



Academic Leadership Development Program Report

Academic Year 2012-2013

Faculty Career Development Services

August 27, 2013

Anne Marie Canale
Cheryl Herdklotz
Lynn Wild

Executive Summary

Recognizing that the Department Head role is both complex and critical to the effective functioning of RIT, an Academic Leadership Development (ALD) Program was created in Academic Year 2011-2012 based on extensive research and benchmark studies conducted by a team from The Wallace Center, with input and review by Department Heads/Chairs, Deans, and the Provost. A holistic approach to academic leadership development was adopted in order to increase Department Head capability. For complete details on the program, refer to Appendix A: *Academic Leadership (Department Head) Development: Research and Implementation Plan*.

Faculty Career Development Services (FCDS) launched the ALD program in fall 2012, presenting overviews of the main components of the program at Deans' Council (11/6/12) and an Associate Deans' meeting (12/17/12) during fall quarter. In addition, email announcements describing the ALD features were sent to faculty periodically. This Program Report includes a brief overview of the ALD, its components, and recommendations for the future.

ALD Program Components: Background and Status

The ALD Program includes four main components: a department head competency model and performance management framework, leadership development tools and resources, and department head peer group mentoring. The program components implemented and/or piloted this year may be found in Table 1 of this report, followed by recommendations for the ALD program going forward and concluding remarks.

Table 1: ALD Component/Description	Status
✓ DEPARTMENT HEAD COMPETENCY MODEL/PERFORMANCE MANAGEMENT	
The competency model presented in the ALD plan was approved by the Provost and Deans and shared with all academic leadership for performance management and leadership development purposes. It was presented as the basis for the ALD program at overview sessions. It was proposed that the DH competency model be used as one component of annual performance reviews (DH's receive feedback in relation to each competency, and can target Individual Development Plans to close competency gaps)	<ul style="list-style-type: none">Documents were relocated on the FCDS website at http://rit.edu/facultydevelopment for easier access and visibility.It is still to be determined if the DH model will be part of the annual review or plan of work.

Table 1: ALD Component/Description	Status
<p>✓ INDIVIDUAL DEVELOPMENT PLANS (IDP)-includes 360°</p> <p>Each DH completes a confidential self-assessment of their current level of proficiency, relative to the competency model. This assessment and her/his performance appraisal are used to create an Individual Development Plan.</p>	<ul style="list-style-type: none"> Presented overview at Deans' Council (11/6/12) and Associate Deans' meeting (12/17/12). Full launch delayed because of calendar conversion and other commitments. One dean requested a revision of the 360°assessment tool but did not use it this year.
<p>✓ ACADEMIC LEADERSHIP DEVELOPMENT RESOURCE PORTAL</p> <p>Includes a Department Head Resource Portal with tools and materials to help department heads operate and address challenges effectively. Practical guidance on topics such as running meetings, preparing budgets, and working with parents is provided; also contains leadership webinars, books, executive summaries and professional development workshops related to the DH role.</p>	<ul style="list-style-type: none"> Web pages were refined and the entire site migrated to live under the FCDS site in spring, but there is still minimal use. Leaders seemed to like this idea, but there is minimal use based on Google Analytics.
<p>✓ DEPARTMENT HEAD PEER MENTORING</p> <p>Groups of DH meet and network with their peers across Colleges. The nature of the meetings is informal or can focus on accomplishing specific learning objectives the group has defined for itself.</p>	<ul style="list-style-type: none"> Chairs/Directors were assigned to groups of 4-5, mixing new and experienced members with the latter serving as facilitator. Peer mentoring groups launched 10/22/12. Original groups were reorganized based on feedback from the facilitators, faculty needs, and scheduling issues. Feedback from the pilot participants is available in Appendix B.

In addition to the ALD Program Components listed in Table 1, the FCDS team completed the following academic leadership development initiatives in AY 2012-2013:

- Authored a report, *Evaluation of Effective Teaching*, to help Deans in developing plans to evaluate teaching. The report provides recommendations for the evaluation of teaching effectiveness based on a review of benchmark institutions and literature review. (See <http://www.rit.edu/academicaffairs/facultydevelopment/> under “Resources & Services.”)
- Co-hosted guest speaker with CAST, Dr. Kirby Barrick (2 sessions): *A Comprehensive Approach to the Evaluation of Teaching and Peer Observation for Teaching Assessment*.
- Hosted Dr. Maryellen Weimer (3 sessions): *Creating climates that grow teachers and promote learning; Principles that promote career-long growth for teachers; and Constructive feedback: Discovering how your teaching impacts efforts to learn*.
- Began a partnership with the NSF ADVANCE Grant team that will eventually promote and deliver content related to their Human Resources Strategic Approach, *HR2. Launch Leadership and Career Development programming*.

Recommendations

The FCDS team offers the following recommendations for the Academic Leadership Development Program for AY 2013-2014:

Department Head Competency Model/Performance Management

- Determine if the DH Competency Model will be adopted within the colleges.
- If the DH Competency Model is adopted, stress the *importance* and *relevance* of the DH competencies in performance appraisals and plans of work.
- Leverage this model for ADVANCE team leadership and career development components.
- FCDS will continue to host or co-host outside specialists related to action items designed to meet goals determined as priorities from COACHE, Engagement and Climate surveys.

Individual Development Plan/360°

- The IDPs should be aligned with results from the COACHE, Engagement, and Climate surveys and any revision to the DH Competency Model.
- Collaborate with ADVANCE team to determine if feasible to adopt the tool to suit their

needs as part of leadership and career development component(s) of the NSF grant.

Academic Leadership Development Resource Portal

FCDS will continue to update, maintain and refine the site for the next year.

Department Head Peer/Group Mentoring

- Collaborate with ADVANCE team on a different model to build DH peer to peer mentoring relationships.
- Using feedback in Appendix B, collaborate with ADVANCE team to build on and refine this program.
- Redefine and communicate to faculty clear guidelines, roles and responsibilities.

Conclusion

Feedback from COACHE, Engagement and the Climate surveys will be considered as a guide for the future of the program.

Support and commitment from the Provost and Deans (to include components of this program as part of Plans of Work and Performance Appraisals, and aligned with their college's overall strategic plan) is critical if the Academic Leadership Development Program is to be successful and valuable to RIT faculty.

Appendix A: Academic Leadership (Department Head) Development: Research and Implementation Plan

Appendix B:

Department Head Peer Mentoring Program Facilitator Feedback Sessions – December 2012

Appendix C: FCDS Department Head Peer Mentoring Participant Feedback, May 2013



Faculty Development Department

Academic Leadership (Department Head) Development Research and Implementation Plan

Prepared by:
Donna A. Dickson
Margie Mitchell
Jackie Ott
Nick Paulus
Lynn Wild

Academic Leadership Development Overview

Effective leadership in any organization requires a complex set of competencies¹. In the higher education setting this is especially true, given the nature of the university system (Middlehurst, 1993). Yet, individuals are not always selected for leadership positions in the academy based on the competencies required for leadership success. Rather, as Yielder and Codling (2004) found, promotion to senior management positions is most often based on individual contributor expertise, such as research capability.

Professional development is valued in higher education. Faculty members, for example, are given a number of years (seven on average) and multiple supports to develop expertise in their roles, through the tenure process. Most universities, however, fail to apply the same level of rigor to academic leadership preparation. Instead, it is assumed that if you are an effective faculty member, then you are bound to be good (or at least adequate) at being a department chair with no additional development (Wolverton, et al., 2005). Yet the roles require very different competencies.

Table 1 demonstrates that many Department Heads feel unprepared for the primary functions they are expected to fulfill.

Table 1: Areas department chairs felt least prepared for (%) (Wolverton, et al., 2005, p. 232)

RATING SCALE	1 (least prepared)	2	3	4	5	6 (most prepared)	Avg
Legal aspects of role	42.9	23.8	4.8	9.5	14.3	4.8	2.18
Budget	19.0	23.8	19.0	14.3	9.5	4.3	2.39
Balancing demands of position	23.8	23.8	28.6	4.8	9.5	9.5	2.71
Faculty evaluation and supervision	4.8	9.5	23.8	28.6	19.0	4.3	2.76
Building community in department	0.0	9.5	14.3	33.3	23.8	19.0	3.33
Time management	4.8	4.8	4.8	9.5	33.3	42.9	4.66

Given that Department Heads play such a pivotal role, yet are inadequately prepared for the role, it is apparent that investments in Department Head development will have a significantly positive effect on the academy. Determining the framework, content, and format for that development is the subject of this Implementation Plan.

¹ A competency is a characteristic of an employee that contributes to successful job performance and the achievement of desired results. These characteristics include knowledge, skills, and abilities plus other characteristics (often referred to as personal attributes) such as values, motivation, initiative, or self-control.

Competency-based Approach to Development

For decades, organizations of all types have used a *competency framework*, or model for employee development. The Armed Forces, for example, relies on a competency framework for leadership development, as it aligns development and performance management processes, as well as clearly conveys what leaders are expected to do (Horey, et al., 2004). Bersin & Associates characterize leadership development programs that are based on core competencies as being more mature than those that are based on perceived topics of need or interest (Lamoureux, K, & O'Leonard, K., 2009).

Competencies are an effective tool for leadership development in higher education (Spendlove, 2007). A brief review of RIT's benchmark schools (please refer to Appendix 1 for more information) found the following universities have some form of competency development for leaders:

- Carnegie Mellon
- Case Western Reserve
- Cornell University
- Massachusetts Institute of Technology
- Rensselaer Polytechnic Institute
- Syracuse University
- University of Rochester

A cursory search for *any* university using a competency-based approach to academic leadership development uncovered the following universities (please refer to Appendix 1 for more information):

- Central Michigan University
- Florida State University
- Tufts
- University of Minnesota
- University of Wisconsin

A competency framework, or model², defines each required competency for a given job role and provides examples of observable, measurable behaviors an individual would exhibit, if s/he were competent.

It is important to note that a competency model defines those competencies required for a given position and does not include those that are vital for success in the organization as a whole. Certain "core competencies" like honesty and integrity, while important, are not included in a position-specific competency model.

² A competency model is a set of competencies that describe what successful performance in a job role looks like.

The University of Minnesota has developed competency models for all levels of academic leadership. The following excerpt from their framework (for what they classify as Senior Leader Level II) is an effective example of a competency model (University of Minnesota, n.d., p. 2):

<i>Competency title</i>	Operates Strategically
<i>Competency definition</i>	Aligns initiatives with the strategic priorities of the University; determines objectives and priorities; integrates information from a variety of sources to evaluate alternatives; adheres to defined principles when making decisions.
<i>Competency behaviors</i>	<ul style="list-style-type: none">• Defines and articulates a clear vision and priorities.• Aligns the strategic priorities of the unit with the direction and strategic priorities of the broader organization.• Understands and predicts trends that may impact the University and the unit.• Clarifies issues despite layers of complexity and ambiguous information.• Makes decisions using appropriate data.

Academic Department Head Competencies

Success in a Department Head role is especially challenging given the diverse set of responsibilities inherent in the role. A recent webinar conducted by the University Leadership Council (Enyeart, 2011) identified a number of trends leading to the increasing complexity of the academic leadership role, including diminishing resources, increased expectations for accountability, the decline of civility, and heightened tensions between faculty and administration.

According to Gmelch and Miskin (2010), the wide range of department chair responsibilities can be categorized in four distinct areas:

- 1. Faculty Developer**

As a faculty developer, Department Chairs are responsible for recruiting, selecting, and evaluating faculty, and for providing the kind of support that enhances the faculty's morale and professional development.

- 2. Manager**

As a manager, the Department Chair must perform the administrative functions of preparing budgets, maintaining department records, assigning duties to faculty, supervising non-academic staff, and maintaining finances, facilities, and equipment.

- 3. Leader**

As a leader, the Department Chair provides long-term direction and vision, solicits ideas for department improvement, plans and evaluates curriculum development, and plans and conducts departmental meetings. This role also entails providing external leadership for the departments by working with constituents to coordinate department activities, representing the departments at professional meetings and, on behalf of the departments, participating in university committees to keep faculty informed of external concerns.

- 4. Scholar**

As a scholar, the Department Chair may also continue to stay involved in teaching, research and scholarship.

Department Head key competencies as defined in the report, *Developing Academic Leaders* (n.d., pp. 39-41), include:

- Strategic planning
- Management and organization of the department
- Communication
- Enabling a diverse and inclusive department culture
- Managing interpersonal relationships
- Maintain quality standards
- Command of campus policies and procedure
- Recruiting and hiring
- Faculty and staff development
- Resource allocation and budget management
- Fund raising and public relations
- Personal academic accomplishment

Senior-level leaders at a variety of universities in Great Britain were surveyed to identify the competencies required for leadership success (Spendlove, 2007). The results of that investigation are summarized in table 2.

The University Leadership Council (Enyeart, 2011) asserts the following academic leadership competencies are vital:

Managing and Working with People

- Managing Faculty and Staff Performance
- Cultivating Self-Awareness
- Facilitating Effective Teamwork
- Negotiation
- Dealing with Difficult People
- Instilling Accountability
- Managing Conflict

Advancing Unit-Level and Institutional Goals

- Aligning Unit and Institutional Goals
- Advancing Long-Term Objectives
- Managing Change and Transition
- Data-Driven Leadership
- Improving Financial Decision Making
- Strategic Resource Allocation
- Anticipating Financial Impact of Decisions
- Fundraising

Applying a Competency Model

To be used successfully, competency models must be integrated with all human resources practices (Rodriguez, Patel, Bright, Gregory, & Gowing, 2002). According to the Society for Human Resource Development (Krell, 2001), organizations must not treat a competency model as a solution unto itself, rather they must apply a competency model to the full range of talent management processes.

The creation and implementation of competency models is synonymous with strategic talent management (also known as human resource management). A hallmark of strategic talent management is that it focuses on increasing workforce capability rather than on providing training (Sullivan, 2005).

The University of Minnesota (n.d.), as shown in table 2, uses their academic leadership competency model for a number of talent management processes.

Table 2. Applying the Competency Model (University of Minnesota, n.d.)

Employment Phase	Competency Model Use
Selection and Hiring	As basis for interview questions, search committee hiring guidelines, and selection criteria
Promotion	For assessment of employee readiness to be promoted
Performance Management	As framework for performance appraisal
Development	To identify competency gaps (360-degree multi-rater survey and self-assessment) and to develop individualized development plans

Whiddett and Hollyforde (2003) suggest competencies be used to create selection criteria, form the basis for reviewing performance, inform pay and reward decisions, and identify development needs.

Academic Department Head Performance Management

There is a strong relationship between competencies and performance management. In order for competencies to be utilized effectively, employees' level of competence must be appraised (Pickett, 1998, Abraham., Karns, Shaw, & Mena, 2001). In other words, competencies provide a sound foundation for an effective performance management program (Pickett, 1998).

The University of Minnesota uses their leadership competency model for performance assessment. The following is excerpt of their competency-based performance assessment (University of Minnesota, n.d., p. 6):

Operates Strategically

Minimally Effective (1)	Effective (3)	Highly Effective (5)
-------------------------	---------------	----------------------

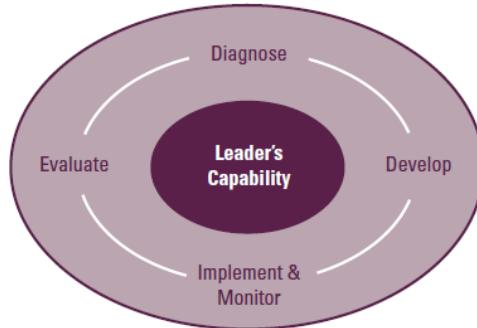
Defines and articulates a clear vision and priorities.

Does not define a vision and priorities that is clear and/or does not share it with others.	Defines and articulate a clear vision and priorities.	Creates a clear, shared vision and sets priorities that balance short-term needs with long-term plans.
---	---	--

Aligns the strategic priorities of the unit with the direction and strategic priorities of the broader organization.

Pursues priorities within own area with little consideration of their fit with strategic priorities of the broader organization.	Aligns the strategic priorities of the unit with the direction and strategic priorities of the broader organization.	Fully aligns and integrates the strategic priorities of own area with the broader direction and strategic priorities; communicates the rationale.
--	--	---

Scott et al. (2008, p. 105) propose a model for academic leadership development (increasing a leader's capability), shown in figure 1. This figure suggests that academic leadership development begin with identifying the gaps in one's capability, such as through a performance assessment process, and then addressing these gaps using a mixture of approaches to leadership development.



Formal leadership development	Practice-based learning	Self-managed & informal learning
<ul style="list-style-type: none"> ■ 360-degree programs ■ higher education leadership seminars ■ leadership programs run by university ■ leadership programs run by external groups ■ L&T conferences ■ completion of a tertiary qualification in leadership 	<ul style="list-style-type: none"> ■ mentoring ■ 'shadowing' ■ work placements ■ exchanges ■ custom-tailored learning programs ■ study of real-life problems & cases ■ visits ■ learning 'on the job' ■ secondments ■ use of 'teaching fellows' 	<ul style="list-style-type: none"> ■ peer group ■ network in university ■ network beyond university ■ internet ■ professional association

Figure 1: Model for Academic Leadership Development (Scott et al., 2008, p. 105)

Academic Department Head Development

Building competence, also referred to as development, can take many forms: training, self-study, shadowing and mentoring, temporary assignments and special projects. By defining Department Head competencies, universities can assess the degree to which individuals exhibit those competencies and identify areas of needed development (gaps).

Research on adult and professional learning shows that the most effective development programs are “ongoing, relevant, focused on ‘real world’ dilemmas and problems common to a particular role; that they involve active learning, are peer supported by people in the same role, and are informed by an overall diagnostic framework that enables people to make sense of what is happening and to learn through reflection on experience and assessing the consequences of their actions” (Scott, Coates & Anderson, 2008, pp. 92-93).

Emerging best practice in academic leadership development, as reported by the University Leadership Council (Enyeart, 2011) includes:

- Year-long, skills-focused learning sessions, with a total of 20-40 contact hours each academic year
- Highly interactive learning sessions, designed with specific learning outcomes and based on sound pedagogy for adult learners, with limited lecturing
- Mentoring programs, including peer mentoring
- Development of a comprehensive resource portal

Reflective practice (most commonly 360-degree feedback) is often mentioned in the literature (Developing Academic Leaders, n.d.; Raines & Alberg, 2003) as a valuable means of development for academic leaders.

Bowling Green State University initiated a competency-based development program for academic chairs and directors. They found it effective to prioritize development efforts, given the busy schedules of Chairs and Directors and limited university resources. To prioritize, they identified the competencies with the highest potential impact on Chair and Director success. The priority order was based on criticality to the role as well as gaps in competence among current academic leaders (Aziz, et al., 2005).

Day's (2000) study of leadership development practices in academic and practitioner domains found the most common methods include:

- 360-degree feedback
- Coaching (often with a professional coach)
- Mentoring
- Peer networks
- Job assignments
- Project-based learning

Scott et al. (2008, p. 97) found the following six academic leadership development approaches are potentially the most effective:

- Learning on-the-job
- Ad hoc conversations about work with people in similar roles
- Participating in peer networks within the university
- Being involved in informal mentoring/coaching
- Study of real-life workplace problems and participating in peer networks beyond the university

Leadership Development Costs

According to the University Leadership Council (Enyeart, 2011b), the average cost to pay an external expert to develop and deliver an academic leadership development training-based program is \$10K-\$12K per one-day session. Use of internal resources for training program design is equally expensive given that an average of 680 staff hours is typically required (Enyeart, 2011b). Delivery costs for an academic leadership training program developed internally, which includes a professional facilitator, materials and refreshments, can equal another \$100,000 annually (Enyeart, 2011b). For these reasons, universities often look to partner with other universities to share the costs, or to purchase a use license for preexisting training materials, which can be customized for the university's culture and competency model. Some universities fund a full-time, permanent position that is focused on the development and delivery of academic leadership program training materials.

In their study of leadership development programs in all business sectors, including education, Bersin & Associates found the cost of such training programs averages between \$533 and \$3,000 per employee (Lamoureux, K., & O'Leonard, K., 2009). Bersin & Associates researchers (Lamoureux, K., & O'Leonard, K., 2009) say the rising costs of leadership development have led to a focus on informal learning, such as mentoring and self-study materials.

Leadership Development Benefits

In addition to considering the significant impact Department Heads have on the university and the resultant benefit from improving capability in this role, universities can expect to see other benefits of investments in Department Head development. For example (Enyeart, 2011a; Enyeart, 2001b):

- Increased Department Head satisfaction with the role leads to improved performance, longer length of service and greater ease of recruiting new Department Heads.
 - Longer length of service reduces recruitment and selection costs.
 - Greater ease of recruiting reduces costs and increases the level of quality in the candidate pool.
- As Department Head capability increases, the number and expense of lawsuits decreases.

Bersin & Associates research shows the return on investment in leadership development is strong, including (Lamoureux, K, & O'Leonard, K., 2009):

- Increased retention
- Higher employee productivity
- Better financial performance

Summary and Next Steps

The Department Head role is both complex and critical to the effective functioning of the university. A variety of competencies are required to execute the diverse functions the Department Head is responsible for, yet selection of individuals for this role is rarely based on these competencies.

Competencies are an effective tool for leadership development in higher education (Spendlove, 2007). State-of-the-art talent management is based on a competency model, which is used to conduct performance assessment and determine development needs.

By adopting a holistic approach to academic leadership development, RIT is more likely to realize an increase in Department Head capability.

Based on the literature review and best practice models, we propose that RIT implement the following components of an Academic Department Head Leadership Development program in the short-term. These components are relatively low-cost and high-impact. In later years, additional components can be added, as recommended in the original report, *Academic Leadership (Department Head) Development: Research and Recommendations, 2011*.

Please refer to table 3 at the end of this section for the preliminary budget and timetable.

1. Competency Model

Based on best practice competency models and RIT's mission, vision, values, and strategy, we propose the following draft Department Head Competency model be adopted. This competency model will be reviewed by Dean's Council and the final version shared with all academic leadership, for performance management and leadership development purposes as described in this section of the Implementation Plan.

Enables Faculty and Staff Success

The competencies in this category relate to the management and support of department faculty and staff.

- Builds talent: Recruits and selects the best and brightest; creates a culture of high-performance; empowers others to succeed
 - Manages search committees to ensure fair and effective hiring decisions
 - Demonstrates a respect for diversity in all aspects of human resource management
 - Sets high expectations for performance
 - Clearly communicates performance expectations, standards, and measures
 - Continually monitors performance
 - Provides authentic feedback related to performance
 - Engages with faculty and staff to identify their career issues and aspirations
 - Provides opportunities for learning and growth
 - Establishes clear “line of sight” between institute strategy and individual responsibilities
- Fosters collaboration: Builds a network of support inside/outside of the department and RIT; builds high-functioning teams; grounds work on shared goals and institute strategy
 - Actively builds a community of support across the university
 - Makes data-driven recommendations and decisions to garner support
 - Is open to feedback and proactively seeks input from others
 - Freely shares expertise and support with others
 - Cultivates partnership inside and outside of RIT
 - Clearly communicates team’s purpose and expected outcomes
 - Provides tools to assist team in effective functioning
 - Models cooperation and mutual support
 - Rallies others around shared goals

Enables Student Success

The competencies in this category relate to ensuring student success.

- Promotes adaptability: Builds an environment that encourages innovation; solves problems effectively; monitors environment to identify emerging trends
 - Encourages appropriate risk-taking
 - Is open to diverse ideas and perspectives
 - Challenges status quo
 - Uses data and other inputs to make informed decisions
 - Evaluates future impact of decisions
 - Actively seeks information on emerging trends
 - Uses information related to emerging trends to make improvements
 - Models flexibility and openness to change
 - Effectively communicates the value and benefits of change
- Builds service excellence: Develops mechanism to continually assess stakeholder needs and expectations; builds and improves processes and systems that deliver highest value to stakeholders; empowers others to create a service culture
 - Continually seeks input from stakeholders
 - Makes needed improvements, based on stakeholder needs and expectations
 - Identifies value-added services and activities
 - Considers how decisions and actions may directly and indirectly affect all stakeholders
 - Holds others accountable for civility and collegiality
 - Sets high expectations for service
 - Recognizes and rewards individuals who demonstrate a service mindset
 - Develops systems and processes that efficiently and effectively deliver needed services to stakeholders
 - Builds consultative relationships with stakeholders

Advances Strategy

The competencies in this category relate to providing leadership in concert with institute and college strategy and goals.

- Operates strategically: Creates alignment between department goals and initiatives and college/institute priorities; creates a compelling vision for department; communicates direction clearly
 - Links activity to goals and priorities
 - Ensures activity is in alignment with institute priorities
 - Clearly defines and continually communicates a vision for department/teams
 - Builds coalitions of support for goals, priorities and vision
 - States and restates expectations, direction, and progress
 - Reduces ambiguity for others
 - Translates strategy into specific plans, with metrics to track progress
 - Continually monitors progress to towards goals
 - Develops and executes contingencies, as needed
- Executes effectively: Improves operations, demonstrates financial acumen; continually develops leadership and functional expertise
 - Balances time spent on planning with time spent addressing daily issues
 - Delegates to others to ensure efficient operation
 - Meets commitments and deadlines
 - Evaluates processes and practices to reduce waste and increase efficiencies
 - Allocates resources and manages facilitates to advance institute priorities
 - Uses sound financial planning and management practices
 - Seeks feedback from all stakeholders to increase self-awareness
 - Actively increases skill and knowledge
 - Operates with the highest level of honesty, integrity, and respect for all

2. Performance Management

We propose that the Department Chair competency model, when complete, be used as one component of annual performance reviews. In this way, each Department Head will receive feedback in relation to each competency, and targeted, individual development plans to close competency gaps can be created.

3. Leadership Development

The initial components of an Academic Leadership Development program for Department Heads that we propose to implement are described in this section of the Implement Plan.

Individual Development Plans (IDP)

Each Department Head will complete a confidential self-assessment of their current level of proficiency, relative to the competency model. This assessment and her/his performance appraisal will then be used to create an individual development plan.

Suggested learning activities for each competency will be provided as a part of the IDP template. For example, RIT courses may be suggested to close competency gaps in skill areas like budgeting; special project assignments may be suggested to close competency gaps in areas like managing change.

Resource portal

A resource portal, available from the Provost website, will be developed to include:

- Links to articles and other resources
- Procedural- and policy-related information
- Templates, such as for common correspondence
- Forms

The content for the portal will be identified in collaboration with the Deans and current, successful Department Heads.

Mentoring

There are two forms of mentoring that will be implemented in support of Department Head development:

1. Peer mentoring

- The collective knowledge base and experience of peers can be comparable to a senior colleague (Moss, Teshima, & Leszcz, 2008, p. 230), so many universities adopt a peer mentoring model for development. In the peer mentoring model, groups of Department Heads meet and network with their peers across Colleges and the University. The nature of the meetings may be informal or focus on accomplishing specific learning objectives the group has defined for itself.

2. Group Mentoring

- Many universities rely on a group mentoring structure for faculty development, where one senior faculty member provides mentoring for a small group of protégés (Tansey & Enyeart, 2009). This same approach will be applied to Department Head development because the group mentoring framework (often referred to as a one-to-many model) is an efficient method for mentoring, especially in environments where the numbers of more senior individuals available or interested in serving as mentors is small compared to the number of individuals needing mentoring.

The format to initiate peer and group mentoring will be the Chair's and Director's meetings.

Rather than using these quarterly meetings to provide information or updates (this can be done via e-mail and/or the resource portal), this time will be focused instead on facilitated, peer and group mentoring.

The meetings will occur two times in each quarter. One of these quarterly meetings will be three hours in length and will include a one-hour, Provost-led component, followed by the component described below. The second of these quarterly meetings will be two hours in length, as described below.

- Only Chairs and Directors will participate to ensure confidentiality.
- Chairs and Directors will be assigned to groups of 8-10 (with a mixture of new and experienced members).
- An experienced and proficient member of each group will be selected to serve as facilitator. Each facilitator will be given a protocol to help them be effective in the role. Each facilitator will guide a conversation related to current issues and challenges as well as a pre-defined topic (Mason, Enyeart, Vlajic, Miller, and Matovich, 2011):
 - Participant share-out is the first agenda item
 - Then, each person is given three minutes to report on current challenges and/or propose burning issues for discussion
 - Issues raised by the group are given primary importance
 - Through facilitated discussion, individuals get suggestions for future action and feedback
 - If time allows, the facilitator will introduce a pre-defined topic, ensuring every meeting has some structure, and therefore provides high value
- Department Heads will be encouraged to continue the peer mentoring process between meetings.
- Facilitators will be given support to conduct additional group mentoring events between meetings.

Table 3: Preliminary budget and timeline

Item	Projected Expense	Timeframe
Development of Department Head competency model	At no cost	Draft complete January 9 Review by Dean's Council and needed revision by January 31
Communication materials for Deans and Department Heads, introducing program components and describing their role and next steps	\$500	Beginning February and continuing in conjunction with implementation of each component
Mentoring (Refocused Chairs and Director's meeting)	\$2,000 (materials development) \$10/participant/meeting for materials and refreshments Quarterly expense (assumes 100 participants) = \$2,000	Launched in spring quarter, 2011-12
Adoption of competencies as one component of annual performance review	At no cost	Complete by March 30 (to be used for 2011-12 reviews)
Department Head self-assessment	\$1,000 (materials development)	Complete by April 15
Individual Development Plan with suggested developmental activities	\$2,500	Complete by April 30 (to be used as part of the 2012-13 Plan of Work process)
Department Head resource portal	\$3,000 (web development)	Complete by May 31
Total expense Fiscal Year 2011-12		\$12,500
Expense each fiscal year thereafter		All development and 3 mentoring meetings \$8,000 2 mentoring meetings per quarter

APPENDIX 1: RIT BENCHMARK SCHOOLS WITH COMPETENCY-BASED ACADEMIC LEADERSHIP DEVELOPMENT

University	Link
Carnegie Mellon	http://www.cmu.edu/hr/learning/forms/LeadershipDev.pdf *Authentication required to access.
Case Western Reserve	http://www.case.edu/provost/ideal/leadershipdevelopment.html
Cornell University	http://digitalcommons.ilr.cornell.edu/cahrs_researchlink/4/
Massachusetts Institute of Technology	http://hrweb.mit.edu/l2l/360-leadership
Rensselaer Polytechnic Institute	http://hr.rpi.edu/update.do?artcenterkey=295
Syracuse University	http://humanresources.syr.edu/staff/nbu_staff/comp_library.html
University of Rochester	http://www.rochester.edu/working/hr/performancemgt/performance_management_guide.pdf

APPENDIX 1: RIT BENCHMARK SCHOOLS WITH COMPETENCY-BASED ACADEMIC LEADERSHIP DEVELOPMENT

University	Link
Central Michigan University	http://www.chsbs.cmich.edu/leader_model/CompModel/OnlineModel.doc
Florida State University	http://ispa.fsu.edu/ial/
Tufts	http://hr.tufts.edu/1205143246620/Human_Resources-Page-hr2ws_1181821444585.html
University of Minnesota	http://www1.umn.edu/ohr/prod/groups/ohr/@pub/@ohr/@toolkit/documents/asset/ohr_asset_263431.pdf
University of Wisconsin	https://www.ohrd.wisc.edu/home/HideATab/FullyPreparedtoLead/OverviewofCompetenciesandLearningModules/tabid/315/Default.aspx

References

- Abraham, S.E., Karns, L.A., Shaw, K., & Mena, M.A. (2001). Managerial competencies and the managerial performance appraisal process. *The Journal of Management Development*, 20(9/10), 842-852.
- Aziz, S., Mullins, M.E., Balzer, W.K., Grauer, E., Burnfield, J.L., Lodato, M.A., & Cohen-Powlless, M.A. (2005). *Understanding the training needs of department chairs*. Studies in Higher Education, 30(5), 571-593.
- Blended learning prepares leaders around the world. (2010). Center for Creative Leadership. Retrieved from http://www.ccl.org/leadership/pdf/solutions/Xerox_Corporation.pdf.
- Day, D.V. (2000), Leadership development: A review in context, *The Leadership Quarterly*, 11(4), 581-683.
- Developing Academic Leaders. (*n.d.*), University of California Irvine, Partnership for Adaption, Implementation and Dissemination Program.
<http://paid.uci.edu/Developing%20Aca%20Leaders.pdf>
- Enyeart, C. (2011a). *Developing academic leaders. Cultivating the skills of chairs, deans, and other faculty administrators, part I*. University Leadership Council. Webinar aired Wednesday, October 12, 2-3pm ET.
- Enyeart, C. (2011b). *Developing academic leaders. Cultivating the skills of chairs, deans, and other faculty administrators, part II*. University Leadership Council. Webinar aired Thursday, November 10, 2-3pm ET.
- Gmelch, W.H. & Miskin, V. D. (2010), *Department Chair Leadership Skills*. Madison, WI: Atwood Publishing.
- Hoppe, S. L., & Speck, B. W. (2003). Identifying and nurturing potential academic leaders. *New Directions For Higher Education*, (124), 3-12.
- Horey, J., Fallesen, J.J., Morath, R., Cronin, B., Cassella, R., Franks, W., & Smith, J. (2004). Competency based future leadership requirements. United States Army Research Institute for the Behavioral and Social Sciences. Retrieved from http://www.hqda.army.mil/ari/pdf/TR_1148.pdf.
- Ketteridge, S., Marshall, S., & Fry, H. (2002). *The effective academic: A handbook for enhanced academic practice*. London: Kogan Page Ltd.
- Krell, E. (2001). Competency modeling meets talent management. Society for Human Resource Development Online. Retrieved November 8, 2011, from <http://www.shrm.org/Pages/login.aspx?ReturnUrl=%2fhrdisciplines%2forgempdev%2farticles%2fPages%2fCompetencyModelingMeetsTalentManagement.aspx>
- Lamoureux, K., & O'Leonard, K. (2009). *Leadership development factbook 2009*. Retrieved November 1, 2011 from http://www.ccl.org/leadership/pdf/solutions/Xerox_Corporation.pdf
- Law, S., & Glover, D. (2000). *Educational leadership and learning*. Buckingham, England: Open University Press.

- Northouse, P. (2007). *Leadership theory and practice*. Thousand Oaks, CA: Sage Publications.
- Mason, J., Enyeart, C., Vlajic, J. Miller, C. & Matovich, K. (2011). Developing academic leaders. University Leadership Council. The Advisory Board Company, Washington. Retrieved from http://www.educationadvisoryboard.com/ulc/report_developing_academic_leaders.asp
- Middlehurst, R. (1993), *Leading Academics*. Maidenhead: SRHE/Open University Press.
- Moss, J., Teshima, J., Leszcz, M. (2008). Peer group mentoring of junior faculty. *Academic Psychiatry*, 32, 230-235.
- Pickett, L. (1998). Competencies and managerial effectiveness: Putting competencies to work. *Public Personnel Management*, 27(1), 103-115.
- Raines, S.C. & Alberg, M.S. (2003). The role of professional development in preparing academic leaders. *New Directions for Higher Education*, (124), 33-39.
- Rodriguez, D., Patel, R., Bright, A., Gregory, D., & Gowing, M. K. (2002). Developing competency models to promote integrated human resource practices [Special issue: Human resources management in the public sector]. *Human Resource Management*, 41(3), 309-324.
- Scott, G., Coates, H., & Anderson, M. (2008). Learning leaders in times of change. The Carrick Institute for Teaching and Learning in Higher Education. Retrieved from http://www.acer.edu.au/documents/UWSACER_CarrickLeadershipReport.pdf
- Spendlove, M. (2007), Competencies for effective leadership in higher education. *International Journal of Educational Management*, 21(5), 407-417.
- Sullivan, J. (2005). *World-Class talent development. How learning organizations align talent development with organizational objectives*. Chelmsford, MA: Kronos Incorporated.
- Tansey, J. & Enyeart, C. (2009). *Models of faculty mentoring: Approaches at six institutions*. University Leadership Council. Washington D.C: The Advisory Board Company
- University of Minnesota. (n.d.). UM Leads. University of Minnesota leadership effectiveness and development strategies. Retrieved from http://www1.umn.edu/ohr/prod/groups/ohr/@pub/@ohr/@toolkit/documents/asset/ohr_asset_263431.pdf
- Whiddett, S. & Hollyforde, S. (2003). A practical guide to competencies. London: CIPD.
- Wolverton, M., Ackerman, R. & Holt, S. (2005), Preparing for leadership: What academic department chairs need to know, *Journal of Higher Education Policy and Management*, 27(2), 227-238.
- Yielder, J. & Codling, A. (2004), Management and leadership in the university, *Journal of Higher Education Policy and Management*, 26(3), 315-328.

Department Head Peer Mentoring Program

Facilitator Feedback Sessions – December 2012

Department Head Facilitators met in November 2012 to provide the Faculty Career Development Services (FCDS) team with feedback on their peer mentoring groups.

Department Head Comments on the Peer Mentoring (PM) Program Design

- The majority of the facilitators felt that the PM program has been valuable and will continue meeting.
- It has been a good opportunity to meet more chairs/department heads campus wide, and to coordinate/collaborate with others.
- Well worthwhile; consensus of their group to continue with meetings; would like to see what other groups are doing.
- Group is comfortable talking; thinks it is a good opportunity; working well for them.
- There is value to this program in just sitting and talking (sharing).
- Good initial response; they are at beginning stages, but positive thus far.
- Just having a discussion is helpful - beneficial knowing others - who to call.
- Enjoyed by chairs as a vital exchange, although needs tweaking.
- Unanimous that all want to hear/share with others to see if similar issues.
- PM design was/is very confusing (title, schedule, semantics).
 - Next iteration – clarify communication around group meetings, times, and logistics.
 - Recommended it be simplified (very complicated to read and understand this round).
 - Venue for the first meeting (after the Provost's quarterly meeting) was not conducive to group/info sharing or collaboration; poor acoustics
- "Mentoring" is not the best name for what we are trying to do/build– should be sharing/learning activity; the PM "facilitator" is not their "mentor"
- Some of their group members felt the PM program is a compliance issue; no value-add for participation
- Recommend less structure to the program going forward
 - One group completely abandoned the structure, but still had fruitful discussions and each felt it was valuable
 - "Problems/Solutions" design was tried at first meeting for one group; facilitator changed structure to general issues about difficulties being a chair and will use that format going forward
- Groups they were assigned to have more *differences* than similarities relative to roles, stages in their careers, etc. (some soon to be retired, new chairs, new to RIT)
- How can we make the quarterly meeting different? Don't want an information dump on C/DH, but actually having discourse to bring up issues

- *Suggestion:* collect topics and pick top 5 to discuss at group table in 30 minutes (assign numbers and break out)

Scheduling Feedback/Suggestions

- A recurring issue: **people are generally overwhelmed**, scheduling is very difficult.
- More connections with the facilitator's group were made using phone
- For those whose groups have not gotten off to a great start for whatever reason (scheduling, resistance, they "don't need mentoring – been a DH for XX years, "etc.), the facilitators will consider joining with other groups or switching membership.
- Two hours is too long (one is enough); suggested that they work with the admins to find common time.
- *Lynn Wild: Flexibility in scheduling your meetings (time, venue) is encouraged so that it works for you and your group*

Organizational Structure/Communication (RIT)

- Communication issues campus-wide: Top down approach is not working; information is filtered by the time it reaches faculty; need unfiltered communication from Deans as faculty end up getting mixed messages, especially with critical policy information such as tenure.
- Faculty would like a way to offer communication 'bottom up' with effective feedback from department heads/chairs. Need to break silo mentality perhaps with grassroots cross-discipline meetings.
- Need a way to have better discourse and be able to bring up issues ..."be able to say what they'd like to say."
- Groups learned that there are many differences between departments relative to organizational structure and roles – varies widely across the institution; many subcultures within the institution
 - Department heads are very different- representing very different sized departments and different numbers of faculty
 - Helpful to define for chairs: Academic leadership vs. Managerial tasks
- Chairs squished between faculty and deans – no resources
- Sees chair/department head role as "matchmaker" across departments or disciplines; a communicator for department (use of 'brag sheet'); Chairs have to be promoters of the department
- Part of their role is to ensure policy current in their department
- Being a former faculty in the department to a department head is a VERY different relationship ... and sometimes awkward.
- Chairs confused about role: What did they think they were signing up for?
- Multigenerational faculty issues/concerns (an issue we can't solve so 'why discuss'; could be a topic to cover)
- C/DH are required to do too much--too many committees outside of the college. Can we just get through semester conversion?

Promotion and Tenure

- New promotion and tenure requirements are not well known – if chairs don't know policy, they can't help faculty prepare. They need tips on how to do so. This is also a communication issue (top-down and filtering issues)
- Note from FCDS: Academic Leadership Portal has information on promotion and tenure policy: <http://www.rit.edu/academicaffairs/facultydevelopment/academic-leadership#Policies> scroll to last section:

Appointment, Tenure, and Academic Affairs Policies

click to expand 

Suggested possible topics for the groups to focus on OR FCDS assist with coordination:

- Multigenerational Faculty Issues
- Succession Planning - Continuum of Support
- Accreditation tips
- Time wasting - meetings and other punishments
- Promotion and Tenure and Chair/Department Head roles (winter quarter event)
- Difference between departments/Organizational structure and chair roles
 - Strategies for 'small departments'
- Time issues and how to cope: related to meetings, untenured faculty time, C/DHs time
- Chair of the Month ... on website to connect on issues highlight mid-level management
- Survey to Chairs (anonymous) to see what are their priorities, issues, concerns to be shared out
- Host 'topical' meetings e.g. new tenure policies or similar FITL track but make specific to an area or college rather than too general

APPENDIX C: Faculty Career Development Services
Department Head Peer Mentoring Participant Feedback, May 2013

1) Did you find the experience of peer groups valuable (why)?

- Nice to have an opportunity to meet other chairs from other colleges--share what issues we deal with. Amazingly similar across departments.
- Yes-info sharing
- Yes. I enjoyed having the opportunity to meet with peers from across the colleges.
- The few times we were able to meet, it was good. None of us had this as a high priority activity so we met infrequently.
- ABSOLUTELY! Just seemed like the right combo of faculty - open and honest discussions.
- Yes, it was good to share experiences.
- Yes. It was good to get differing perspectives related to issues facing chairs.
- Yes. Sharing our experiences related to our roles. The fact that we're not alone is helpful.
- Sharing knowledge/wisdom.
- Yes, sharing ideas, experiences across departments/colleges. Break down the silos.
- Yes - good to get to know leaders across campus to collaborate.
- I love the opportunity but a majority of the group was about to retire and they were not interested.
- Very much! I learned a lot of best practices that I could implement and benefit from.
- Could talk as colleagues and discuss issues -- nonjudgmental
- Potentially so.
- When we got together it was helpful but scheduling was problematic. However, it was not something that provided a high impact.
- Mixed value - one session was valuable but that value was not enough to merit more
- Somewhat
- A little
- Below expectations
- No, because it was scheduled during a time I was in class.
- Way too busy. Difficult to organize and attend.
- No. It did not change my life. I only have time for things that change my life.

2) What did you like BEST/LEAST?

- Sharing issues relative to our jobs
- Meeting new people/group discussions
- The open format/willingness to adapt
- Scheduling was a big challenge/Tie to Provost mtgs made things confusing in terms of schedule
- Scheduling difficulties.
- The opportunity to hear others' concerns and to learn how we had common issues.
- Being able to discuss problems and topics with others. Least: forced meetings with my specific group.
- Mike V. is a great group leader. Able to share and get different perspectives from others.
- Best was hearing practices from across campus. Least was size of group (5). Made it tough to discuss more than one topic with any depth.

- Getting to know new colleagues.
- Group dynamic needs to be rethought.
- It was good to share frustrations
- Best: Ability to learn from others' experiences. Least: Unprepared mentors or mentors not knowing how to start conversation.
- Best: Opportunity to network and brainstorm about issues and solutions for handling an array of issues. Least: scheduling of meetings often difficult unless linked with Provost meetings.
- The group meeting was the best part. The worst part was the inability to find a common date/time that works for everyone.
- Meeting 6+ times was too much, however...(see #3)
- Work together/Talk through scheduling
- Inability to meet as a full group consistently
- Inability to find time which fits schedule (least). 2. Informative and get to know other members of the Institute.
- Best=meeting. Worst=meeting (time issues)

3) Do you want to continue such a program?

- Yes (5)
- Yes - More structured. Set up a discussion group online
- Maybe - hard to find common meeting times
- We should change the format-I like the idea of peer-peer
- I would say perhaps fewer, more structured interactions that support peer conversation
- Volunteer participants who are very aware they are indeed participating.
- I would like to see more clearly defined goals for the discussions.
- Less structure. Some meetings where groups are formed based on show shows up, or topics to be discussed.
- Sure - maybe a clearer structure would/might help with direction and participation.
- Yes. Also include 1 on 1 sessions with facilitators.
- Redesign
- No. *See Suggestion under #5
- Yes. The only way it worked for me was because of my nature to ask a lot of questions (probing).
- Yes. Help us by picking out several dates in advance to avoid conflicts.
- Yes, put this activity online sharing with faculty development page recently shown. Have 2-day national conference here at RIT!
- Not really
- Yes but twice
- I would like to have a pull out conference like we had at U of R about 3 years ago. We could do this over intersession since we need to be here.
- Yes, perhaps less time allotment.

4) Have you used our Department Head Resource Portal or Wiley Institute webinars?

- Yes (2)
- No (13)
- Not really. Checked the Dept Head website briefly.

- Looked at it once or twice.
- Some. Prefer to have hard copies as well.
- Wiley - Yes. Love it.
- Did one Wiley Learning Seminar. It took me 2 hours to get it to work. I'm not planning to go back.
- Not yet but will definitely be using the resources.
- Not yet but will in the near future.
- Not yet but want to No time now.
- Now but it would be beneficial for me as Director of Career Exploration Studies program at NTID. FYI-I am professional staff so it wold be great if it can open up (welcome) me and others to Faculty Career Development Center.
- Yes, often.
- Not yet - will in the summer when I have some time.

5) [Did you like] Linking events to Provost's?

- Yes/Good idea (8 responses)
- Smart move :)
- No problem.
- Okay because otherwise we couldn't find common meeting times
- Provost meeting is a good spot to announce program and recognize participants. But link of mtg upsets scheduling.
- No opinion.
- I think that's the best way to maximize attendance. Today (5/1) unfortunately looks a bit light.
- Reasonable idea but fixed group structure really does not work.
- Good use of scheduling time.
- Makes it tough to be out of office for that long.
- Nothing we have done changed my life. I don't remember anything we discussed.
Suggestion: Toss the technology. Pick a good book on leadership. Have is read it and discuss it over the next academic year.
- Separate it out. For the mentoring event, have a speaker on a topic and break out sessions and focused discussion topics based upon Provost's dept. chair expectations document.
- Excellent idea and addresses the meeting schedule dilemma. Otherwise would be more difficult to schedule outside of this time frame.
- This is crucial because it is perhaps the most centralized aspect.
- Semester? Let's give it a try.
- A way to get attendance
- I believe this may be the one opportunity to get the most people focused on this.
However, even this time slot proved difficult to pull people together. There seem to be too many competing tasks to get people focused. Intersession would be good for conference-like event.