Comparable to faculty managers, those in healthcare do not assume significant management responsibility during school and in their career. Healthcare leaders are charged with leading multidisciplinary units while still delivering quality service to the clients to meet the expected needs. For nurses, training programs are typically about clinical skills; in faculty setting training is on how to engage with the students in the classroom or on the research aspects of the role. McConnell (2002) argues:
The health care professional who assumes a management role must recognize that he or she is adopting a second and concurrent career of equal importance to his or her primary occupation. Many such managers have considerable difficulty balancing the two sides of the role because most are well trained in their specialties but enter management with little or no preparation for management. Lack of preparation and inadequate understanding of the requirements of the management side of the role lead to discomfort in management matters and in turn frequently cause a manager to seek refuge in being more of a specialist than manager. The most successful managers will be those who develop the ability to appropriately balance the sides of the dual role (p.1).

Townsend et al. (2012) argue there has been a failure of hospitals and other organizations to develop the skills required by employees before they become managers. In a *Harvard Business Review* article, Rotenstein et al. (2018) proposed,

In most professions, the people who demonstrate strong leadership skills are the ones who take on greater leadership responsibilities at progressive stages of their careers. In medicine, physicians not only begin managing and directing teams early in their careers, but they rise through the ranks uniformly. Within the first years of graduate medical training, or residency, resident physicians in all specialties lead teams of more junior residents, as well as other care personnel, without undergoing any formal training or experience in how to manage teams. It is rare for first-year resident physicians (interns) to not become second-year residents, for second-year residents to not become third-year residents, and for senior residents to not become fellows or attending physicians, although each step involves more management. And the span of leadership and responsibility grows once physicians enter independent practice.
Young et al. (2011) conducted a research study that sought to answer the question, “What is the experience of becoming a nurse faculty leader?” The research was conducted on 23 nurse faculty leaders and consisted of interviews on their experiences in becoming a leader. Upon concluding, coding and analyzing the results from the study, Young et al. identified three themes surrounding common shared experiences: being thrust into leadership, risk taking, and facing challenges. Similar to what is understood today of faculty managers, the research revealed nurse faculty leaders, felt their leadership roles were unlooked-for, unexpected, and one they were not prepared for. Some comments included, “I fell into it,” or “I was the most senior.” McConnell (2008) conveys the professionals devote more time and effort to being a specialist in their field because of an aptitude for one specific kind of work.

Undergraduate courses for these healthcare professionals, in the same manner as faculty in higher education, offer little preparation for management. While continuing their day-to-day role, they then have to manage people with limited support. Heler et al. (2004) suggest nurses are unprepared to function effectively due to the placement of nurses into their management responsibilities when they were not ready or prepared for the roles. Harris et al. (2007) described the challenges of MDs and PhDs hired into new medical school faculty roles. There is minimal training in significant areas related to academic responsibilities, but training given in how to treat media outlets and how to research. Harris et al. further suggest most development programs for faculty focus on enhancing the ability of medical professionals to succeed and advance in academics.

Traditionally, hospitals and other healthcare organizations, much like academia, were managed by the elite doctors or nurses. Dickenson et al. (2008) suggested hospitals were decentralized in their management structure, and collective decision-making by peer groups and
professionals was the norm. Managers would be promoted to management positions from within the profession itself, still lacking education focused on the management of staff and all supporting roles of a manager. Kleinman (2003) suggests nursing leaders identified the importance of moving away from promoting nurse managers based solely on clinical expertise and based on the unpreparedness of the administrative responsibility and unit operations.

**Literature on what is being done**

Broadly speaking, the healthcare industry sets very clear standards for what is expected of leaders in professional settings. One competency model by the National Center for Healthcare Leadership (NCHL) addresses the roles and helps to distinguish outstanding performance of healthcare leadership. Mansfield (1996) defines a competency model as a detailed, behaviorally specific description of the skills and traits one needs to be effective. The NCHL strives to be an objective source for healthcare leadership practices to advance industry standards but also leadership. Clark (2010) proposes NCHL's goal is to improve health system performance and the health status of the entire country through effective healthcare management leadership and this has not been the norm found of the research.

Passionate about performance in health organizations and attentive to things for which those who will soon lead are unprepared, NCHL published a set of competencies required for excellent managing across career levels. Prior to establishing these criteria, Anderson et al. (2014) surveyed a sample of chief operating officers and chief human resource officers across health systems to determine the leadership development gaps that exist. Those areas of leadership development include:

1. Strategically aligning leadership development with the goals of the organization;
2. Attracting the selecting leader by investing a communicable concept in leadership brand;
3. Providing developmental experiences by identifying good experience-based learning;
4. Providing performance feedback as it aides in the faster development of those who receive it consistently;
5. Pro-actively planning for continuity and future needs by proactively planning for successors;
6. Developing clinical leadership strength which has shown to be critically important;
7. Monitoring and achieving results which involve having manageable outcome metrics;
8. Preparing new leaders for success by providing a more thoughtful and systematic approach to onboarding their leader;
9. Identifying and developing high potential by identifying emerging leadership needs to prepare future leaders in advance of their needing to take the positions;
10. Developing for diversity and inclusion by giving proactive attention to the diverse individuals comprised in the workforce;
11. Incorporating administrative fellowships to rapidly develop high-potential, early careerists for positions of increasing leadership responsibility.

From the above research by NCHL emerged the Health Leadership Competency Model, which has been one of the few programs the researcher has found that brings awareness to the need of faculty training. Calhoun et. al (2008) suggest there has been a growing interest in competency-based performance systems for enhancing both individual and organizational performance in health professions education. From that need came the competency model for evaluating leadership skills across the professions, including health management, medicine and nursing.

The purpose of the Health Leadership Competency Model was to improve the health status of the entire country through effective health leadership by:
• Establishing core competencies for health leaders at all levels of the career cycle
• Strengthening the practice of health leaders with academic research
• Defining continuous learning opportunities for health leaders
• Increasing the diversity of health leaders (NCHL, 2019)

With health leadership at the core, the model takes the leader through transformation, execution and people as seen in the image below.

Similar to the NCHL, in 2016, The Wharton School of the University of Pennsylvania partnered with Deloitte to launch the Physician Leadership Academy. Dr. Ken Abrams, Chief physician executive and managing director at Deloitte Consulting suggests many people leading the healthcare system to produce quality care for patients are clinical physicians and nurses, so it made sense to have a joint program that linked academic learning to real-world experience. The
academy targets practicing physicians who have taken on increasing responsibility and aspire to be enterprise leaders.

Frich et al. (2015) report that in a study of 45 peer-reviewed articles evaluating outcomes of physician management development programs, there was considerable heterogeneity. The concerns surrounded conceptual frameworks, teaching and learning methods, educational content, evaluation design and outcome measurements. Most programs targeted resident physicians with no formal roles in leadership or those in mid-level management roles. They found no reports on programs for top-level leadership positions. Roughly two-thirds of the studies focused on skill training and technical knowledge and only one-fifth on personal growth and awareness.

The researcher did conduct a search through the Academy of Management (AOM) and could not ascertain any offerings on faculty development in the same manner as NCHL. An October 1, 2014 excerpt from AOM suggests faculty responsibilities have expanded, but faculty impact is still measured primarily by the number of publications in top journals. While healthcare is moving the needle slightly there is more work that needs to be done.

**Conclusion**

The lack of scholarly literature establishes faculty management is an uncultivated topic. The gap that exists in the literature demonstrates there is a lack of understanding and exploration on a multitude of practitioners who transition to management roles unprepared. Although there is still a gap, there has been a growth of healthcare leadership programs and corporate leadership programs, but very little on the role as faculty (Church et al. 2015). This reflects a shift from the belief that physicians become leaders by accident (Bhatia et al, 2015). There remains little independent guidance for practitioners looking to compare practices (Church et al. 2015).
Transitioning into new roles, whether it be an office assistant to an office management role in a Fortune 500 company, or a faculty member who goes from teaching and researching to leading, is not easy. Both scenarios require proper guidance, as well as transfer of knowledge and training on expectations and what success looks like. As the literature demonstrates above, and as this research will demonstrate, there is a lack of preparation to ready academics for the transition to the added role. What is overlooked is the disservice of not providing accurate guidance or any training. This research will provide clarity and narrow the gap in literature. Based on the lack of literature and scarce resources available, there is an increased need to explore the role of faculty managers and the managerial skills given to them. The administrative roles are a relevant part of their jobs, but one that is seldom given sufficient attention.
CHAPTER 3

RESEARCH METHODS AND DESIGN

General Research Methodology

The research employed various methods to assess how faculty administrators step into those roles and the support they gain when they are given roles beyond their teaching and research duties. Hesse-Biber (2010) explains that mixed method research is done by combining two or more qualitative or quantitative methods in a single research study. Hesse-Biber goes on to list five reasons researchers should consider mixed methods:

1. Triangulation refers to the use of more than one method while studying the same research question to examine the same dimension of a research problem.
2. Complementarity allows the researcher to gain a fuller understanding of the problem and/or to clarify a given research result.
3. Development is the third approach, as the results from one method help develop or inform the other methods.
4. Initiation occurs when a study’s findings raise questions or contradictions that will require clarification, thus initiating a new study.
5. Expansion is intended to extend the breadth and range of the inquiry (p. 2-6).

Research methods shape how a researcher proceeds with a study. In this case, the researcher’s methods for data gathering included: 1) Action research 2) Interviews 3) Focus groups 4) Pilot study. The approach for this study was qualitative research for data gathering to establish and collect extensive firsthand knowledge on faculty as managers. The researcher’s combined approach was one used to attempt to understand what the participants went through on their various
journeys. This combined approach is called lived experience, focusing on the point of view of those interviewed. Clandinin (2006) explained:

Narrative inquiry is an old practice that may feel new for a variety of reasons. It is a commonplace to note that human beings both live and tell stories about their living. These lived and told stories and talk about those stories are ways we create meaning in our lives as well as ways we enlist each other’s help in building our lives and communities. What does feel new is the emergence of narrative methodologies in social science research. With this emergence has come intensified talk about our stories, their function in our lives, and their place in composing our collective affairs.

Spending time listening to, reading and digesting the information received during the data collection is critically important. To form conclusions and validate findings, the data was categorized into various themes and subthemes for comparison of the interviews.

**Action research**

Reason and Bradbury (2001) define action research as participatory, democratic process concerned with developing practical knowing in the pursuit of worthwhile human purposes, grounded in a participatory worldview which we believe is emerging at this historical moment. It seeks to bring together action and reflection, theory and practice, in participation with others, in the pursuit of practical solutions to issues of pressing concern to people, and more generally the flourishing of individual persons and their communities.

The action research steps taken included: diagnosing issues, planning actions to address the issues, documenting the actions taken and lastly, reflecting upon the experience and actions taken. Reflections are a necessary they help in further diagnose a purpose in research and other
future action research cycles. Smith (2016) referred to Kolb’s experimental learning model of
reflection, learning through doing which is pertinent.

Maestrini, et al. (2016) argue that data should be interpreted and validated according to the
conscious enactment of the action research cycle. Lewin (1947) describes the action research
process as a spiral of steps, each step consisting of planning, action and fact-finding. The action
research model is depicted as follows:

Using action research, the researcher illustrated how existing work on this topic should
continue to develop. It appeared as follows: When the researcher began exploring this topic, it was
under the assumption that faculty would see faculty management as no problem. Thus, only
administration and staff have the issue. To the surprise of the researcher, all she spoke to supported
the topic and identified its relevance. There were 41 faculty managers interviewed, all from the
sciences and humanities. Fully 100% of them stated that management of people was not what they
went to school for and 93% of those faculty managers stated they did not accept their role at the
university with the goal of doing more than teaching or conducting research. The 7% of those who
accepted positions as faculty managers stated they had previously served as a faculty manager at
other institutions and took similar posts at their present institution. When gathering sources for the
literature review, the researcher was surprised to see the problem was bigger than first assumed.
The minimal scholarly work and the memoirs that supported the feedback from those interviewed
led the researcher to reflect on the significance of the research and the potential impacts which
then led to the next research point of logic trees.

The next phase in the action research process caused the researcher to think about the
constraints that could come out of a topic that was not studied significantly. Eli Goldratt’s theory
of constraints (TOC) looks at management systems and what may limit them in reaching their
goals. The major component of TOC is the thinking processes depicted by a suite of logic trees that provide a roadmap for change, addressing: what to change, what to change to and how to cause this change (Mabin, 1999). TOC was a good process to help determine what the issues were in the faculty management role and why they exist. This was done by mapping out various undesirable effects of faculty being managers, which led to possible interventions, obstacles and accomplishments. Upon review of the map, possible interventions surfaced: new managerial roles, faculty development program (faculty teaching program), faculty evaluated based on staff satisfaction not just research, teaching or grant size. The findings from TOC led the researcher to look at the organizational dynamics, then leading from interviews through the pilot study.

As a result of the interviews and the relationships built, the researcher was invited to attend a faculty academy at a large institution that would be held for six hours over two days. The purpose was for the researcher to observe the work with faculty supporting leadership and management the institution would be offering. The researcher went to the academy hoping to develop an understanding of the training faculty managers receive. However, faculty management of staff was only mentioned once during the two-day period and not even for more than a ten second sentence. This was a pivotal moment in the research, because the researcher realized there is no clear delineation of the staff management the faculty should be aware of. When diversity and inclusion was discussed, it was surrounding how to deal with students in the classroom. When communication was discussed, it concerned how to address emails from parents or students. This reflection point gave the researcher a better understanding of how some viewed faculty leadership. It illustrated that, based on what the researcher gleaned from the seminar, faculty leadership is seen as what happens in the classroom and during research.
Population and Sample

The respondents for this research included faculty managers who were in roles of deans, vice-deans, provosts, and chairs of departments. The respondents also included those in roles of administration who were not faculty managers, but serve as operational resources to the faculty members, including: HR Business Partners, General Council Associates and Finance Directors. The respondents were mostly from a large private institution, however there were a few from small private and small public institutions. The fields in which the faculty performed their management roles varied from the sciences to the arts.

Participation in the study was voluntary. Participants were sought via email and consent to use the information and record the conversations was sought regardless of age or role. All names of the study participants have been redacted to maintain their anonymity. On this basis, permission to use all information gathered was granted by the Institutional Review Board (IRB).

The various methods of research focused on why faculty members accept initial roles with a university; how they become faculty managers; how they are transitioned into faculty management roles; what challenges arise having faculty managers in the role; how the concept of academic freedom/empowerment plays a role in challenges of faculty managers; and how university leadership can respond to, support, and prepare faculty managers to be successful in these administrative roles.

Data Collection Approaches

Interviews

Interviewing is valuable to researchers in many fields (Powney et al., 2018). The purpose of interviews is to explore views, experiences, beliefs and/or motivations of respondents on particular matters (Gill et al., 2008). Taylor et al. (2015) suggest qualitative interviewing is
flexible, dynamic, nondirective, unstructured, non-standardized, and open-ended. Weiss (1995) implies there are considerations in undertaking a qualitative interview study. Interviews offer real depth, allowing for immediate follow-up questions and the ability to probe further. Important steps include: developing detailed descriptions, integrating multiple perspectives, describing processes, developing holistic descriptions, learning about interpretations, bridging inter-subjectivities, and identifying variables and framing hypotheses for quantitative research (Weiss, 1995).

During this study, the researcher personally conducted 41 tape-recorded, face-to-face interviews with various stakeholders from various universities including: Provosts, Vice-Provosts, Deans, Vice Deans, and Faculty Administrators. The researcher also conducted five telephone interviews with Human Resources Professionals who wanted to participate but could not be there in person. Speaking directly to those who are immediately involved or affected by these roles is pertinent to understanding how to address or even comprehend why this issue exists. The phone interviews were also recorded. Prior to any interview, whether face-to-face or over the phone, the researcher explained the purpose of the research, and confirmed the participants were in agreement with recording and having the information shared used in this paper. Recording the interviews allowed entire responses to be captured, ensuring thoroughness.

Creswell (2013) suggests interview questions be “opened-ended, general, and focused on understanding your central phenomenon of study” (p. 163). To start the discussions, the researcher first described the topic and the basis for her interest. The researcher then asked every interviewee the same question, “what comes to your mind when you first heard the topic?” Following this the participants were taken through a series of other questions including the following:

- What is your perspective on this topic?
- How do faculty get selected to get placed into managerial leadership roles?
• Do you see or hear any concerns with faculty in these roles?
• What are your concerns with your role as a faculty manager?
• What do you see being needed to help solve the concerns of faculty in these management roles?
• What support should we offer to those in these roles?

Following the interviews, the researcher took time to reflect on the conversations with the participants. Intrigue and surprise were the first reactions that came to mind, to find that faculty felt and acknowledged what had been just an assumption before speaking to them. Realizing there was deep interest and excitement from the participants that the possible outcomes of the study heightened the value of the research even more. There was a sense of purpose in finding that faculty felt and acknowledged what had been just an assumption before speaking to them.

**Focus groups**

Smither et al. (1996) emphasize the importance of diagnosing sources of an organizational problem as the focus in organizational development (OD) practices. However, in the current OD environment, one must consider dialogic practices. Under the notion of dialogic OD, we learn that there is not always one cause to a problem, so by engaging multiple sources in open dialogue and conversation, more lucrative information may surface. Smither et al. (1996) also proposed that these dialogic interventions are useful in focusing on whole organizations and suggest that this is the most effective way to diagnose and address conflicts. Dialogic OD was a useful approach when it came to further exploring the topic of faculty management.

While conducting individual interviews, the researcher also gathered more information by way of OD interventions and action research. With a group of doctoral colleagues, a focus group with 14 participants was conducted. Unlike simple interviews, focus groups depend on the
exchange of ideas among participants as they do on answers to specific questions (Tolley et al., 2016).

Stakeholders involved the following titles/classifications: eight human resources directors, one attorney, one vice dean, two faculty managers, and two staff members. To get started stakeholder was asked the same set of questions:

- Can you please share with us your views of management at your institution?
- How are expectations set and communicated to faculty?
- What are some obstructions of faculty as management to accomplish the institutional goals?
- How are faculty selected for their roles?
- What type of training do you believe they need?
- Why do you need a faculty management role?
- What needs to change for this role to be successful, and what are the barriers getting in the way of achieving that?

The focus group provided deeper insight than the individual interviews because those involved had an opportunity to hear shared experiences, and they began to offer up similar experiences and shared ideas. The data gathered will be provided in more detail in the findings, however the participants unanimously agreed on the following:

- Faculty management and preparedness to manage is lacking;
- Expectations of the management role are not laid out as clear as they should be;
- Obstructions to faculty are faculty themselves, as well as generational differences;
- Faculty selection was something that just happened to them as part of their career progression.
The focus group allowed the researcher to better understand what non-faculty managers saw as the problem. In the eyes of this this group of participants, the real issue concerning faculty as managers was their feelings of academic empowerment. In other words, what started as the freedom to do and say what one wanted within the confines of the classroom or lab, was carried to the extreme in every area across the institution. The result was a prevailing impression among faculty members that there is freedom from anything external to the teaching or research arenas.

**Pilot study**

Following the interviews and focus groups the research was put into action to test the validity of the answers uncovered as part of the literature, interviews and focus groups. Action research can be defined as an emergent inquiry process that integrates theory and action to couple scientific knowledge with existing organizational knowledge and to address real organizational problems in concert with the people of the system under inquiry (Coghlan, 2011). It is a participatory and collaborative approach aimed at bringing change to organizations, developing competences, and contributing to scientific knowledge through a co-inquiry cyclical process (Coghlan, 2011). During the interview and focus group process, while going through the action research phase and reflecting on the current state, a pilot study was a way to combine all information gathered thus far and to put it to action.

Using the pilot study, the next logical step was to take a real sampling of six faculty managers through a workshop. The aim of a pilot study is to recognize potential problems that may affect the quality and legitimacy of the results. Obtaining feedback from participants in the study helped to ensure the researcher was on the right track with the results found thus far. To test the information, the researcher conducted a pilot study with a group of junior faculty managers to gain more feedback and assess the validity of the topic thus far.
The reasons for conducting individual focus groups and interview sessions, then moving to the pilot study was to get an audience in the room and allow the answers to the questions asked in the other forum to flow organically. The pilot study added an extra layer of validity to the interviews and focus groups, by allowing participants to hear and share lived experiences through the faculty management process. In the pilot study and in this setting, there was no question-and-answer, but rather people speaking up at will and offering different types of responses which allowed for a free-flowing dialogue. In a big group setting, as opposed to one-on-one, more information was obtained via the discussions being held in the room by the participants, but also a forum to gather potential solutions.

The researcher wanted to explore how these individuals were put into their roles, take them through various aspects of managing staff to see if they had prior experience, and hear their thoughts on the topics. This illuminated how administrative professionals feel this problem could be resolved, which will be part of the research discussion below. Through the use of dialogic OD interventions, the program’s aim was to assist faculty in management roles via a three-hour workshop with the goal of establishing a better understanding of the following as identified in the individual interviews:

- Better understanding of the role of a faculty manager of staff
- Self confidence
- Self-development
- Relationship building
- Interpersonal understanding
- Professionalism
Prior to the study, the researcher sent the following email invitation to the participants in advance of the meeting:

We hope to offer you a workshop with tools and skills to help you continue to grow and develop in your roles, leaving with a sense of how to better define your role, responsibilities and required competencies for success as a faculty manager.

The Herrmann Brain Dominance Instrument (HBDI®) is a validated and reliable survey which has been completed by over 2.5 million people worldwide. The HBDI® measures individual thinking preferences in four distinct modes; analytical, structural, interpersonal and strategic thinking. There are no right or wrong answers in the questionnaire, and at times you may have to choose between two equally preferred options. Go with your first instinct.

Your HBDI® Profile will be provided to you in your upcoming session and the report will provide insights into your thinking preferences and as a result, insights into how you approach things like communicating, decision making and problem-solving. The report is confidential unless your consent is provided to share with others.

The pilot study research took three hours, and with the assistance of a professor who specializes in OD work we took the junior faculty through the program, but also used it as an opportunity to gain feedback and answers to the questions asked in the interviews and focus groups. A component of the program also tied in involvement of the NCHL Competency Model 3.0 discussed previously in the literature review, which can also be found in the Appendix (Exhibit A).
Agenda items included:

- Introductions to their roles as faculty managers, including training received and understanding of expectations
- Discussions surrounding leadership versus management
  - Their idea of the role of faculty management
  - Leadership competencies
  - Who they felt they are as a leader
- Whole brain thinking and the impact on leadership and staff experience utilizing HBDI
- Faculty management as managers and the critical skills needed
  - Managing people: selection and onboarding
  - Coaching and Talent Development

Upon conclusion of the pilot, the researcher was able to get feedback from them regarding pilot program by way of a four-question questionnaire. Questions asked of participants were:

- What did you like most about this workshop?
- Do you believe a full/multi-day workshop would benefit the University?
- What other trainings would you like receive in regard to being a faculty manager?
- Are there any additional comments you would like to share?

Following workshop introduction and review of the research topic, the participants where more than eager to share their opinions and real-life experiences. All of them stated their experience was just as presented by the researcher. They took positions in their place of employment to practice medicine and further their field of researcher and then, later on, were told they would be getting a managing role. Some mentioned the fact they were discussing the subject
with other colleagues when they received the invitations to join this focus group. Looking back on the interviews, focus group and pilot study confirmed that the research and the findings were filling a void on the notion of faculty management. The feedback received throughout the entire program and on the questionnaire was further enhanced the researchers understanding of how faculty come in management roles and how they “prepared” to be successful in those roles. Sample questionnaires can be found in Appendix (Exhibit B-E).

**Instrument**

The information was prepared and organized by reviewing the notes and recordings from each of the research methods conducted. This qualitative analysis approach to analyzing the data allowed for immediate reflection on the data and consideration for strategies to collect any additional and more in-depth data the researcher may have need. Taking time to read and listen again to recordings helped bring a different perspective to the remarks and responses from what the researcher first heard. Doing it in such a way not only helped with the familiarization of data but also allowed the researcher to identify thematic trends that emerged throughout the data. During this initial review process, the researcher kept a notebook of those potential themes and related data as it stood out.

Following the initial review and analysis, NVivo, a qualitative data analysis program, was used by the researcher to collate all the data collected. Software such as NVivo, adds rigor to qualitative research through its tools such as the search function which is one of its main assets in interrogation of data. It also adds to the validity of the results by ensuring all instances of a phrase, word, or theme are found (Welsh, 2002). The data was manually entered, and all forty interviews were re-listened to and transcribed manually. Though it was a time intensive process, it allowed the researcher to hear information that may have been missed initially. The researcher was able to
ascertain then a more accurate representation of the information collected by listening and picking up identifiable trends. Reviewing the data this way also helped the researcher to recognize emergent and reoccurring themes from each of the interviews.

Next, still using NVivo, transcriptions of each interview were analyzed and re-read to determine the categories a phrase or sentence should fall into for preliminary coding. Saldana (2011) describes coding as, “our best attempt to cluster the most seemingly alike things into the most seemingly appropriate groups.” The codes were broken down and classified into various groupings, including themes, colors, and job categories to better organize and put descriptive labels on the themes. Coding allowed the researcher to detect sources of disagreement and bias, reducing subjectivity and increasing validity.
Chapter 4  
DATA ANALYSIS AND FINDINGS

Prior to NVivo, the interviews were organized in Evernote on a Macbook. In preparation for the coding process each note and interview was labeled and arranged by the corresponding date, then subjected to thematic analysis. Thematic analysis (TA) is a complimentary method of qualitative data analysis, allowing themes to develop from research questions and the narratives of the participants (Rabiee, 2004). Braun and Clarke (2012) propose TA for systematically identifying, organizing, and offering insight into patterns of meaning or themes across data sets, allowing the researcher to see and make sense of collective or shared meanings and experiences. The analysis of the data obtained in the various research methods followed several steps.

Merriam (2009) suggests a researcher transcribe interviews and recordings which allows for immersion in the data, thus assisting in identifying themes. Ensuring accurate data analysis takes much time because it involves transcribing, coding and interpreting data (Vagle, 2010). Coding and grouping the data into nodes made it easier for themes to stand out to the researcher. Themes that emerged in the interviews, focus groups, and pilot study where clear to see when coded and put in nodes in NVivo. The below table and sunburst both embody the themes that emerged, the number of direct quotes, the number of aggregated quotes, and an example of a demonstrative quote from the theme.

Table 1 summarizes the demographics of the research participants. Table 2 discusses the themes identified through the interviews. The demographic data captured the following: participant gender; participant role within their institution—whether faculty manager or administrative manager; if the participant worked for a large, mid, or small institution; if the individual worked for a private or public institution; if the participant was in a tenured or tenure
track role. The themes came from the analysis of the data collected, in which the researcher determined various trends from the participant’s words, expressions, phrases and opinions.

Table 1

<table>
<thead>
<tr>
<th>Number of Participants in this category</th>
<th>Role</th>
<th>Faculty Manager</th>
<th>Type of Institution</th>
<th>Type of School</th>
</tr>
</thead>
<tbody>
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<td>3</td>
<td>Executive Directors</td>
<td>No</td>
<td>Private</td>
<td>Sciences</td>
</tr>
<tr>
<td>2</td>
<td>Executive Directors</td>
<td>No</td>
<td>Private</td>
<td>Arts</td>
</tr>
<tr>
<td>2</td>
<td>Human Resources Directors</td>
<td>No</td>
<td>Public</td>
<td>Administration</td>
</tr>
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<td>Challenges; issues; reasons why it’s difficult; evaluation system; work load; time management</td>
<td>142</td>
<td>235</td>
<td>Their goals of faculty managers are different than the administration goals. For example, my wife is a faculty administrator and her least important goals are the administrative duties. Not just for her but for those with these duties. When I ask her if it will affect her</td>
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performance, she tells me when she looks at the list of things, she has to do to get promoted, administrative work is last on it. What is important and comes first are the publications, research, teaching hours, grants, etc.

| Faculty as managers is an important topic (theme ties into research question 1) | Initial thoughts; node worthy; | 49 | 151 | You have a massively important topic here! Faculty management is a massive University problem. We don’t have nearly enough leadership talent and that is a generic problem at all Universities. |
| Becoming a faculty manager is not something that is typically planned for (ties into research question 2) | Becoming a faculty manager; why you become a faculty manager; why you accepted the role of faculty manager | 34 | 51 | I fell into it; everyone falls into it. My story is the department needed change and needed a woman. I was the front wave of new hires. I came in, got a lot of grants and went up for tenure early. I received no training on what I was doing at all and I did not mind. |
| There is a sense of no ability to make changes due to history of the | Mandate; academic freedom, tenure | 31 | 30 | In the tenure system, it’s not that the Deans
University setting (ties into research question 2)

| Having the right guidance may be more accepted by faculty managers today (ties into research question 2) | Survey; solution, professional manager; training | 48 | 75 | They need more time before getting put into these roles to get themselves ready for the responsibility. |

Though there were variations of words or phrases answered by the different participants, when coded in NVivo they were constructed into a tree map, sunburst, or word clouds. Each word cloud, pictured below, depicts variations and frequency of the numerous words or phrase that tie into the corresponding research question. The images below depict the codes and various themes developed as the primary process in the data analysis. The coding mechanism ensured inclusion of the various experiences.
Word cloud representing participant answers to the challenges
Word cloud representing participant response to what the solution to this could be
Word cloud representing participant response and why this issue exists
Word cloud representing participant response as to why they accepted the role
Summary of Data Analysis

The gap in literature surrounding faculty management indicates there is little about the career progression and managerial skill development of academic faculty managers. The purpose of the research study was to investigate this notion. This remainder of this chapter will summarize the findings and results of the research methods conducted on various academics and staffers at various universities and colleges by research question.

Research question one

Research question one was designed to determine the points of views of faculty as well as those in other administrative support positions who work alongside faculty and what they understand the role to be. The goal is to gauge if there is any cohesion in those understandings. The question was: How do faculty and those around them understand the roles faculty should perform when they assume management positions? To answer this question, the researcher asked the participants, secondary research questions to fully gain perspective on the roles.

Research question one: Secondary question one

Following the explanation and summary of the purpose of the study, the researcher immediately asked secondary question one: What are your thoughts on my subject? The purpose of this question was to gain insight on the topic from perspectives of those who were close to or lived in those roles daily and reveal any preconceived biases of the researcher. This subject is sensitive, so it was appropriate to ensure there would be no offense taken by participants early in the conversations. A resounding unanimous answer resonated amongst all 65 participants of the interviews, focus group and pilot study. Participants shared interest in the research and a desire to participate and learn the findings of the researcher.
Comments include:

- You are right, it is a big issue. I just don't hear from them unless a terrible issue or if I have to chase them down to get an answer on something.

- It has fascinated me; you are on to something that needs to be researched. I have always walked in a small liberal arts environment and the level in which faculty work is complicated and involves the traditional combination of not only the research, teaching and service but also shared governance and so forth. Across higher education that has been the norm and increasingly so.

- You have a massively important topic here. We hire people, they come here with their heads down, research focused, and maybe ok in the classroom. At some point we expect them to turn into leaders and don't help them turn into that role. We recruit for things that have nothing to do with managing or leadership; this is the right problem now it is how to solve it.

- I have to say that I do not think most faculty are prepared for the management side of administration. It often puzzles me that there is little recognition that what gets someone hired as a faculty member is almost diametrically opposed to what makes them a good administrator!

- While I agree you are on to something and this is an area where we need to help Faculty managers think about how to get through these roles, I disagree that it only has to do with staff. The students are their brand and how they manage can impact their brand, but when they come into these administrative roles, they don’t really know what to do. They get no tools
to support them, but if we all thought about our roles as maintaining our brands and reputations, it would be more important.

- I agree with your notion. For the first time ever, I am managing staff. I don’t know how to navigate through this, there was no onboarding.

- I was just talking about this to another colleague of mine, then I received an email to participant in this pilot. The group of us discussed we each got no formal training, but when we got into the role we realized we needed to know about budgeting, management, how to run labs, how to respond to crisis, how to navigate through the hiring practices, how to have a hard conversation and even when one is necessary.

- I agree it is a big problem. I have my opinion based on real data, has to do a lot with my personal experience having very heavy administrative roles in this university.

Soon after the interviews were concluded, the researcher participated in a research methods conference at which there were participants with no prior experience in higher education, and some who were current professors but had been faculty managers prior. Participants included a registered nurse, a financial advisor who was just three months in the work force, a human resource professional in the healthcare field, a PhD who consulted for hospitals and physicians, a PhD who served as a dissertation coach for doctoral students, a Chief Operating Officer (COO) of a primary school district, an employee of the state of NJ working for the Division of Youth and Family Services, amongst others. The presentation started with the researcher opening the floor up for participant involvement. The question posed was how many of you have ever had an experience, directly or indirectly where you or someone you know had a manager who because they excelled
in their prior role became the boss, not because of prior experience in leading or managing? What was that experience like?

The COO of a school district stated:

I am in the field of education and I have had several managers where they have taught for one or two years. Somewhere during that time, they excelled and became principal and just didn’t understand what it took to lead a school. They were really good teachers but just didn’t know how to transition to more.

A retired police officer shared:

When I was a cop, we saw that all the time. That’s the norm in that line of work. A lot of those who take roles as Chief of Police, even as lieutenant miss the work out in the field, they complain about the politics and paperwork.

A Professor of computer science stated:

In academic fields, you are trained in research and don’t really get a lot of training in even how to teach. They throw you into the room. Your students suffer and you suffer also. Then there is all sorts of committee work that you never knew about, faculty meetings and then staff part of it-I will just send there (the audience shared a laugh).

A skills coach for doctoral students stated:

I have seen a situation where a very successful salesman was made a sales manager and really struggled to lead the group. By himself he was self-motivated found it incredibly difficult to motivate others.

A Professor of organizational dynamics stated:
I do a lot in healthcare and I work a lot with nurses and physician leaders, who when they get into those roles. Nurses want to become leaders but when they do they are not really prepared for what comes with those roles. They suffer to realize that the position of service others is more important than the leadership role they wanted.

The researcher had the opportunity to speak to a faculty manager living in Nigeria while conducting this research. As they discussed work and research, bringing up this topic of faculty management, the Nigerian faculty manager exclaimed:

Oh my gosh, this cannot be the reality in the US! I thought it is only in Nigeria because it is as you describe it, that is how I find my predicament. Thrown in with no knowledge, moving at the tip of my toes until I figure it out alone.

In summary, participants acknowledged the importance of the topic and the need to access the advancement to faculty management positions.

**Research question one: Secondary question two**

Secondary research question two was asked only to those who held faculty management roles in their institutions. The question was what initially brought you to higher education and how did you become a faculty manager. The researcher was attempting to ascertain the foundation of the study; what is it faculty come to academia to do and what is it that deterred them from those paths into taking on management duties? What follows are their reflections.

- This is one I recall as if it was yesterday and today it still baffles me. I started off as an undergraduate faculty member. I learned of an opening at the graduate level and applied. My evaluations over the years where remarkable so I was told I would be receiving a promotion to my current role, which
would include managing of others. It all seemed to happen so fast. Till today I can’t remember being evaluated on my “other duties as assigned.”

- I started my career teaching. I was interested in giving back to my field. Years went by, and I was just cast into this role. I went from teaching in my department and now that and am the Provost.

- I never wanted to be. I was recruited to do research and was told I would be in a top role; I really felt forced and like I had no choice. I literally had just been given tenure, they asked me numerous times and finally I gave in.

- I fell into it; everyone falls into it. I came here to focus on my research. I came into the department and got a lot of grants then went up for tenure earlier than planned. I became grad group chair, received no training and honestly didn’t mind it.

- After receiving my advanced degree, I began teaching. I did not apply but was asked to step in and became a faculty manager of 1000 people so bought a bunch of management books.

- I came to teach and conduct research. One day, I was told I would be getting this role. It was my first time ever managing staff, no idea how to navigate this.

In summary, the discussions with participants about their entry into academia and their managerial commitment gave insight into typical assignments of these roles. Participants identified the typical projection in the tenure system or the work they did being factors that contributed to their faculty manager roles. Shared experiences of the participants revealed similarities in that the majority were not skilled or trained leaders before accepting their roles.
Research question one: Secondary question three

The researcher wanted to understand routine interactions of those who are in administrative roles and also work closely with faculty managers. To do this they asked, in what capacity do you work with faculty managers and what is the interaction or perception you have of them in their faculty manager role? This question was to help better understand how closely and how often the administrator and the faculty corresponded. This would help to frame the biases on the part of the administrator participant and the researcher.

- I work with faculty daily. Often times when I try to implement a new initiative, policy, or even follow up on concerns that came to my attention from staff I am told, ‘This is not a main concern.’ You get push back, they often say they need to focus on the curriculum and students so cannot be taken out of the classroom or from their research that long. They will actually say to take them from those focus points to deal with menial issues (referencing staff issues) will impact the school negatively.

- In my line of work, Professional Development, I have not met one that said, “I want to be a faculty manager.” Faculty management is a specialty that people spend their life honing that they don’t get and have never been exposed to before being placed in those roles. It’s flat out pedagogy-not part of requirements. Then it becomes how do I know how to do all this? How do I know how to put all this together and a launch plan? Some of them have no concept on hiring, how to run a good meeting, how to motivate,
how to give feedback, how to set expectations, time management, project management and how to communicate effectively.

- I work with faculty often. If there are concerns surrounding their staff or vice versa they may seek guidance from me or my peers. My wife is a faculty administrator and her least important goals are the administrative duties. Not just for her but for those with the same duties. To them what is goals are discussed and in writing in relation to promotions or increases are publications, research, teaching hours, and grants they have done. I have had the opportunity to meet and talk to many faculty, both personally and professional and none of these faculty in management roles go through school worrying about managing one day. Nor have I met one that went to any formal business training. They laugh when they are put in these roles and asked to make decisions but no formal type of training on how to broach the subject at hand.

- On a daily basis, they come in complaining because staff ask for feedback, they seem surprised by this. They need to learn how to manage and mentor. There is no systematic preparation when they come into these roles and no accountability if someone is doing a bad job.

- I have the opportunity to work alongside them daily. I have been here ten years and when you call faculty a part of management they recoil. There are people in senior roles who still see their jobs as part time. They don’t put time into it because it’s not top on their list. There is one guy who manages
a billion-dollar enterprise and he sees it as a part time job. It’s the culture of faculty its temporary and an optional add on-to them it’s not their career.

Following the initial interviews, the researcher sat in a meeting of university administrators who support faculty. The discussion of faculty management was brought up and comments made included these two themes and sentiments often heard by the administrators:

- We’ve never done it before and we survived. Why should we start now? There are people who are good at doing the what, but the how is another story.

The remarks of the various administrators appear to have the same tone of the faculty interviewed and the limited literature that does exist—there is a gap and a need for further research into this matter.

**Research question one: Secondary question four**

Sub question four, asked of all participants, was why do you think this practice exists?

- Historically faculty ran the universities and did everything. There was no Administration beyond the faculty. As the world got more complicated staff was added on. The fundamental premise was faculty were in charge of everything. So today they don’t want to do the work, still they want to be in charge of what happens, but forget you need to do it by guidelines.
- It just has always been, it is a part of what academic freedom and privilege.
- Simple, it is an issue of academic freedom. Academic freedom started with the notion of freedom to teach in the classroom and somewhere it became blurred where they feel it is freedom from policy.
• If you are self-supporting, getting grants, publishing papers then no one really cares. It’s academic freedom.
• It’s faculty leading faculty. They don’t know differently, for most if not all its how they got into their jobs, so they don’t know anything different.
• When there is a perception that you are untouchable and nothing is mandated, why wouldn’t it exist.

In summary, the researcher found that the notion of academic freedom plays a large role in why participants feel faculty management is the way it is. As discussed in previous chapters, it was meant to be the freedom to teach without external factors controlling the lessons of the faculty to teach and the students to learn. Academic freedom then expanded to include research and the freedom to explore in the various areas of expertise in their field of study.

Research Question Two

After gaining a better understanding from the literature and points of view of both faculty and those in administration on how faculty managers enter their roles, the researcher wanted to understand how faculty managers navigate those roles. To do so, the researcher asked two questions of the faculty managers: what support or guidance did you receive when you took your role as faculty manager to help you in the managing of staff, support your teaching and research duties? What are possible solutions to assisting you better in your faculty management role would you feel would have better supported you in that role?

Research question two: Secondary question one

To understand the gap in literature and what is offered to support faculty in their management duties the researcher first sought to learn about the guidance and support given when they take on the larger roles. The importance of this was to comprehend why the literature that did
exist and the participant data gathered would have suggested faculty were not ready for the management positions.

- Good question because none of our faculty managers, myself included, received or have the trainings. Not in mine, but in some cases they don't even want to get it.

- I guess I went through the “normal” process. For many I talked to, there was no formal training for them either. This is my first time ever managing staff and I am trying to get through how to navigate this.

- I didn’t receive any but knew I needed it so went out and bought myself books on management so I could navigate the waters.

- I did not receive any but do wish I had access to basic HR training. It should be pushed. Expectations of our faculty roles are pushed, but not the faculty management role.

- I wish there was, but no formal training was given. They don’t make you participant, it comes off as not being important or needed.

- I was paired together for a month with another faculty member but we discussed navigating through the school and not how to manage and what it would entail.

- We do offer a faculty leadership cohort program of sorts. The faculty dine with other senior faculty members who discuss how they get into their roles with them. The faculty that are the participants are able to ask whatever questions they need answers too.
In summary, from the shared insights of the faculty managers who participated in the research, moving to a faculty manager role was a tough transition and often challenging. Faculty preparation when moving into the managerial role did not appear to offer faculty the tools they felt they needed for immediate preparation of their roles.

**Research question two: Secondary question two**

It was important to understand what the faculty felt were reasonable levels of support during the transition to faculty management. When asked possible methods to foster more support, faculty offered the following:

One faculty manager shared thoughts on the importance of development opportunities and having other faculty leading by example being a good way to understand how they could be successful:

- Basic management 101 is needed, we all should go through it. Strong managers know what it is about, it would be nice to take they mentored one starting out. I think often we should have junior faculty shadow faculty managers to get them prepared.

- The support needs to come before they get into these roles. They need to know before they start the job what is expected of them. When faculty go up for evaluations, reappointments or promotions, it should be communicated that thought the scholarly activity does matter, the managerial aspects of the role will have weight in final decisions for the year. Right now we are all evaluated on the same basis as those with zero administrative functions so there is nothing enticing us to perform better.
• Training alone is not always sufficient. There needs to be two pathways towards a possible solution. Possibly professional manager whose only concern is that one job. This role would be coupled with creating a training that looks to nurture and broaden faculty who come in as teaching/research people but overtime they can take on leadership roles overtime. Give them opportunities at getting staffing experience.

• Trainings are the solution, but they must be coupled with consequences. Another idea is to give them indirect relationships with a dotted line to someone in administration who is cognizant of staff need.

In summary, there is consensus that training, mentoring and administrative support in a joint management position would be reasonable solutions to the faculty management dilemma. As mentioned in chapter three the researcher conducted a pilot training program for faculty managers at different levels of their careers. During the pilot the participant feedback received echoed the sentiments of the other participants that did not participate in the pilot. Being ill-prepared and longing for training were listed on all evaluations as evident below in the sampling of examples provided in the attachments.

Action Research Cycle 3 –Faculty Management Pilot Research Workshop Survey examples— from four participants.
• What did you like most about this workshop?
  
  Good introduction & discussion about what trainings would be useful for junior faculty.

• Do you believe a full/multiday workshop would benefit the University?
  Yes

• What other trainings would you like receive in regards to being a faculty manager?
  Project Management
  Further session on priorities that we outlined.

• Please share other comments here:
• What did you like most about this workshop?
  Straight forward - very little jargon
  Very understandable/interesting
  Expanded my thinking

• Do you believe a full/multiday workshop would benefit the University?
  Yes.

• What other trainings would you like receive in regards to being a faculty manager?
  Better awareness of HR resources for employees under us

• Please share other comments here:
  I thought I might be bored, but I had a fun time. It was a very interesting presentation.
• What did you like most about this workshop?
  Thanks for taking the time to care about these issues.

• Do you believe a full/multiday workshop would benefit the University?
  I think it totally depends on the content. I have been to good and bad leadership trainings, so I think a good one would benefit the University.

• What other trainings would you like receive in regards to being a faculty manager?

• Please share other comments here:
  
  0
Summary

Chapter 4 detailed research the insights of faculty managers and those in administration based upon their various experiences. The purpose was to better understand how participants view faculty in managerial roles. The themes identified included: challenges that exist when faculty are in management roles; the belief that becoming a faculty manager is not something that is typically planned for; a sense of helplessness to do anything about faculty managers due to the long-standing
practice within higher education; and the perception that if faculty management had the right
guidance they may be more acceptable of the management role. The conclusion in chapter 5
contains recommendations for further research.

Using NVivo to tie together all the various research methods used by the researcher
provided significant clarity upon further reflection by the researcher. Putting the research down
and seeing the answers coded into clusters from one intervention to the next enhanced and
enlightened the researcher’s understanding as stages passed. From the initial interviews, the
researcher had an understanding that gaps existed in the literature from the point of view of faculty
managers. The focus group then helped to expand the gaps by providing insights from the points
of view of those who are in administrative support roles to faculty managers. Following the
interviews and focus groups, the interventions clicked with deeper reflection as part of the dialogic
OD process. This was gained from the experience following initial interventions in the pilot study,
attending the faculty academy and presenting in the research methods conference. These were the
pivotal points in the research where the researcher’s understanding surrounding the experiences of
faculty managers grew. From state one through the last, the researcher received confirmation that
the gaps and the proposed forthcoming recommendations were relevant and timely.
CHAPTER 5

DISCUSSION OF FINDINGS, IMPLICATIONS, LIMITATIONS AND RECOMMENDATIONS

This research project was undertaken to gain insight into how faculty managers transition into their roles when moving from teaching and research directly into managerial positions without proper preparation or training. The qualitative action research approach taken by the researcher proved appropriate to better understand faculty management and the gaps that exist in the literature. The two research questions that guided the study were:

1. How do faculty and those around them understand the roles faculty should perform when they assume management positions?
2. How do faculty managers navigate their roles as leaders with their teaching and research duties?

Upon reflection, the research represents the most significant contribution to faculty management to date. Working in a university setting and wanting to, one day, end up on the faculty administration side, the researcher has a vested curiosity on the subject and the outcome. The findings of the study are slightly surprising as the researcher did not anticipate the overwhelming consensus by respondents in faculty leadership roles. The research confirmed the accuracy of anecdotal impressions about shortcomings of a process that thrusts faculty members into managerial roles with no real preparation.

Several things stand out to the researcher. When conducting the interviews, the researcher did not anticipate that those who were in faculty administration roles would speak openly about their experiences, much less say that they too felt there was a need for improvement in the practice of promoting faculty into these leadership positions. However, it was not surprising that, during the focus groups, there was no real surprise at hearing frustration from those who must provide
consultation and recommendations to faculty managers. What stood out most was the feedback of those who participated in the pilot. Hearing from newly hired physician leaders about their experiences gave the researcher confidence that this subject merited deeper investigation. Reflecting on the day and reviewing the feedback given provided evidence of the significance of the research and its usefulness.

**Discussion of Findings**

Due to the gaps on faculty management within literature, this research aimed to really get at the core of the faculty management dilemma. The participants were candid about their roles and the challenges they faced when taking on new positions. As discussed in chapter one, a universal challenge is balancing the many hats they wear. After accessing and coding the research, the researcher determined faculty readiness, faculty reluctance, and lack of training to be the reasons behind the faculty management dilemma. The faculty managers interviewed recalled entering their faculty manager role because they were next in line or because they were strongly encouraged to take the role, sometimes multiple times. As seen in the limited literature discussed in chapter two, faculty managers lamenting the lack of training or support in navigating their roles had been a norm for years.

The faculty managers interviewed, when asked about their readiness for the role after initial reluctance, all stated there was no training provided or offered to them for the specific role. Some self-taught by reading books on managing, others learned from bad or good experiences of faculty managers they encountered, and others learned from trial and error. No formal training or introduction to the role was offered in the cases of the faculty managers interviewed, but when discussing what they felt could have prepared them better for their transition into the management role they all felt training would have been beneficial. Seven percent felt also having a non-faculty
administrator to help manage the day-to-day responsibilities would have been very beneficial and without it there was a sense of vulnerability.

Assuming these roles without first grasping the responsibility leaves a heavy burden on the faculty manager. The balance of work (teaching, research and newly managing) with life needs adds stress to their already stress filled roles. One faculty manager said:

I cannot find the time to try to learn a management role, it’s not even part of my performance discussion. I would rather put my time into teaching and my research because that is what really keeps me employed.

The reluctance by non-faculty managers to provide any formal training or support came from the fallacies of the past experiences of faculty. From interviews with the non-faculty managers, all felt training for faculty would not be a suitable or viable option due to the perception that faculty did not desire and would not attend trainings. However, all entry and mid-career faculty interviewed indicated they would have wanted to attend training on how to be successful in those roles right away. All faculty managers interviewed saw the value of providing training opportunities for those going into leadership roles in today’s society, contrary to what their administrative support counterparts felt. Faculty managers stressed the need to offer more for those entering the faculty manager roles, but for it to be done succinctly and covering managing the needs of staff and customer service.

Surprisingly, there was only one faculty manager who discussed any need to incentivize faculty to undergo training. The other 98% felt because the need was so great, faculty would just attend, even without mandating it. The one faculty who mentioned incentives felt:

You have to get to these faculty through their brand and ego. They will care about attending training and how they are managing when it impacts their brand and their
brand is the students. They would do what’s needed for their brand. Incentivize them by giving them some time in the faculty management role and give them a discretionary amount based on how they do. Then they will work hard to do well in these positions.

**Implications**

All faculty managers in this research said their move into their role was unintended and unanticipated, but was one they could not turn down. The results of the various methods of collecting information in this study suggest the development and training of faculty managers when taking on their administrative roles are not weighted as heavy in their professional development as they should be. This suggestion creates an assumption that leadership development and support for certain staff positions with that of their leader is not a priority and leaves cause for concern. The gap in literature and the affirmation of the faculty who serve in the management roles leads the researcher to believe faculty manager roles, and support for them being successful, is not yet happening as it should be. The faculty managers’ perception revealed that there should be greater support offered which could influence future faculty managers into their progression of administration. The research findings have implications for university leadership both in administrative and faculty roles. Now there is data suggesting the need for what was thought unnecessary or unwanted.

**Limitations**

Price and Murnan (2004) define limitations of a study as the systematic bias that could not be controlled by the researcher and therefore could skew the results. The researcher serves in an administrative role at a large institution which could be viewed as a research limitation. However,
none of the researcher’s direct quotes or shared experiences were included in the study or the
findings. Corbin et al. (2015) suggest eliminating early on the potential for research limitations to
better avoid interference of personal beliefs, feelings or opinions to impact findings. The researcher
does have a special interest in this topic since she often encounters problematic situations with
faculty managers as the catalyst behind them. The researcher believes faculty should have
extensive training in not only leadership development but basic human resources management
before leading a team. This is why the research methods conducted included structured interviews
to avoid any personal bias or interpretation by the researcher. Furthermore, the research is limited
by the number of colleges and universities represented in the interviews. Opening the interviews
to a larger group of institutions may enhance the research and findings.

**Recommendations**

Higher education institutions must improve the transition process when a faculty member
goes from teaching and conducting research to managing staff, and help with the assimilation and
integration into faculty management roles. The faculty manager’s responses to how they came into
their roles corresponds to the notation that faculty do not prepare or enter academia for these roles.
Institutions should first start with changing the conceptual framework that faculty have when they
think of themselves as a “leader” and no longer a “manager.” Rather than faculty seeing themselves
as manager, they should be considered faculty leaders. The Merriam-Webster Dictionary defines
manager as a person who conducts business affairs; a person whose work or profession is
management. Faculty do not fit the mold of a manager, and, as discussed in the previous chapter
many don’t see themselves that way. Leader is defined in Merriam-Webster as one who leads.
Leads is defined as to guide on a way; direct on a course or in a direction; to direct the operations,
activity, or performance of. This is what faculty say they are required to do when they first learn
they are assuming additional duties and this is what they must be trained to succeed in. The teaching and research come naturally to faculty leaders at this point, the leading not as much. When they come into these roles, there is an understanding they are already leading in their fields. The responsibility to lead sounds more appealing than the responsibility to manage. Northouse (2016) describes leadership as a process whereby an individual influence a group of people (followers) to achieve a common goal. Once faculty leaders understand the staff share the same goal and are a means to achieve it they may invest more time in that area.

Myers (2012) wrote of a leadership conference she attended at Harvard. In her experience she spoke of shared ideas about leadership from thought leaders in the field. The experience Myers wrote about shaped three fundamental beliefs of leadership:

- Leadership is a function first and foremost of self-knowledge and honest self-reflection. Faculty leaders must be willing to self-reflect which will help in better adapting to the new realities of their roles.

- Leaders do not always have all the answers. The strength of their leadership comes from their willingness to ask the questions. Faculty leaders must be willing to seek and take help or advice on the aspects of leading hey were not prepared for. They must be willing to pioneer a change and new regime of faculty leaders, make it a change from “that is the way we have always done it.”

- Leaders draw from their effectiveness less from what they know or what power they wield, and more from how they make the people around them feel. Faculty leaders must see their brand as not only their teaching and research but also their footprint with their administrative staff in support of their overall brand. These
leaders are willing to step back and get an accurate picture of what is working in their organizations. (p. 11)

This shift to faculty leader is about getting the faculty to embrace the role, it is adaptive leadership. Adaptive leadership is a leadership framework developed in the 1990s by Ronald Heifetz, one of the cofounders of the Center for Public Leadership. Adaptive leadership teaches individuals and organizations to deal with changing conditions through specific processes. This approach focuses not on traits or other characteristics of a leader but on actions of leading. For instance, in an organization, the core practices of the organization are identified, while well-designed experiments test new practices, which are then integrated into the organization (Adaptive Leadership, 2015). Adaptive leadership is about how leaders encourage followers to change when faced with changes. Northouse (2016) suggests that adaptive leadership focuses on the adaptations required of people in response to changing environments. Adaptive leadership often is referred to as complex leadership because it helps to solve complex problems and environments when problems occur, though you may not know what the answer to the problem is.

From the time institutions have faculty start in their teaching and researching roles they are kept them in cocoons until they become butterflies that should be able to fly off on their owns. While in cocoons, butterflies go through a growth process prior to maturing to the point when they are ready for flight, and even then it takes some time before their wings can lift them. Geoffrey Garrett, Dean of the Wharton Business School of the University of Pennsylvania, calls this the Butterfly Effect. Training would be an important step in improving this transition to encompass a new reality filled with leadership responsibility beyond the classroom and the field. Out of all the faculty managers interviewed not one was opposed to the idea, and none stated they were made to attend any training. Mandating and having a message to encourage strong participation in
development and training of faculty management is strongly encouraged. As captured from the interviews with the faculty managers, if training and other development of these roles is not seen as compulsory by other faculty managers or administration, there is less desire for them to take it seriously. We need brave leaders but even more courageous cultures to be willing to make this step an ingrained part of a faculty leader’s trajectory (Brown, 2018).

Mentoring for development should be implemented during the transition of a faculty member into their management roles. The lack of mentoring received by the participants during their transitions contributed to the perception that they had to learn on the job. As participant 61 put it, “I did not know what I did not know, until it came up. Would have been nice to get guidance on the basics.”

Tying the role of faculty management into end of the year goals and performance expectations should be implemented. As stated by participant 48, it is about their brand. If faculty management and their performance in that role is tied to their brand and goals, there would be a shift and different expectation tied to how they perform. In an attempt to develop a faculty management strategy, university administration must develop a task force with diverse university leadership. Establishing such a task force will include groups of those who are not only in faculty management roles, but also those who support these roles to best design the strategy.

Conger (1993) argued that, in times of great transition, leadership becomes important and older models will no longer be appropriate; the approaches to developing leaders will have to change. Organizations will have to be critical in the way training and development is done for future leaders. In the section to follow, a faculty leadership training framework is proposed and is one higher education has been waiting for. It is surmised that the framework provides a needed and timely leadership transition system.
Lastly, revisiting the model of faculty leadership is recommended. Institutions give faculty what they believe to be small jobs; evaluating the effectiveness of this model that has long been in existence may prove to be necessary. Even a simple change like setting prerequisites for a successful interview, such as the ability to answer questions that access sound judgement-making early on. Because schools are not the same and there are significant differences in the mission of a school focused on science versus one with an art or business driven mission, institutions could centralize their process but the questions and list of needed attributes would vary. For example, a business school may want someone who has the ability to discuss and exude business acumen, but a medical school that is focused on patient outcomes and satisfaction may want to use the previously discussed Herman Brain Dominance Instrumental (HBDI) competencies in their interview and hiring decisions.

**Recommended Leadership Training Framework**

To help execute their mission and remain competitive in the classroom and research field, faculty need a leadership academy that stresses aspects of management and administration to aide in becoming well-rounded leaders within their departments. Garcia (2014) revealed five strategies to assist faculty moving into their dean’s positions: psychological preparation, receiving experience, having an understanding of what lies ahead, having a plan, and polishing up on skills. To that end the researcher recommends a faculty leadership academy to assist faculty in getting those strategies. The faulty leadership academy is designed to ensure that those moving into faculty leadership roles or those who currently hold those positions go through rigorous and comprehensive training preparing them to lead staff, manage budgets, and make key decisions. The objectives of the academy will be building leadership acumen and professional development to boost faculty skills when it comes to relationships outside of the classroom with those who are
in a subordinate or peer role. Outcomes are to adjust the ethos of faculty leaders on what it takes to lead an area; impart skills required to lead outside of the classroom and research; develop the knowledge, skills and abilities needed to handle various complexities of being in a leadership role; gain an understanding on how these newly developed skills can help with their overall brand and outcomes. Table 1 illustrates this possible structure.

Table 1: Faculty Academy Outcomes

<table>
<thead>
<tr>
<th>Training Outcome</th>
<th>Sample Training Module Topics</th>
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<tbody>
<tr>
<td>Ethos</td>
<td>• Emotional Intelligence</td>
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<td></td>
<td>• Herman Brain Dominance (HBDI)</td>
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<td></td>
<td>• Thinking Styles Self-Awareness</td>
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<tr>
<td></td>
<td>• Effective Communication</td>
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<td></td>
<td>• Managing Conflict</td>
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<td></td>
<td>• Problem Solving</td>
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<td></td>
<td>• Leading Teams</td>
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<tr>
<td>Business Acumen</td>
<td>• Financial literacy</td>
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<tr>
<td></td>
<td>• Hiring/Onboarding Staff</td>
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<tr>
<td></td>
<td>• Informative Decision Making</td>
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<td></td>
<td>• Priority Setting</td>
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<td></td>
<td>• Strategic Planning</td>
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<td></td>
<td>• Risk Management</td>
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</tbody>
</table>

There will be similar, but separate training offered for those specifically in the sciences, arts and business schools. The academy will be small cohort-based groupings built around tenure in role. Cohort one will be for those starting on their tenure journey and in need of understanding the foundations of one day becoming a faculty manager. Cohort two is for those have been on the tenure track and have been identified as those who are newly appointed into their faculty leadership role and need support and alignment with their newly established duties to ensure alignment and achievement between their roles. Cohort three will be for those who are well into their faculty
leadership roles but could benefit from refresher and polishing of skills. Training will be led by a faculty leadership expert in the area of the participating cohort who exemplifies leadership excellence and has been seen as a role model, in conjunction with organizational development experts. Northouse (2016) suggests despite the multitude of ways in which leadership has been conceptualized, the following components can be identified as central to the phenomenon: (a) leadership is a process, (b) leadership involves influence, (c) leadership occurs in groups, and (d) leadership involves common goals.

Faculty crave methods to support their growth, a framework such as this comes with time away from other duties and time is something all faculty interviewed stated was lacking. The workload and finding time to balance the classroom, research and leadership is already a struggle. To be successful while attending training and to further entice faculty to attend, there should be extra compensation considered for those who seek out and attend the training. The academy would also offer two speeds at which a faculty leader could go through the program: one more gradual which would not take away too much time from their daily work, but would require a longer time commitment; the other would be a shorter time to completion but would be a sacrifice of time away from the office. Concurrently with the faculty academy, a framework geared towards training non-faculty administrative leaders on what they need to better support and help join faculty in leading their teams.

The academy would also incorporate competencies for faculty leaders similar to those identified by Harris et. al. (2007), where they recognized challenges faced by medical school faculty due to how little training they received. Hoffman (1999) studied the various meanings of the word competency and found there were two different modes that applied to the concept. The definition of competency in relation to the faculty academy, as defined in Hoffman’s work, is a set of
performance standards used to measure output of learning, a set of standards to be attained by a worker in a job. To identify a way to provide support to those physicians and medical school faculties they established an advisory group, similar to the faculty leadership academy, that developed delineating competencies required for successful medical faculty. Harris et al.’s (2007) model included competencies from eight categories consisting of leadership, administration, teaching, curriculum development, research, medical informatics, care management, and multiculturalism. Incorporating competencies in the above outcomes will be important for the leadership academy. The faculty leadership academy training will include similar competencies but rather than providing them with tools for being an effective teacher, educator and researcher these would embody leadership and administrative qualities to compliment the effective teaching and research qualities they already possess. It is important for the faculty leaders who go through the academy to learn new competencies, and have clearly set expectations from the start. The competencies for the faculty leadership academy are include:

- Interpersonal and emotional skills: Riggio (2010) defines interpersonal skills as the people skills of leaders, arguing that emotional intelligence, such as the ability to communicate and regulate emotions, is critical to leadership. Ayers, et. all (1999) suggest emotional intelligence at work is the ability to understand yourself and others well enough, which is critical to job success and career satisfaction. Hayes (2002) asserts that we spend a considerable part of our working day relating to others and for that defines interpersonal skills as goal-directed behaviors used in face-to-face interactions in order to bring about a desired state of affairs.

- Conflict management: Conflict is an inevitable aspect of organizational life and behavior, it becomes an embedded barrier to performance, impeding efforts to
improve performance and degrading the motivation and commitment of organizational members to work together effectively (Clardy, 2018). Howard (2005) argues the challenge most companies face is spending time on how to eliminate conflict but companies should put the energy into transforming the conflict into productive relationships and business results. After all, conflict management as a core leadership competency, can contribute significantly to the organization’s success.

- **Effective decision making**: Understanding making decisions is critical for organizations as it involves both cognitive and social processes (Vroom & Yetton, 1973). Heller (1992) states that decision making and leadership are necessary to put forward together for those including scholars, consultants and practitioners as they would benefit from the new flashes of insight.

- **Influence and negotiation**: Norzailan et. al (2016) suggest managers have to rely on negotiation and influence decision making to get things done. Wright (2000) argues that competency can be used to mediate disputes and resolve conflicts.

- **Communication**: Littlejohn and Jabusch (2009) define communication competency as the ability and willingness of an individual to participate reasonably in a transaction in such a way that it maximizes the outcome of shared meaning.

- **Problem solving**: finding creative solutions to problems is a critical factor that allows for a competitive advantage and play a role in a leader’s efforts in enhancing problem solving of their employees (Reiter-Palmon & Illies, 2004).
- Human capital management (HCM): Baron & Armstrong (2007) describe HCM as a strategic approach to people management focused on the issues that are critical to success and adding value.

- Diversity: Managing diversity well would reduce turnover, increase productivity, give an edge in attracting talent, increase marketing and the potential for creative problem solving (Mathews, 2015).

Table 2 provides enhanced understanding of the expectations of the competencies:

<table>
<thead>
<tr>
<th>Competency</th>
<th>Expected outcome of the competency</th>
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</thead>
<tbody>
<tr>
<td>Interpersonal &amp; emotional</td>
<td>Understanding how to treat and respond to others and oneself in different situations and settings outside of normal behavior, with empathy and judiciously.</td>
</tr>
<tr>
<td>skills</td>
<td></td>
</tr>
<tr>
<td>Conflict management</td>
<td>Understand and embrace differences in people, values and opinions. Use that understanding to turn conflict management into constructive encounters.</td>
</tr>
<tr>
<td>Effective decision making</td>
<td>Understand leadership decisions needed to be made to achieve business objectives.</td>
</tr>
<tr>
<td>Influence &amp; negotiations</td>
<td>Understand the power of persuasion and the importance of give and take when it comes to accomplishing goals that can ultimately help with leadership task.</td>
</tr>
<tr>
<td>Communication</td>
<td>Understand the power behind clear and effective communication from one person to another or within a group. Learn how active listening can improve productivity and reduce unconstructive time in situations.</td>
</tr>
</tbody>
</table>
The expected business outcome for university and college administration is better functioning faculty leaders who feel supported and see the investment in their success. This will lead to a bigger branding effort for hiring of faculty into institutions, increased retention of faculty and staff who report into them because of the shift in culture. Lastly, with equipping faculty with the tools and competencies of the academy those in administration will begin to see a slight decrease in human capital related concerns they otherwise once dealt with from those who go through the program.

**Future Research**

Future research should include a qualitative research study similarly focused on the consequences of a faculty leader’s actions on employee engagement, morale and performance. Future research might also focus on the possible effects such as emotional and physical effects of faculty leaders who taken on this extra role. A look into the traits, qualities and characteristics of those who are targeted for faculty leadership roles will be necessary to expand on the development required for administration in determining those tapped for leadership roles. Further research should include a large number of universities, both private and public, but with a focus by specialization. Doing this might reveal trends based on specialization, culture, and variances in the

<table>
<thead>
<tr>
<th>Problem solving</th>
<th>Understand the importance of identifying and analyzing problems to better inform decisions and other possible solutions</th>
</tr>
</thead>
<tbody>
<tr>
<td>Human capital management</td>
<td>Understand the importance of workforce, including goal setting, budgets and staffing.</td>
</tr>
<tr>
<td>Diversity</td>
<td>Understand how a culture of inclusiveness and understanding differences can be leveraged to achieve common mission.</td>
</tr>
</tbody>
</table>
selection of leadership. Understanding whether various types of faculty leaders at different institutions require similar or different skills to be successful would inform future studies. Beyond public and private universities, future research may include looking at those that specialize in research, and those that do not. The underlying assumption is that research institutions prioritize and require different skill sets to be successful.

Since this is the first known in-depth research to propose a framework for faculty leadership this project could be used as a basis to survey faculty leaders and gain insight from a larger group spanning across the country but also internationally since the researcher learned that faculty leadership dilemma spans even to Nigeria. Further interviews would be a good way to assess faculty leadership in more depth.

Conclusion

These research findings provided significant answers to the questions the researcher had on faculty perception of their leadership roles in managing staff and also on what others in administrative roles perceived of them as well. The time spent with the faculty proved that faculty leaders most commonly felt their roles to be ones they were not prepared for, but wished they could receive the preparation and training in advance. The scarce preparation, lack of communication surrounding expectations, and stress associated with managing another full-time job while expected to still complete what you were hired to do was clear from the research findings. In addition to this, the researcher found those who worked closely alongside the faculty managers resoundingly agreed faculty managers would benefit from adequate training to be successful in their leadership roles.
Deeper reflection at the way each faculty member who participated in the research came into their role, indicated there was not time to assess what was waiting ahead of them when they accepted those roles. As mentioned in the findings, some of them felt pressure to accept the roles, some were told it was the next step in their career progress, and some fell into it by chance. With the chance to self-reflect, learn what is expected from them, and the institution’s understanding the needs of what it takes to go into a faculty leadership role, we may see different findings in future research. Undoubtedly, institutions failing to realize leadership is a core skill that needs to be embedded at the core of faculty managers will result in consequences in other areas such as teaching, in the quality of research and the well-being of the faculty leaders. Leadership for faculty is the core of a system that institutions should ingrain in them early on to set them up for success.

Future research will offer an emerging paradigm shift and will fill gaps in the area of faculty management concerning what is being done to support their development, transition, and clearly defining the role and expectations. The findings from this qualitative research proved that faculty managers understand there is an opportunity missed when they transition to faculty manager roles and they have acknowledged this is a need.

It is imperative for an aspiring leader to learn from, grow, and develop his or her leadership style based on experiences that he or she has had. One can either sit idle, or try to change matters. It may require a little hubris to think you can do it, and it may take the mindset of going from somebody who is just an accepting part of an organization to the one who becomes the organization’s change agent.
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APPENDIX A: Interview Questions

Joy Azikiwe Interview Question Template
Faculty as Management Research

Interview questions asked of Non-Faculty Subjects

- What is your perspective on this topic?
- How do faculty get selected to get placed into administrative leadership roles?
- Do you see or hear any concerns with faculty in these roles?
- What are your concerns with your role as a faculty leader?
- What do you see being needed to help solve the concerns of faculty in these management roles?
- What support should we offer to those in these roles?
- Is there anything additional you wish to offer or share?

Interview questions asked of Faculty Subjects

- What is your perspective on this topic?
- How did you get selected and placed into your administrative leadership role?
- What are your concerns with your role as a faculty leader?
- What are the concerns you hear of other faculty in these roles?
- What do you see being needed to help solve the concerns of faculty in these management roles?
- What support should we offer to those in these roles?
- Is there anything additional you wish to offer or share?

Interview questions asked of Faculty Subjects in the Pilot Study

- Can you please share with us your views of management at Penn?
- How are expectations set and communicated to faculty?
- What are some obstructions of faculty as management to accomplish the institutional goals?
- How are faculty selected for their roles?
- What type of training do you believe they need?
- Why do you need a faculty management role?
- What needs to change for this role to be successful, and what are the barriers getting in the way of achieving that?
APPENDIX B: Email request asking for interviews

1) Subject: Support of Faculty Managers

I wanted to email you to see if you had some time to meet and discuss your role supporting faculty in their administrative roles. As I stated, I am working on this topic as part of my dissertation and hearing your comments would be invaluable to my research and proceeding in finding ways to rethink the topic.

Hope to hear from you soon.

2) Subject: Dissertation help needed regarding article you published

I am writing to you because I have been following your [redacted] and have found it very useful to me. I am still trying to narrow my topic for my dissertation. I know I want to do it surrounding the role faculty play when they are put in dual roles of teaching/research and administrators—particularly how it affects the staff that reports into them.

I was wondering if you could point me to any literature that supports the challenges, if you had any advice for me, and if you would mind participating by way of survey sometime down the line?

Hope to hear back.

3) Subject: Time to speak re: Your experience being a Faculty manager

Good morning. Thanks for your support and advice in my dissertation venture—the support is very much appreciated. I was hoping you could sit with me for as brief or long as you would like to discuss my subject of “faculty as managers.” The subject of faculty as managers explores those that are recruited to teach and/or conduct research primarily but also are given managerial responsibility to staff. I would take notes during the meeting but I would not quote him in my final project without his approval.

To give you an idea of what I would like to address, I have put some points below.

My current research is surrounded around gaining a better understanding of the role faculty play or are expected to play as managers of administrative staff. My interest on this topic came from sitting in my current. We often get push back on implementing certain policies or entertaining ideas because we are told “faculty will never do that or go for it.” Consistently we hear from staff that report to faculty and we are told “they are faculty, we need to be careful.” It has been challenging to find literature and research on this specific topic that I would assume would be an area of interest and opportunity for all of higher education.
APPENDIX C: Emails requesting faculty manager participation in mini pilot

Subject: Mini Pilot on Faculty Managers

Hope this email finds you well. In following up with your willingness to serve as a champion in my dissertation endeavors, I would like to test my hypothesis and where I currently am in my work. I was wondering if I could solicit your help once more. I am looking to pull together a 2-3-hour session with a handful of faculty managers who I could take through a training session on faculty management leadership while also getting an understanding of how they came into their roles. If you are willing and able to participate, I would ask you to please provide me with the following:

1. The biggest need you want to address in that three-hour time period
2. List of faculty managers you will be inviting to attend the session (should be a mix of personalities)

If you are in agreement and willing to participate, once I receive feedback from you, I will send an agenda and we can work on the invitation (I can work around their schedule).

Thanks in advance and please let me know if you have any further questions or comments.
APPENDIX D: Email to pilot participants pre-workshop

Dear Faculty Management Workshop Participant:

Thank you for your upcoming participation in the upcoming Faculty Management Workshop and welcome to the world of Whole Brain® Thinking. The art and science of the way people prefer to think. We will use this instrument as part of our workshop on faculty managing.

My name is Joy Azikiwe and I will be working with, from Jefferson.

We hope to offer you a workshop with tools and skills to help you continue to grow and develop in your roles, leaving with a sense of how to better define your role, responsibilities and required competencies for success as a faculty manager.

The Herrmann Brain Dominance Instrument (HBDI®) is a validated and reliable survey which has been completed by over 2.5 million people worldwide. The HBDI® measures individual thinking preferences in four distinct modes; analytical, structural, interpersonal and strategic thinking. There are no right or wrong answers in the questionnaire, and at times you may have to choose between two equally preferred options. Go with your first instinct.

Your HBDI® Profile will be provided to you in your upcoming session and the report will provide insights into your thinking preferences and as a result, insights into how you approach things like communicating, decision making and problem-solving. The report is confidential unless your consent is provided to share with others.

Please follow the instructions listed below for further detail on how to complete the survey, before the listed deadline. Note the HBDI® Questionnaire is approximately 20 minutes.

Instructions to complete HBDI® Questionnaire:

1. To access the HBDI® survey click on the link
2. Complete this by Sunday, so the results can be ready in time for our workshop

Please contact me if you have any questions or concerns about the HBDI® or your upcoming workshop. You are able to view our privacy policy

Looking forward to meeting you all next week.
APPENDIX E: Mini Pilot Agenda

Faculty Management Leadership Workshop

- Welcome and Introductions 10 mins
- Leadership vs. Management
  - Role of Faculty Management
  - Healthcare Leadership Competencies
  - Who are you as a Leader?

- Whole Brain Thinking and the Impact on Leadership and Staff Experience 60 mins
- Faculty Management as Managers Critical Skills 60 mins
  - Managing People: Selection and On-boarding
  - Coaching and Talent Development
- Your Leadership Learning Plan 15 mins
APPENDIX F: Glimpses at some of the mini pilot agenda slides

Agenda

• Welcome and Introductions
• Leadership vs. Management
  • Role of Faculty Management
  • Healthcare Leadership Competencies
  • Who are you as a Leader?
• Faculty Management Leadership Critical Skills
• Whole Brain Thinking and the Impact on Leadership and Staff Experience
• Talent Management & Managing People
  • Selection, On-boarding, Coaching
• Your Leadership Learning Plan
• Next Steps

Learning Objectives

• At the completion of this workshop you will:
  • Be more aware of your thinking styles and the impact they have on others;
  • Be able to flex your style to improve communication and collaboration;
  • Understand better the role of management vs. leadership in relation to your role as a faculty manager;
  • Be able to define your role of faculty manager and leader;
  • Have the ability to discuss healthcare leadership competencies with greater understanding;
  • Be prepared to understand key management processes:
    • Talent Management
    • On-Boarding
    • Talent Selection and Coaching
Today’s Healthcare and Academic Medicine Strategic Imperatives

The rapidly changing field of medicine demands that future physician-leaders excel not only in clinical medicine but also in the management of complex health care enterprises. However, many physicians have become leaders “by accident” and the active cultivation of future leaders is required.
Leadership vs. Management
What Leaders do?

Dr. John Kotter, Harvard
<table>
<thead>
<tr>
<th>MANAGERS</th>
<th>LEADERS</th>
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<tbody>
<tr>
<td>Command employees</td>
<td>Empower employees</td>
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<tr>
<td>Create followers</td>
<td>Create other leaders</td>
</tr>
<tr>
<td>Instill fear</td>
<td>Instill respect</td>
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<td>Evoke obedience</td>
<td>Evoke passion</td>
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<td>Place blame</td>
<td>Seek solutions</td>
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<td>Encourage conformity</td>
<td>Encourage creativity</td>
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<tr>
<td>Punish failure</td>
<td>Accept failure as learning</td>
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<tr>
<td>Play by the rules</td>
<td>Take risks</td>
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<tr>
<td>Provide instructions</td>
<td>Provide vision</td>
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www.thealternativeboard.com
Leadership Vs. Management

Leadership

- Leadership is a function of knowing yourself, having a vision that is well communicated, building trust among colleagues, and taking effective action to realize your own leadership potential. (Bennis, 1996).
- Defining what the future should look like, aligning people with that vision, and inspiring them to make it happen despite the obstacles (Kotter, 1990).

Management

- Management is the art of getting things done through and with people in formally organized groups. Koontz’s book "The Management Theory Jungle".
- According to the Experts, management is a unique and distinctive process consisting of actions of planning, organizing, and mobilization and controlling performed to determine the direction and achieve predetermined objectives through the use of human resources and other resources. May 12, 2016
Servant Leadership

Servant-Leaders are also conscientious stewards of resources. They have good communications with others and exercise ethical persuasion as a means of influence. Servant-Leaders invite others to participate in carrying out a shared vision. They empower people by enabling them to perform at their best and by delegating decision-making responsibilities. Overall, Servant-Leaders provide direction and guidance by assuming the role of attendant to humanity.
National Center for Healthcare Leadership (NCHL) Competency Purpose

As competency-based education, training, and professional development have evolved and progressed over the years, leadership competencies are critical to help respond to:

- Ever-changing challenges of the 21st century
- Ongoing changes in practice environments and requirements
- Development of standard for best practices
- Interdisciplinary communications and interactions
- Peer and self-assessments of performance
- Communication across institutions, departments, service lines, and community-based partnerships
- Long-term planning for human capital development and management as a key organizational asset
- Career growth across health professions and career stages
- Development of accreditation standards and criteria
- Planning of educational and professional development programs across settings — classrooms, workplace, and distance-based formats

A health leadership model adds significant value to the field of management and clinical practice, and to faculty.
Role of Faculty Management & NCHL 3.0 Competency Model

Established in 2001, the not-for-profit National Center for Healthcare Leadership (NCHL) serves as an catalyst to ensure the availability of accountable and transformational leadership for our 21st century healthcare needs. Through its support of interorganizational learning collaboratives, NCHL pursues a vision to improve population health through leadership and organizational excellence. For more information please visit NCHL’s website at [www.nchl.org](http://www.nchl.org).

Refer to handout
National Center for Healthcare Leadership Competency Domains

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<tr>
<th>ACTION DOMAINS</th>
<th>ENABLING DOMAINS</th>
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<tbody>
<tr>
<td><strong>BOUNDARY SPANNING</strong></td>
<td><strong>EXECUTION</strong></td>
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<tr>
<td>Community Collaboration</td>
<td>Accountability</td>
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<tr>
<td>Organizational Awareness</td>
<td>Achievement Orientation</td>
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<tr>
<td>Relationship &amp; Network Development</td>
<td>Analytical Thinking</td>
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<td>Communication Skills</td>
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<td>Communication Skills 2: Speaking &amp; Facilitating</td>
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<td>Initiative</td>
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<td>Performance Measurement</td>
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<td>Process &amp; Quality Improvement</td>
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<td>Project Management</td>
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</table>


NCHL Competencies are Scaled

Complexity and sophistication increase as you move up the levels of behaviors. Some competencies differ at levels 1-5, 1-4, or 1-3.

**Accountability**
- Ability to hold people accountable to standards of performance

1. **Communicates Requirements & Expectations**
2. **Sets Limits**
3. **Demands High Performance**
4. **Confronts Performance Problems**
5. **Creates Culture of Accountability**

Mid-Career Target Level

Compromise levels increase by degree of difficulty
Performance Management Example

**EXECUTION**

The ability to understand and use statistical and financial metrics and methods to set goals and measure clinical as well as organizational performance, commits to and deploys evidence-based techniques.

<table>
<thead>
<tr>
<th>Level</th>
<th>Monitors Indicators of Performance</th>
<th>Level Description</th>
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</thead>
<tbody>
<tr>
<td>1</td>
<td>Monitors a “scorecard” of Quantitative and Qualitative Measures</td>
<td>Tracks financial, customer, quality, and employee performance measures; uses patient and constituent satisfaction scores, as well as demographic and epidemiological statistics to set organizational priorities, plans, and investments; gathers both quantitative and qualitative information on customer perceptions, market positions, and financial viability; tracks high incidence procedures and conditions; establishes procedures based on evidence; reviews medical professional, under- quality reviews; uses measurement systems to determine &quot;early warning&quot; as well as &quot;area window&quot; indicators.</td>
</tr>
<tr>
<td>2</td>
<td>Uses Evidence-based Approaches to Support Community Wellness</td>
<td>Monitors community wellness; Measures organization success by tracking community wellness and performance against national criteria and priorities; Uses advanced warning measures to escalate the movement of people, equipment, and resources; Anticipates community needs; Emphasizes timeliness, effectiveness, and efficiency of services; Advocates for treatment and other care decisions that are evidence-based and patient/customer centered.</td>
</tr>
</tbody>
</table>
APPENDIX G: Email to Pilot Participants

Subject: Thank you for attending the Faculty Manager Workshop

Good evening. I just wanted to take the time and thank you for attending the workshop on Friday. Your attendance was appreciated and added a lot of value to the topic of faculty managers. There is so much more that we did not get a chance to scratch the surface with but as I mentioned, I will be in touch as my work progresses. If you need anything or have any additional suggestions please do not be shy.

[ ] (copied on here) has graciously stated that should anyone want a coaching session for one hour to further discuss your HBDI results she would be willing to do so at no additional cost. Feel free to reach out to her directly.

Thanks again!
APPENDIX H: Pilot program post survey

Faculty Management Leadership Workshop Evaluation

- What did you like most about this workshop?

- Do you believe a full/multiday workshop would benefit the University?

- What other trainings would you like receive in regards to being a faculty manager?

- Please share other comments here:
APPENDIX I: Email from a Librarian regarding various research strategies

Subject: Research Strategies from a librarian to the researcher

I have been racking my brain on your topic. Along with the databases we searched,

Business Source Complete
Education Source
Google Scholar

I did some searching in Proquest Dissertations & Theses Fulltext. The most successful search terms were:
faculty development AND managers
faculty leadership AND development

I have attached a few of the dissertations I found. Dissertations can be a great starting point for literature reviews on a topic, since they are usually fairly exhaustive. Some of the samples I found were for preparing faculty to become department chairs, but I am hoping this still helps! I would recommend searching Proquest Dissertations & Theses Fulltext with some of the other keywords we were searching together, too.

I also did some straight up Google searching and found this document describing a scan of institutions and their training for department chairs, which may be of interest.

http://hrweb.berkeley.edu/sites/default/files/attachments/07academicmanagement.pdf

I know these are not exactly on point with what you were hoping to find, but I hope they help! I will continue to poke around but wanted to share what I was able to find so far.
APPENDIX J: HBDI Faculty mini pilot workshop slides

The Power of “Whole Brain Thinking”
How Your Thinking Preferences Affect Your Leadership Style

In Partnership with

Herrmann International

Jefferson
Global Learning & Diversity Partners
Agenda

- Whole Brain Thinking Fundamentals
- Leadership and Education Applications
- Thinking Skills for the Future
- Individual Profile
- Team Profile
- Application to Leadership, Patient Experience, Change Management
**Thinking Skills for the Future**

<table>
<thead>
<tr>
<th>Disciplinary Mind</th>
<th>Synthesizing/Creating Mind</th>
</tr>
</thead>
<tbody>
<tr>
<td>• Information &amp; knowledge mastery</td>
<td>• Big picture thinking &amp; vision</td>
</tr>
<tr>
<td>• Navigating complex problems</td>
<td>• Risk taking &amp; innovation</td>
</tr>
<tr>
<td></td>
<td>• Visual thinking</td>
</tr>
<tr>
<td></td>
<td>• Reflective thinking</td>
</tr>
<tr>
<td></td>
<td>• Agile &amp; adaptive thinking</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Ethical Mind</th>
<th>Respectful Mind</th>
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</thead>
<tbody>
<tr>
<td>• Management of complex projects</td>
<td>• Collaborating across cultures, functions &amp; companies</td>
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<tr>
<td>• Prioritization skills</td>
<td></td>
</tr>
<tr>
<td>• Driving execution in a changing environment</td>
<td>• Social ‘savvy’ &amp; networking using Social Intelligence/EQ</td>
</tr>
</tbody>
</table>

Developing a Learning Team of Leaders...

“Knowing others is intelligence; knowing yourself is true wisdom.

Mastering others is strength; mastering yourself is true power.”

- Lao Tzu
Application of the HBDI

- Management styles
- Team formation and group processes
- Communication
- Creative problem-solving
- Conflict management
- Personal development
- Marketing, advertising and sales
- Career capability
- Coaching
Herrmann International Clients: “Better Thinking” Has Become Integral To Their Business Cultures

- American Express
- Bank of America
- Blue Cross/Blue Shield
- BMW
- Boeing
- Chevron
- Cintas
- Cisco
- Coca Cola
- Disney
- DuPont
- HBO
- IBM
- Johnson & Johnson
- JP Morgan Chase
- Kaiser Permanente
- Microsoft
- MTV
- Novartis
- Perdue Pharma
- Proctor and Gamble
- Schering-Plough
- Shell Oil
- Target
- 3M
- US Navy
- Wharton
Transforming Culture:
How Organizations are Using Whole Brain Thinking

- IBM - Created the “Thinking Accelerator” to reach global populations and create a common language
- Wharton School of Business - students use WBT to improve communication and build relationships
- Coca Cola - changed the way it viewed its brand and customers
- Navy - bridged the gap between two cultures and realigned employees to appropriate work
Talking about Styles

✓ Purpose is to understand, not label
✓ No one is purely one style
✓ We may use “extremes” for learning
The BRAIN is the Source of:

- Who we are
- What we do
- How we do it

Self-Awareness Of Who We Are
Our Four Different Selves: Scenario

**RATIONAL SELF**
- Analyzes
- Quantifies
- Is logical
- Is critical
- Is realistic
- Likes numbers
- Knows about money
- Knows how things work

**SAFEKEEPING SELF**
- Takes preventive action
- Establishes procedures
- Gets things done
- Is reliable
- Organizes
- Is neat
- Timely
- Plans

**FEELING SELF**
- Is sensitive to others
- Likes to teach
- Touches a lot
- Is supportive
- Is expressive
- Is emotional
- Talks a lot
- Feels

**EXPERIMENTAL SELF**
- Infers
- Imagines
- Speculates
- Takes risks
- Is impetuous
- Breaks rules
- Likes surprises
- Is curious / Plays
Thinking Agility: The ability to consciously and deliberately shift your thinking when and as the situation requires it.
Herrmann Brain Dominance Profile
SAMPLE OCCUPATIONAL PROFILES
Hospital example

A
Upper Left
Logical
Analyzer
Mathematical
Technical
Problem solver

B
Controlled
Conservative
Planner
Organizational
Administrative
Lower Left

C
Interpersonal
Emotional
Musical
Spiritual
Talker
Lower Right

D
Upper right
Imaginative
Synthesizer
Artistic
Holistic
Conceptualizer

MEDICAL
PSYCHIATRISTS
ADMINISTRATION
NURSES
Herrmann Brain Dominance Profile

Average Thinking Styles for Males & Females

Males: 349,674
Females: 265,450

N = 615,124
## Change and the Different Thinking Styles

<table>
<thead>
<tr>
<th>A</th>
<th>FACTS</th>
<th>B</th>
<th>FORM</th>
<th>C</th>
<th>FEELINGS</th>
<th>D</th>
<th>FUTURES</th>
</tr>
</thead>
<tbody>
<tr>
<td>• How will this impact our bottom line?</td>
<td>• Are there specific timelines?</td>
<td>• What is the personal impact of this change in our organization, roles, and my team?</td>
<td>• What will be investment required?</td>
<td>• What the specifics of the change?</td>
<td>• What are the implications for my community and customers?</td>
<td>• What are the financial consequences?</td>
<td>• What's the logic behind the decision?</td>
</tr>
</tbody>
</table>
Impact Of Dominance:
How We See
The World and OD
Your Profile
Quadrant: A  B  C  D
Preference Code: 1  1  2  2
Adjective Pairs: 9  8  4  3
Profile Score: 111  87  35  48

1=Primary preference STRONG
2=Secondary preference MEDIUM
3=Tertiary preference LOW

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Profile Score = Total for each quadrant forming the basis for your profile.
24 Points distributed across the quadrants. Look for your highest points—that is your “back-up” style or style under stress.
Profile Description Triple Dominant

Most comfortable communication approaches may include:

- Black clear and precise info
- Well-structured ideas presented in a logical format
- Step-by-step unfolding of the topic
- Providing an overview
- Using visuals

But may overlook:
- Eye-to-eye contact
- The personal touch and informal style

The most natural problem-solving strategies would include:

- Re-engineering
- Functional analysis
- Localisation
- A step-by-step process
- Time lines
- Modelling

But may not consider:
- Team processes
- Feelings

To make a decision, a person with this profile may ask:
- Do I have all the facts?
- What’s the ‘big picture’?
- Will I be in control?

But may overlook:
- Asking for other’s opinions
- Impact on others
Profile Description – Double Dominance Upper

1 2 2 1

This profile is double dominant with the two primaries in the Upper quadrants, A and D. Individuals with this profile would exhibit strong preferences for logical, analytical and quantitative modes of thinking in the Upper Left A quadrant; in contrast, they would also have a preference for the integrative, synthesizing, creative and holistic aspects of Upper Right D. This profile indicates a clear secondary preference for the emotional, interpersonal processing of Lower Right C and a strong secondary preference for the logical, structured processing of Lower Left B. Individuals with this profile frequently exhibit the organized processing modes of the Lower Left B quadrant, as the situation demands. Occupations typical of this profile include design engineers, financial consultants or advisors (those involved with forecasting, planning, and research and development scientists - particularly physicists). It is also typical of senior executives, financial analysts, and research and development scientists - particularly physicists. Work that is considered a "Turn On" would include: working with others, making things work, being challenged, investing solutions, bringing about change, and integrating ideas.

Most comfortable communication approaches may include:
* No beating around the bush
* Think big picture
* Direct to the point language
* Cluster thinking into idea chunks
* Be accurate and specific
* Use visuals

But may overlook:
* Written schedule and plan
* Having a people focus

The most natural problem solving strategies would include:
* Re-engineering
* Brainstorming
* Modeling
* Sketching
* Research
* Strategic thinking

But may not consider:
* Strict procedure
* Implementation aspects
* Team processes
* Emotional reasoning

To make a decision, a person with this profile may use:
* Do I have all the information?
* Have I seen all the hidden possibilities?

But may overlook:
* Practicality
* Following procedure
* Affecting others
* Intuition/gut reaction
HBDI Profile Examples
Table Exercise

- Review your profile and identify surprises and new insights?
- How might you make decisions?
- Why your profile is relevant on how you may practice midwifery and change management?
Profile Description Triple Dominant

Most comfortable communication approaches may include:
- Well-organized ideas presented in a logical format
- Step-by-step unfolding of the topic
- Explanation in writing
- Empathy for the listener

But may overlook:
- Ideas
- An overview
- Long-term objectives

But may not consider:
- Medium
- New ideas
- Nothing

The most natural problem solving strategies would include:
- Solve matrix
- Gathering facts
- A step-by-step process
- Time lines
- Start processes
- Asking for others input

To make a decision, a person with this profile may ask:
- Be more at the factor
- How will others be affected?
- Will I be in control?

But may overlook:
- The “big picture”
- Unusual possibilities
The Four Selves of Whole Brain® Leadership

**Performance**
- Analyzes
- Quantifies
- Is logical
- Is critical
- Is realistic
- Likes numbers
- Knows about money
- Knows how things work

**Possibilities**
- Infers
- Imagines
- Speculates
- Takes risks
- Spontaneous
- Likes change
- Is curious, playful
- Challenges status quo

**Process**
- Takes preventive action
- Establishes procedures
- Gets things done
- Is reliable
- Organizes
- Is neat
- Timely
- Plans

**People**
- Likes to coach, mentor
- In touch with feelings
- Is sensitive to others
- Is supportive
- Is expressive
- Is emotional
- Likes to talk
- Is personal
Whole Brain Communication Walk Around

A
Critical analysis
Facts - No fluff
Technical accuracy
Goals and objectives
Well articulated ideas
Data - Fact based charts
Brief, clear, precise info

B
Detail time-action plan
Thorough w/references
Rules and procedures
Step by step - Concise
In writing in advance
Contingency plans
No digressing

C
Open, informal discussion
Expressive body & voice
Intros and conversation
Knows effect on others
Know how people feel
Hear & understand all
No hidden agendas

D
Minimal details
Freedom to explore
Metaphors - Visuals
Overview - Big picture
New, fun, imaginative
Conceptual framework
Aligns w/long term strategy
21C Whole Brain® Leadership Competencies

A
- Managing an endless stream of data, facts & information
- Rapid problem solving of complex business & competitive challenges
- Effective financial know-how & global business acumen
- Leveraging new technologies & technical approaches
- "Computational thinking"
- Analyzing new types of global business issues
- Soliciting constructive criticism
- Clear articulation of goals
- Competent & decisive under pressure

B
- Staying on task & focused in a changing world
- Delivering results, implementation & taking action
- Driving flawless execution and quality initiatives
- Just in time planning and deadlines
- Managing conflicting priorities
- Handling complex operational issues
- Managing cognitive load
- Walking the talk
- Consistency and ethics in deed as well as word

C
- Ability to cope with rapid change
- Being broad minded and future focused
- Decision making in a world of great ambiguity
- Intelligent risk taking
- Building a culture where experimentation, innovation & creative thinking thrive
- Thinking with a global, holistic perspective
- Thinking around corners and strategic thinking
- Creating a culture of learning & “fail-fast-fail-cheap”
- Agile, adaptive, novel thinking

D
- Valuing, engaging, empowering and developing a diverse group of constituents
- Inspiring and emotionally intelligent
- Listening and responding to increasing interaction with associates, customers & stakeholders
- Cultural and global dexterity
- Living a customer & service focus
- Collaborating and teaming in a virtual world
- Building shared values in a diverse community
- Attentive to community & environmental issues

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Coaching

**Blues** - measure success on the basis of quantifiable performance, such as money. They ask: How much? When? For how long? etc.

**Greens** - tend to measure success in terms of on-time completion of an event. Did it happen the way it was supposed to? Efficiently? On budget? Were the proper steps followed and completed?

**Reds** - prefer an interpersonal, emotional, feeling and humanistic way of thinking would apply softer measures of success. Were relationships improved? Did meaningful communications take place? Was learning achieved? Was help provided?

**Yellows** - typically measure success in terms of providing problem solutions, and achieving creative “Ahas!” They value achievements that are unique, future-oriented and global in concept.
HBDI and Patient Experience

What is the Patient Experience?
A Patient Experience is an interaction between an organization and a patient. It is a blend of an organization’s physical performance, the senses stimulated and emotions evoked, each intuitively measured against patient expectations across all moments of contact.

Adapted from: Building Great Customer Experiences – Shaw & Ivens

What are the quadrant profiles of healthcare professionals?
ACTIVITY: What are the needs of patients?

**Blue** (A): skills, competences, certification
**Green** (B): Reliability, quality, technology
**Red** (C): Caring, comforting, interactive
**Yellow** (D): Latest thinking, new procedures, problem solving.
<table>
<thead>
<tr>
<th>What Matters to Employees:</th>
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Your Color

- Create a motto for your color
- How do your thinking preferences benefit you as a leader and/or educator?
- Is there a possible “dark side” for your color in practicing midwifery and acting as change agent and OD?
TAKEN AS A WHOLE

Team Profile

THE WORLD IS

A COMPOSITE WHOLE BRAIN
How Do We Communicate and Collaborate?

**Physicians**

Process Flow of Preferences

**Nursing**

Process Flow of Preferences
Residents’ Preferences

Preference Map
“Whole Brain Thinking”

“Your degree of wholeness is the degree to which you are situational”

Not just logic, but also EMPATHY ...what will distinguish those who thrive will be their ability to understand what makes their fellow woman or man tick, to forge relationships, and to care for others.

-Daniel H. Pink
I use not only all the brains I have, but all I can borrow.
Woodrow Wilson
**GROW YOURSELF AND IMPACT THE CULTURE:**

- Solicit feedback from others who represent the full spectrum of thinking styles to more fully grasp the impact of preference biases on their work and engagement.

- Learn to better communicate with others impacted by your thinking style preferences as a leader.

- Practice flexing your style to learn more, meet others needs, and/or to gain new perspectives and ideas.
Questions?