CRITICAL INCIDENTS IN THE TENURE OF HIGHER EDUCATION PRESIDENTS

AND THE COMPETENCIES WHICH DEFINE THEIR LEADERSHIP

By

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ABSTRACT OF THE DISSERTATION

Critical Incidents In The Tenure Of Higher Education Presidents

And The Competencies Which Define Their Leadership

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This study examines presidential leadership in higher education by examining what senior executive leaders define as critical incidents. Specifically, this research explores these critical situations and seeks to identify competencies which are perceived to be present or absent in effective versus ineffective presidential leadership. The study also examines how these leadership competencies map to other competency models/studies in the literature. The research focuses specifically on four-year, private, non-profit, higher education institutions.

This dissertation is framed into six chapters. Chapter I, Introduction, discusses the context of the study, its purpose, significance and rationale, and provides an overview of the plan for the study. Chapter II, Review of the Literature and Analysis, provides a discussion of the distinguishing characteristics of higher education, an overview of

research regarding leadership theory and analysis of general theories' applicability to leadership in the context of higher education. It also offers a review and discussion of the Competency Approach and its application to leadership in higher education. Chapter III, Methodology, provides a detailed explanation of the research questions and the methodological approach, including a discussion about the Critical Incident Technique (Flanagan, 1954), identification and selection of the participants, data collection, and data coding and analysis techniques. Chapter IV, Pilot Study, is an exploratory process to test the approach and methodology of the dissertation proposal and explores initial common themes which may arise during discussions of effective and ineffective presidential leadership in higher education institutions. Chapter V, Results, presents a summary of the findings from the study. Chapter VI, Discussion, provides a thorough examination of the results and includes future directions and identified limitations of the study.

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Table of Contents

List of Tables

Chapter I - Introduction

The Context of the Study: Challenges for Leadership in Higher Education

Why study leadership in higher education? As a number of writers have noted, colleges
and universities are caught at a crossroads of four primary factors: first, public support of
the core value of colleges and universities is eroding (London, 2002); second, significant
declines in key financial support from state, federal, and endowment resources threaten to
undercut the traditional strength, purpose, and contribution of institutions (Newman,
Couturier, & Scurry, 2004); third, continued exponential tuition increases to compensate
for the decline in resources restricts access to the educational experience for those unable
to meet the financial burden of tuition (Lawrence, 2006); and, lastly, there is a growing
concern over the preparation and ability of future leaders to effectively respond to the
evolving profile and challenges of higher education (Morrill, 2007). As Bolman and
Gallos (2011) explain, leaders in higher education are under "tremendous pressure to
initiate change and to embrace an entrepreneurial mindset in order to keep pace with
rapidly evolving conditions" (p. 6). After the financial crisis of 2008, many institutional
budgets suffered significant cuts due primarily to diminishing endowment returns and
reductions in public subsidies (Bolman & Gallos, 2011). In their examination of key
policy and national societal implications for higher education, Bolman and Gallos (2011)
assert that colleges and universities will "face pressures from multiple fronts to become
more accountable, businesslike, and market-oriented in service to individuals,
government and industry" (p.6). As such, the implications for leadership in higher
education will include dramatically changing demographics, profound technological

shifts, formidable competition from virtual and for-profit universities, and pervasive

concerns that higher education falls short in providing today's citizens and tomorrow's

workforce the necessary skills to meet the challenges of the twenty-first century (Bolman

& Gallos, 2011).

These challenges and changing conditions present a need for researchers to focus greater

attention on the role of leaders within higher education in general and the impact they

have on their institutions, schools, and departments (Fullan & Scott, 2009; Morrill, 2007).

Further exploration of leadership in this context is needed in order to deepen our

understanding of the challenges, complexities and most appropriate response strategies.

The need to explore leadership in greater depth also presents an opportunity for scholars

to identify what precisely defines effective leadership in higher education.

Statement of Purpose: The Need to Study Higher Education Leadership

While a number of writings have explored leadership more broadly and suggest a great

and growing need for additional research, there still remains a lack of clarity and

cohesiveness in defining what is meant by "leadership" (Harper & Jackson, 2011;

Lawrence, 2006). As Bligh and Mendl (2005) argue, "Whether as citizens, professionals,

or volunteers, people want to understand the meaning of effective leadership and how to

practice it" (cited in Morrill, 2007, p.3). In his earlier work, Burns (1978) notes that

leadership is "one of the most observed and least understood phenomena on earth" (p.2).

Bennis and Nanus (1985) found that, "decades of analysis of the literature and thousands

of empirical investigations have given us at least 350 differing definitions of leadership -

still with no clear view of what distinguishes an effective leader from an ineffective

leader" (p.14). According to Fairhurst (2007), "there are good reasons for this

inconsistency" (p. vii), most importantly because leadership takes place "amidst a

tremendous amount of situational variability" (p. vii).

Although many leadership principles are applicable in various organizational contexts,

some writers suggest the leadership environment within higher education is unlike other

organizational types that are explored and tested in general leadership literature (Altbach,

Gumport, & Johnstone, 2001; Birnbaum, 1990; Bolman & Gallos, 2011; Slaughter and

Rhoades, 2004; Thelin, 2004). In particular, at least two gaps could be identified in the

applicability of current leadership scholarship to the higher education context. One gap

could be found in the unique structural and cultural factors that differentiate the United

States system of higher education from other organizational settings. For example, in the

academic setting, leadership takes place within a framework where organizational units

have shared functions and responsibilities without direct hierarchical reporting dynamics.

This is referred to as loosely-coupled structural governance models (Weick, 1976).

Additionally, higher education leaders must interact with a wider range of stakeholders

than leaders in most if not all other institutions, including students, alumni, faculty,

businesses, private foundations, donors, governmental agencies, etc. These, often-times

conflicting, multiple stakeholder interactions and the loosely-coupled governance models

present a number of leadership challenges such as in reporting relationships, decision-

making authority, accountability, organizational flexibility and timeliness in response to

emerging trends (Birnbaum, 1988, 1992; Weick, 1991). One study found that, in the

higher education governance models with multiple stakeholders, "decision making is

spread among trustees, presidents, and faculty, and although the legal status of the

trustees has not changed, there is ambivalence about how much power they should have"

(Carnegie Foundation for the Advancement of Teaching, 1982, p.72). While these types

of structures are recognized as unique characteristics of higher education settings, the

type of leadership which is best suited for this environment remains insufficiently

addressed in the literature (Chesler & Crowfoot, 2000).

Another gap relates to the level of competence and expertise needed, but often in short

supply, by those in the pipeline for senior higher education leadership roles. One reason

for this as Morris (2012) writes is that, "many faculty have been trained to teach, conduct

research, and provide service, and typically they are promoted…based on these criteria"

(p.2). The focus is very rarely placed on leadership training, mentorship or development

and remains off the list of prerequisites for ascension to leadership posts. Studies on

leadership in higher education show a significant trend toward a workforce that is less

than fully prepared [1] (Gmelch, 2002, Morris, 2008, Strathe & Wilson, 2006). At the same

time, today's campus leaders are faced with ever-growing challenges including an influx

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[1] This workforce is very well-trained in terms of holding advanced degrees, certifications in various subjects, being well-read, etc. However, they lack training in areas like leadership or fiscal and budgetary planning that their private sector colleagues may have. The 2009 Best Companies for Leadership study by Hay Group and Bloomberg BusinessWeek.com identifies 20 top companies for leadership development, which include Wal-Mart, Nestlé, Coca-Cola, McDonald's, IKEA, Unilever. In the survey of 740 companies, they found that "While 16.4% of all respondents report spending 25 or more days per year developing senior leaders, 22% of the Best Companies for Leadership spend 25-plus days developing their top talent" (O'Connell, 2010).

of a returning adult population, market competition from online degree-producing

institutions, decreasing state and federal contributions, predicted enrollment declines, and

greater expectations of accountability (Kezar, 2004, 2011; Slaughter & Rhoades, 2004;

Toppo & Schnaars, 2012). This suggests that higher education leaders must possess

dexterity in their response to critical situations and creativity in their thought-process of

potential solutions to everyday occurrences in order to be effective. A lack of attention

toward formal leadership development, education and training, particularly in the

academic ranks, leaves a developmental void in leadership skill progression (Fogg, 2001;

Munitz, 1995; Ruben, 2004). In addition to this void is the existence of two distinct

cultures- (academic and administrative) which are characterized by their different

missions, training, value systems, and expectations regarding their role in governance. As

Bolman and Gallos (2011) write, "Colleges and universities constitute a special type of

organization; and their complex mission, dynamics, personnel structures and values

require a distinct set of understandings and skills to lead and manage them well" (p. xii).

However, research shows that the next generation of leaders may not be well prepared to

address the leadership challenges that will be required of them. For example, in a study of

2000 department chairs in US higher education institutions surveyed between 1990 and

2000, only 3 percent had participated in formal leadership training or preparation

(Gmelch, 2002). This is significant because the role of department chair serves as a

critical step on the career ladder of many senior higher education leaders. Additional

research in this area shows similar findings (Aziz et al., 2005; Debowski & Blake, 2004;

Fullan & Scott, 2009). Bolman and Gallos (2011) succinctly conclude, "With the work of

colleges and universities so difficult yet vital to the lives of individuals, communities,

industries, and nations, findings like these are cause for deep concern" (p.8).

These critical gaps point to an important and unaddressed need for additional exploration

of leadership in higher education. The unique organizational factors such as loosely-

coupled governance models and multiple stakeholders pose leadership challenges and

raise concerns about the preparedness and ability of current and future leaders to lead

effectively in these increasingly complex and rapidly evolving settings. Thus, it is of both

theoretical and practical importance to develop our understanding of leadership in this

setting.

Rationale and Significance of the Study

As the previously discussed higher education leadership concerns indicate, there are

important theoretical and practical implications for continued, focused research on all

leadership roles within higher education. In the most visible and influential leadership

role of a higher education institution sits the president, who because of the more loosely-

coupled relationships and multiplicity of communicative interactions with stakeholders

required of them (and different from typical industry CEO's), was chosen as the focus of

this study[2]. Due to presidents' knowledge and the particularly important role assigned to

them, each day they are faced with decisions that can have a profound, macro-level

impact on the future of their institution. While all presidential roles seemingly have a

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[2] It is quite possible and highly likely that there may be implications for leadership at other levels within
institutions; however this study will not focus on these roles.

good deal in common, the institutional profile, whether public or private can be a

significant differentiating factor in the role and responsibility of presidential leadership

from one institution to another. For instance, presidents of public institutions must

navigate the dicey waters of local and state politics more regularly as they vie for

continued support and funding in annual and quite frequently, politically-motivated

budget proceedings (Lawrence, 2006). For example, Francis Lawrence, former President

of Rutgers, The State University of New Jersey wrote, "New Jersey's governor Jim

Florio offered relatively small but attractive bonuses to public institutions that held down

their tuition in the early 1990's" (p.12). While this concept played well in the public

forum when announced by the state's legislature, these bonuses eventually disappeared

and New Jersey's public institutions were faced with significant budget shortfalls as a

surge in student applications occurred, leaving university presidents with very difficult

leadership decisions. By way of distinction, presidents of private universities face fewer

externally-motivated dynamics in addressing the fiscal needs of their institutions and, as

such, are able to keep a greater sense of focus and prioritization in strategic planning and

execution. Shirley Ann Jackson (2006), President of Rensselaer Polytechnic Institute

said, "I think in some ways this is where some private institutions may have a slight

advantage over public institutions, that is, it is easier to be clear when I meet with the

board in retreat, as I described, what is going to drop off the plate if something new

comes on to the plate" (p.277). Interestingly and conversely, there are public university

boards which have restrictions on planning retreats, which have significant impact on

presidential leadership tactics. "The ability to hold a retreat of that kind is a great

advantage. Rutgers is constrained by New Jersey's open public meetings act, so our

Board of Governors can't meet in a retreat to talk about anything that pertains to university business. That is unfortunate" (Lawrence, 2006). For purposes of this study presidents of private institutions will be the focus because of the decreased level of political influence through state and federal funding and governmental oversight, which define public universities. Private institutions provide a context in which the power and authority of a president can be more clearly defined for this research.

This study was undertaken to examine presidential leadership in higher education in the context of critical scenarios in order to identify leadership competencies which contribute to and define presidential leadership roles in higher education, and to provide a more comprehensive understanding of leadership in this context. There are many ways that leadership can be examined. In this study the focus is on how leaders deal with critical challenges during their tenure.

As Dr. Martin Luther King, Jr. (1963) said, "The ultimate measure of a man is not where he stands in moments of comfort and convenience, but where he stands in times of challenge and controversy." For example, in 2002, just three years into his presidency, Todd Hutton of Utica College was faced with an imminent crisis. The institution that he made a commitment to lead was facing bankruptcy. Enrollment, the principal source of revenue, was declining. The traditional student population, which the College had modeled its strategic approach, was greatly shifting. And a growing market demand for online education had not been included in the prior strategic planning and budgeting efforts. Facing a seemingly insurmountable challenge of identifying new revenue sources

and the resistance of many who were comfortable with the status quo, President Hutton made a decision. In his 2002 state-of-the-college address titled, Dreams of a College Community: Believing in the Art of Becoming , President Hutton announced a bold decision for the expansion and investment in satellite facilities that would transform the delivery of a Utica College education through online, hybrid and course offerings globally. The impact of this announcement would have specific lasting financial, structural and reputational consequences. In 2009, Utica College reported that it had established thriving branch campuses in Albania and Vietnam and, due to that success, was expanding their online executive master's degree in economic crime management to the Asian market (Hutton, 2009). It is in these situations of "challenge and controversy" that the presence or absence of particular leadership competencies become especially evident in presidential leadership and what this study seeks to explore.

University presidents play a key role in assessing critical situations, making and giving sense to them, and managing the institutions' response to them. Thus, critical incidents are often the most visible and tangible aspects of their leadership and what most stakeholders develop their perceptions around. As higher education in the United States continues to fall under the watchful eye of the media, governing boards, parents, alumni and others, it is logical and necessary to explore effective and ineffective presidential leadership through the context of these critical situations. As such, this research explores situations that are viewed as critical by senior executive leaders in defining effective and ineffective presidential leadership and whether it is possible to identify particular

leadership competencies in these incidents, which are perceived to be present or absent in

association with effective versus ineffective leadership scenarios in these situations.

As noted above, this study takes a particular focus on how leadership is understood and

defined by *Senior Executive Leaders (SELs)*-- those responsible and accountable for the

broad execution of leadership duties in high levels of colleges and universities (Fairhurst,

2007). The term senior executive leader was created as a way to frame the many

references throughout the study for the selected leadership roles being explored in this

research. Presented in more detail in Chapter III this group includes senior leaders with

wide-ranging responsibilities in areas such as academics, athletics and administrative

functions within their institutions. SELs were selected as participants in this study

because of their insider perspective into the complicated nature of presidential

responsibilities and challenges, as explained further in Chapter III. The tool that is used to

examine situations that define presidential leadership in higher education is the *Critical*

Incident Technique (CIT) (Flanagan, 1954). The CIT has been established as a useful

method in both social science and business research (Radford, 2006; Ruben, 1993;

Stakhnevich, 2002; Wisniewski 1999). Flanagan (1954) coined the first definition of

critical incidents – "any observable human activity that is sufficiently complete in itself

to permit inferences and predictions to be made about the person performing the act" (p.

327). He explains that, "to be critical, an incident must occur in a situation where the

purpose or intent of the act seems fairly clear to the observer and where its consequences

are sufficiently definite to leave little doubt concerning its effects" (p. 327). As used

throughout this study, this definition is adapted to examine situations which are defining

in the performance of college and university presidents. Thus, a *Critical Incident* is an

episode in the role performance of a president, the consequences of which are perceived

by senior executive leaders as having significant and positive or negative impact within

the institution. The study explores *Effective Critical Incident*s--episodes where the

president's own actions, or the actions he or she recommends, are perceived by senior

executive leaders to have resulted in a positive impact within the institution, and

Ineffective Critical Incidents, episodes where the president's own actions, or the actions

he or she recommends, are perceived by senior executive leaders to have resulted in a

negative impact within the institution.

A further goal of the study was to determine whether particular leadership competencies

or combinations of competencies are associated with these defining critical incidents.

According to Ruben (2006), the term competency can be used to "convey the sense that

both understanding and skill in implementation are vital for leadership excellence;

knowledge of leadership concepts informs practice, and vice versa" (p. 2). Thus, the

concept of *competency* is described as a combination of a leader's knowledge and skill.

Knowledge refers to a leader's understanding of a concept and the ability to effectively

reason through it. *Skill* refers to a leader's effectiveness in operationalizing the

knowledge he or she possesses and the strategic ability to effectively act on this

information- to translate personal knowledge into behavior (Ruben, 2006, p.55). After

analysis of a number of competency approaches (see Table 2), Ruben's (2006)

Leadership Competency areas were selected to be tested by cross-referencing the

framework he presents against the data collected in this study. This framework along with

other approaches, such as the Extension Administrative Leadership Program (EALP)

Model (Wisniewski, 1999), the American Council on Education (ACE) Model

(McDaniel, 2002) and the Higher Education Leadership Competency (HELC) Model

(Smith, 2007) are discussed in greater detail in Chapter II.

The findings of this research are intended to identify a framework which could be used to

describe, explain and perhaps, ultimately, suggest the most appropriate match of

leadership behavior to the confronting situation. In addition, this study contributes to a

better understanding of presidential leadership in higher education at both theoretical and

practical levels. Through the identification and exploration of gaps between general

leadership theories and their applicability in unique higher education settings, this study

provides concise theoretical explanations for leadership in higher education. In a practical

sense, the findings regarding competencies that define effective or ineffective presidential

leadership could also be helpful in selection of potential leaders and provides a

framework for presidential leadership development, education and training efforts. Both

theoretical and practical implications of this study have applicability, more generally, at

other levels of leadership as well. These topics should be explored in future research,

expanding on the findings of this study.

Chapter II - Literature Review and Analysis

This chapter contains an overview of general leadership theories, an analysis of the

distinguishing organizational factors of higher education institutions and an analysis of

the applicability of leadership theories to the higher education context. It also includes a

discussion of the Competency Approach, which serves as the main theoretical framework

of this study.

Study of Leadership

Leadership has a long tradition of study. The following is a brief, selective overview of

various schools of thought on leadership and it will be later used to identify the

limitations of general theories' application to the particular context of higher education.

The reviewed theories, both early and more recent, include the Great Man Theory, other

trait-based and behavioral style theories, Theory X and Theory Y, Path-Goal Theory, the

Team-Leadership Model, and the Leader-Member Exchange (LMX) theory.

Over time, scholars have focused much of their attention attempting to provide clarity to

organizational knowledge by studying individual leaders and attempting to explain the

concept of leadership, which has led to the development of many theories. Rost (1993), in

his book *Leadership for the Twenty First Century,* sketched the history of the term

"leader" and "leadership theories." He notes a major point in the study of leadership,

which is attributed to Bennis and Nanus (1985), who said that despite many attempts to

explain leadership there is "no clear and unequivocal understanding" about "what

distinguishes leaders from non-leaders" (p. 5). While this argument remains debated,

decades of research point to thematic consistencies in theoretical assertions. These ideas

define the body of scholarship and conceptualizations of leadership.

In the earliest conceptualization, the ability to be an effective leader was presumed to be

an inherited trait, one which an individual was born possessing. Dowd (1936) presents

leaders as, superior extraordinary men who are born with what it takes to lead people.

Commonly referred to as the Great Man Theory, Dowd states, "In whatever direction the

masses may be influenced to go, they are always led by the superior few" (p. 37). The

"superior few" were perceived as possessing advanced intelligence, energy, moral fiber

and determination and would be considered the best hope for society's success. Although

abandoned under criticism (including lack of scholarly support), framing elements of the

Great Man theory spawned the development of Trait Theory, which is one of the first

attempts to identify leadership qualities.

While trait theories are now out of favor, their foundational role in the early development

of leadership thought warrants their examination for the purposes of this study. An

evaluation of past research shows that scholars have focused their attention on the idea

that certain skills are necessary to be effective (Barnard, 1938; Bogardus, 1929; Bowden,

1926; Davis, 1942; Fiedler, 1967), while others have identified behavioral styles that

make for a great leader (Freud, 1932; Fromm, 1941). A wide range of characteristics has

been broadly identified and tested, for example, level 5 leadership (Collins, 2001), eight

habits of effectiveness (Covey, 2004), leaders as administrators, strongmen, gamesmen

and developers (Maccoby, 1981), eight common themes of leadership success (Peters &

Waterman, 1982), and trait and skill discovery (Stogdill, 1948, 1974). These findings

have provided a framework which connects behavioral styles, personality traits, and

individual characteristics that embrace a multi-dimensional approach to leadership (Kim

& Yukl, 1995; Schein, 1992; Yammarino, Dansereau, & Kennedy, 2001).

Humanistic theory and Path Goal Theory (McGregor, 1960) are the result of a cultural

shift to qualitative methods of examining leadership. Bryman (2004) argues, "A

significant catalyst that increased qualitative research on leadership may have been the

growing interest in leadership in relation to organizational symbolism and sensemaking,

which are issues to which an interpretive strategy are particularly well suited" (p. 731).

This approach represents another significant theoretical milestone, shifting leadership

research from individual traits and responsibility to goal achievement, outcome

attainment, and particular styles of leadership. Until this point, leadership research

existed on a macro-level- exploring broader questions which sought to define the

parameters of "what is leadership?" Humanistic theory is the first attempt to explore the

scope and context of a person's ability to lead and achieve expected outcomes. It also

makes a clear assertion that leaders provide the freedom and opportunity for individuals

to live up to their capacity.

McGregor (1960) is credited with the core notion that leaders operate under one of two

assumptions, Theory X or Theory Y. According to McGregor:

> Theory X assumes that people show up for work solely to get a
>
> paycheck; they are generally passive and unmotivated in the

workplace. Theory Y leaders believe that people desire to work for

the sake of personal satisfaction; they want to be productive, desire

responsibility, and wish to contribute to the accomplishment of

organizational goals. (p. 155)

Likert's (1967) research findings support McGregor by showing direct correlations

between the treatment of individuals as contributing members of a team and their

enhanced productivity. This work also serves as a catalyst for a transition in

organizational theory which begins to seek a deeper understanding of the impact of

leadership in different environments.

In the Path-Goal Theory, Evans (1970) asserts, "Effective leaders clarify the path to help

their followers achieve goals and make the journey easier by reducing roadblocks and

pitfalls" (p. 278). Therefore, under the Path Goal Theory, the leader's role is to enhance

productivity by embracing the humanistic approach and shielding subordinates from

peripheral distractions to personal success. The Path Goal Theory argues that the role of

effective leaders is to enhance productivity of subordinates by creating a "path" that is

clear of obstacles to achieving set goals.

Finally, two more recent examples of leadership theories include the Team Leadership

Model (Levi, 2011; McGrath, Arrow & Berdahl, 2000) and Leader-Member Exchange

Theory (LMX) (Graen & Uhl-Bien, 1991). The Team Leadership Model constitutes one

of the fastest-expanding areas of leadership research and theory (Northouse, 2013). While

the study of groups can be connected to research dating back to the 1920's and 1930's,

this school of thought's more recent emphasis on the integration of "team-based,

technology-enabled" approaches is what sets it apart (Mankin, Cohen, & Bikson, 1996, p.

217). The Team Leadership Model encourages organizations to begin to restructure

viewing the team approach as a critical way of remaining competitive by increasing their

ability to respond quickly to rapid market changes. The Leader-Member Exchange

(LMX) theory focuses on leader-subordinate relationships and the formation of in-groups

and out-groups within organizations based on the quality and closeness of leader-

subordinate interactions, and how these affect the overall organizational effectiveness

(Graen & Uhl-Bien, 1991, 1995; Harris et al., 2009 in Northouse, 2013).

Conceptualizing and Studying Higher Education Leadership

As implied in the brief and selective review of leadership studies above, there are general

theories of leadership that may apply in any setting or position. However, it can also be

argued that contexts and sectors vary somewhat with regard to leadership demands, and

the theories and concepts which apply. It is acknowledged that some elements of general

leadership theories *are* applicable to higher education; however, this review illustrates

some of the *gaps* in applicability. As the analysis will show, some of the theories,

especially early leadership theories, are by design better suited for explaining leadership

in hierarchical, business organizations because of their linear, top-down approaches,

which do not reflect the organizational realities of higher education.

In order to identify and understand the many gaps in applicability of current leadership

frameworks to higher education, it is necessary to revisit and expand the discussion of

some of the factors that make higher education different from other organizational

settings. A review of literature on organizational types was conducted to help reveal the

key structural and cultural factors that differentiate higher education institutions from

other organizations and how the demands of leadership might be different in the higher

education context. An analysis of organizational factors that are unique to higher

education may help identify ways in which one general view of leadership could be

inadequate to apply equally well to all organizational settings. Thus, given the

complexities of organizational culture, such as ambiguous missions, goals, and structures,

coupled with diffuse power dynamics, it is likely that traditional notions of leadership

may be insufficient to fully understand leadership in higher education.

Some of the factors that differentiate higher education from other organizational types

include (1) multiplicity of stakeholders, (2) shared governance, (3) vertical organizational

structures and cross-functional processes, (4) differences between academic and

administrative parts, and (5) loosely coupled governance structures. Table1, further in

this chapter, provides a summary of differentiating factors and corresponding leadership

challenges.

In his work on applying a quality approach to higher education, Ruben (1995) indicates that higher education institutions are both similar and different from other organizational types. He views higher education as a "service industry" that is "generating, integrating, and communicating knowledge for a variety of audiences – academic, professional, student and public" (p.3). Ruben finds that challenges faced by higher education institutions are largely similar to those encountered by other types of organizations within the service industry sector. But he also notes that, "the mission, governance, tradition, and culture of higher education distinguish colleges and universities in a number of subtle and not-so-subtle respects from other institutions" (p.31). As Kezar (2011) notes, scholars such as Birnbaum (1988) similarly point out that colleges and universities have unique distinctions from many other organizations such as hospitals, corporations or even other non-profits. Identifying what makes academic institutions distinctive from a leadership perspective is critical to understanding the void in current literature as it relates to this organizational type. This section will present perspectives related to governance, management and leadership within higher education which describe the complexity and unique climate of this setting.

Ruben (1995) discusses *the multiplicity of stakeholders* as one unique factor that differentiates higher education institutions from most other service organizations. Serving many internal and external constituencies including students, alumni, faculty, businesses, private foundations and donors, governmental agencies, etc., presents higher education institutions with a distinctive challenge of addressing and balancing varied, sometimes

even contradictory ideologies, needs, expectations and agendas. In contrast to

organizations such as corporations where leaders deal with fewer stakeholders, the

number and variety of stakeholder groups in higher education might make certain

leadership competencies, such as communication, especially important. Furthermore,

understanding and skills that relate to particular stakeholders (for example, "student

affairs") are necessary (Smith, 2007) and make leading in this type of environment

different from other contexts.

An examination of Theory X and Theory Y (McGregor, 1960) reveals a gap in

application of general leadership theories to higher education as it relates to multiplicity

of stakeholders as a particular distinguishing factor of this type of organizations. It is

interesting to note that McGregor's (1960) Theory X and Theory Y models, which focus

on the employer-employee (leader-follower) relationships, were developed during his

tenure as President of a private, four-year institution, Antioch College. McGregor

believed that in a higher education setting, these assumptions would be challenging to

apply broadly because of the multiplicity of stakeholders involved in his model. In

addition to employees, in higher education, there are a variety of other constituents whose

agendas must be taken into account: faculty, staff, students, alumni, donors, vendors, etc.

As noted in the previous section, motivations and agendas of these various stakeholders

are often contradictory and conflicting and create conflict with this model. This

represents a feature of higher education organizations that makes McGregor's single

assumptions about constituent motivations insufficient to inform leadership in such

context. There are certainly some other organizations in which a multiplicity of

stakeholders is present, for instance, hospitals have doctors, nurses, healthcare staff,

patients and family members, and governmental institutions have government officials,

businesses, and the broader public. However, the extent to which leaders have direct

interpersonal and public interaction with these stakeholders is considerably more

extensive in colleges and universities than in most other organizations (B. Ruben,

personal communication, January 10, 2012). Thus, it can be argued that Theories X and

Y are not wholly applicable as they do not emphasize the number and diversity of

stakeholders and leadership competencies that are needed for interactions that extend

beyond the leader-follower framework.

Also, let us consider the Leader-Member Exchange (LMX) theory. This theory is

presented because of its importance and applicability in the development cycle of

leadership theory for many organizations. LMX examines the existence of in-groups and

out-groups as a cultural reality in organizations. While it does address a limited scope of

dynamics in higher education its premise of a dyadic leader-subordinate relationship is

not representative of the multiplicity of diverse stakeholder groups involved in the

governance process within institutions of higher education. This concept of shared

governance will be explored shortly and plays an important role in understanding the

cultural nuances of leading in this environment.

Another factor that differentiates higher education institutions from other organizations is

shared governance (Birnbaum, 1992, p. 57). Shared governance is a method used in the

academic decision-making process involving stakeholders, especially faculty, in key

decisions on areas such as campus planning, accreditation, curriculum, and assessment. It

emerged in response to the campus-cultural revolutions in the late 1960's and early

1970's and has been a central component of decision-making in higher education ever

since (Kezar, 2011). These governance structures have become the standard for

organizing authority within higher education. While no single and generally accepted

definition exists, governance is used frequently throughout this section to frame context

relative to legal relationships, structures, authority patterns, rights and responsibilities,

and decision making processes (Birnbaum, 1988). Birnbaum (1988) highlights shared

governance as a distinct element of higher education to show the leadership challenges

that may be faced when business principles such as top-down or authoritative approaches

are employed by leaders in higher education. Given the long-term, in some cases life-

long, employee profile (such as tenured faculty), colleges and universities have

developed an organizational culture where shared governance and professional autonomy

are valued characteristics.

Glenny and Dalglish (1973) emphasize that the legally binding governance body for

institutions of higher education is always their Board of Trustees. While it is unlikely to

find this in existence today, during the mid-17th and 18th centuries, when institutions were

far less complicated, most decisions for day to day operation and long-range strategic

discussions were addressed by members of the institution's Board (Birnbaum, 1988).

Decisions as varied as admissions, lunch and dinner menus, housing, colors of

classrooms, etc. were made by these Boards. However, as institutions grew in size, scope,

and complexity, delineation of responsibilities greatly shifted to a growing organizational

structure, thus empowering a wider range of people in academic and administrative roles.

This decentralizing cultural shift is an important differentiating factor of higher education

institutions from organizations in the business sector.

While this study recognizes that decentralized forms of leadership exist in some

businesses, they differ from higher education models in the motivating factors which

inform general approaches to decision-making relative to academics. The primary focus

on profit simplifies the decision-making process in the corporate context because it aligns

the stakeholder expectations around a unifying goal. Conversely, the shared governance

model leads to significant differences of opinion in determining key goals, metrics and

outcomes. In each of these examples, conflicting ideologies present a much greater level

of complexity limiting the ability to identify one unifying goal. As Morrill (2007) notes,

the "distinctive collegial decision-making culture and systems" (p. xi) of higher education

differentiate it from other organizational types. In many cases the values of academic

freedom and individual autonomy combined with the dynamics of shared governance

within the academic areas of higher education result in extensive situational analysis, and

protracted discussion and debate. The resulting process is sometimes perceived as

creating what amounts to be a culture of resistance when it comes to innovation and/or

change, primarily on the part of the faculty. This creates the added challenge of creating

defined, identifiable benchmarks and metrics of accountability, which is another key

difference between higher education and business environments. On the other side of the

debate is a perceived resistance on the part of the administration to fully include faculty

in the shared governance processes over key decisions. For example, on one hand, a call

for identifying individual accountability is often justified by difficulties in measuring

outcomes such as student learning, class enrollment, etc. On the other hand, faculty take

great pride in careful examination and analysis before making changes to time-honored

traditions that have made the United States system of higher education the world leader

(Shaw, 2006). Furthermore, this issue of divergent opinions can also be linked to the

presence of a multiplicity of stakeholders whose interconnected roles and influences

make it difficult to delineate the individual or unit levels of responsibility for particular

outcomes. This is why a leadership theory such as the Team Leadership Model might not

be fully applicable to the context of higher education. It is interesting to note that while

the culture of higher education might align with Stagl, Salas and Burke's (2007)

statement that, "team leadership is critical to achieving both affective and behaviorally-

based team outcomes" (p. 172), the investment in team dynamics and the constantly

shifting nature of groups make this a challenge for higher education. The cultural

environment among the academic ranks and the delegated leadership responsibility

within higher education is also not conducive to the formation of cohesive teams as

presented in this model because of the shared governance concepts and the amount of

decentralized power possessed by members of this particular stakeholder group.

Furthermore, in the context of higher education, the linear leader-subordinate dynamic

embodied in theories such as Leader Member Exchange is complicated by the

decentralization of power and shared governance models in higher education. Individuals

and groups that are in "subordinate" roles are empowered to influence decision-making

processes through shared governance mechanisms, which interferes with linear

relationship forming and complicates the ability of higher-level leadership to be the sole

determinate of in-group/out-group formations. Leadership making, as prescribed by this

theory, should focus on leaders developing high-quality exchanges with all subordinates,

not just a few. However, in a higher education setting, this can be quite challenging due

to the presence of a multiplicity of stakeholders and the number and type of conflicting

demands and agendas that leaders would need to reconcile in order to develop strong

relationships with each group.

Additionally, as illustrated in various examples in the following section of the

dissertation, the overall cultural and structural *differences between academic and

administrative parts* of the organization create further institutional complexities that

influence and shape leadership in this context. The coexistence of these two structures

that sometimes contain contradictory visions, values and goals is another key

distinguishing characteristic of higher education. For example, in many cases, the

academic stakeholders may choose to place value on institutional traditions and

continuity, while the administrative stakeholders may choose to emphasize the

importance of innovation and change in response to rapidly evolving marketplace

conditions. This might suggest that effective leaders understand how to manage the

interface and tensions between these two vital stakeholder groups within the institution.

Additionally, leaders need to be sensitive, knowledgeable and responsive to each of these

perspectives (B. Ruben, personal communication, January 10, 2012). Thus, the challenge

exists for presidents to strike a balance between these two groups and facilitate

interaction in ways that are most effective, while preserving the unique identities, cultures

and strengths of each group.

Another distinguishing factor can be found in the types of organizational structures and

functions that higher education institutions embody. For example, segments of higher

education institutions are organized in traditional business-like, vertical structures that

facilitate interactions within linear units (academic departments, athletics, operations,

service units, etc.), but pose obstacles to collaboration across units (e.g., lack of

communication among academic departments, lack of faculty involvement with student

recruitment, athletics, housing, etc.). At the same time, from the constituent perspective,

functions performed by various organizational units are interrelated processes that cut

across vertical organizational units. They require cross-divisional collaboration in order

to produce "quality" services (Ruben, 1995, pp. 16-20). Thus, reconciling *vertical

organizational structures and cross-functional processes* is another challenge unique to

higher education institutions.

Adding to the complexity of the president's leadership efforts is the widely held idea that

in a *loosely-coupled governance structure,* colleges and universities' decentralized form

of decision-making and campus operations is appropriate for an organization with strong

professional expertise (Mintzberg, 1979; Weick, 1991). Kezar (2011) defines loose

coupling in this case as, "the fact that colleges and universities are made up of many

interdependent units and divisions that have a fair degree of autonomy and operate

differently from more bureaucratic or tight systems" (p. 294). While loosely-coupled

governance has guided the organizational value structure of most institutions of higher

education (IHE), it also presents many opportunities for tensions among key

constituencies such as trustees, administrators and faculty who each have authority and

control within the organization (Orton & Weick, 1990).

This is exemplified through consideration the Path-Goal Theory. The essence of this

theory is applicable to higher education because leaders in higher education, as in other

settings, commonly identify goals and methods for achieving them. However, in the

context of higher education, the loosely-coupled governance structures require multiple

goals and multiple pathways of achieving them. The level of autonomy and decision-

making power of the different parts of the system makes creation of "path-goal," as

conceptualized in this theory, challenging. In addition, multiple stakeholders such as

students, faculty, and staff often make it difficult to reach a common agreement on what

the goals should be and how to go about attaining them.

The corporate concept of productivity, which is subsumed in the Path-Goal theory, is not

always seen as applicable to higher education leadership. While definitions of

productivity within the administrative parts of the institution may conform to corporate

views, academic components of the institution may have different ideas of what

constitutes productivity. Different views of and values for productivity are often seen in

discussions about topics such as "efficiency." One example relevant to the Path-Goal

Theory and its concept of productivity in the context of higher education may be the

current "Pathways to Degree Completion" initiative of the City University of New York

(CUNY) to make college credits more easily transferable among CUNY colleges

("Pathways…", 2011). The proposed plan, created by the central administration, was

designed to enhance efficiency by providing a clear "path" to achievement of a goal

(transferability of credits). However, faculty groups across CUNY colleges challenged

their lack of involvement in creation of the "path" as well as expressed their disagreement

with its direction and content. Rather than valuing administrative efficiency, the

academic sectors of the university may have focused on the effect the plan would have on

the breadth and quality of student education—reflecting a different view of the value of

efficiency or productivity, or at least quite a different sense of what it implies. They are

using shared governance structures to communicate their views and influence the final

decision ("Pathways…", 2011; CUNY UFS, 2011). This example illustrates the

particular complexities and leadership challenges that emerge in the context of higher

education that would not necessarily apply to other settings. This is primarily due to the

involvement of multiple stakeholders that possess different views on who is or should be

in charge relative to any number of decisions that must be made within the organization.

It also shows that traditional leadership approaches may not be directly applicable to the

complex structural and organizational dynamics of higher education.

While the United States system of higher education represents one of the nation's largest

economic sectors, it is highly unlikely to embrace traditional business structures and/or

management styles (Keller, 1983). This is primarily because of the cultural tensions

which arise when business frameworks are introduced in discussions among stakeholders

within higher education institutions. Even within business environments that make

significant research and development investments, a conscious decision is made that

intended return on investment will be financially beneficial to a company's overall

portfolio. On the other hand, Birnbaum (2011) notes, "many believe that our institutions

of higher education exhibit levels of diversity, access, and quality that are without

parallel" (p. 298), which arguably suggests that revenue and profit are not central to the

decision-making process in this context. A consistent theme throughout this limited body

of scholarship is that traditional expectations of management and performance are not

closely associated with institutional goals (Birnbaum, 1988, 1992; Bolman & Gallos,

2011; Brown-Glaude, 2009; Morill, 2007). As Birnbaum (1988) explains, "it might be

that to at least some extent our colleges and universities are successful because they are

poorly managed, at least as management is defined in other complex organizations" (p.

298).

The expectations for individuals in leadership roles as identified in the literature are even

more challenging when explored in the context of higher education where linear

business-like structures may not be present in their governance model. Higher education

leadership takes a different approach through the engagement of governance structures

that have varying degrees of power. For example, in some institutions the faculty senate

can wield a great deal of influential power one year and be completely ignored the

following year by a president who disagrees with their feedback.

Table 1. Differentiating Factors and Resulting Leadership Challenges

Differentiating Factors	Resulting Leadership Challenges
Multiplicity of stakeholders *Serving many internal and external constituencies including students, alumni, faculty, businesses, private foundations and donors, governmental agencies, etc.*	Addressing and balancing varied, sometimes contradictory ideologies, needs, expectations and agendas.
Academic and Administrative Cultures *Faculty-based units and "business" units both present in higher education institutions*	Cultural and structural differences containing sometimes contradictory visions, values and goals and values (for example, the value of institutional traditions and continuity vs. the value of efficiency, innovation and change)
Vertical organizational structures and cross-functional processes *Combination of traditional business-like, vertical structures and processes within and across linear units*	Structures that facilitate interactions within units (academic departments, athletics, operations, service units, etc.), but pose obstacles to collaboration across units (e.g., lack of communication among academic departments, lack of faculty involvement with student recruitment, athletics, housing, etc.).
Shared governance *Involving stakeholders, especially faculty, in key decisions in areas such as campus planning, accreditation, curriculum, and assessment.*	Involvement of multiple groups slowing decision-making extensive discussion and debate; difficult to delineate the individual or unit levels of responsibility for particular outcomes.

Since higher education institutions consist of both business-like (administration) as well

as non-business-like (academic) structures, it seems reasonable to suggest the success of

this type of complex organization cannot be fully explained by application of solely

business-oriented leadership theories. Factors that differentiate institutions of higher

education from other types of organizations, such as multiplicity of stakeholders, shared

governance, loosely coupled governance systems, etc., require broader frameworks for

understanding leadership. One example of the limitations of current leadership

scholarship is the inherent resistance and overt cultural preference of some theorists to

limit college and university comparison to corporate models. On the one hand, leaders

must struggle with stakeholders who feel that a corporate mindset has very little business

being used to frame models of leadership in the academy, which might be seen as drifting

away from the core mission of providing education and stimulating societal debate. On

the other hand, institutional leaders must oversee organizational and operational

complexities of institutions with large budgets (the typical large research university has

an annual budget ranging from $1 billion to $4 billion, for example[3]). Trout (1997) notes,

"In the marketplace, consumerism implies that the desires of the customer reign

supreme…and that the customer should easily be satisfied… When this model is applied

to higher education, however, it distorts the teacher/student mentoring relationship" (p.

50). These cultural norms present a distinct challenge to traditional hierarchical

leadership frameworks. Ruben (2004) notes that this may be, "seen as promoting an

inappropriate emphasis on marketing, consumerism, and corporate management

approaches, all of which are regarded as fundamental threats to the tradition of academic

excellence" (p. 5).

The preceding review of leadership theories and factors that differentiate higher

education from other types of organizations reveals a number of gaps in applicability of

general leadership theories. The following section explores ways to connect the

significant depth of leadership theory to the unique leadership environment of higher

education.

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[3] Data retrieved from the Fiscal Year 2013 Budget, Syracuse University Office of Budget and Planning; Fiscal 2012 Operating Budget, New York University Office of Budget and Planning; and the FY 2010 Operating Budget, Columbia University Office of Development and Alumni Relations.

The Competency Approach to the Study of Leadership in Higher Education

This section introduces the Competency Approach, which is the framework used in this

study for exploring leadership in higher education. It includes: a rationale for the

particular appeal of this approach to leadership, a literature review on how the approach

is applied to leadership in general and to the context of higher education in particular, as

well as a discussion of the main competency models and their shortcomings, which this

study addresses.

For decades researchers have studied leadership in a variety of contexts, providing a wide

range of literature as previously outlined. Of the various approaches to studying

leadership in general, and higher education leadership in particular, the competency

approach is particularly appealing as it provides an opportunity to examine the types of

behaviors that are associated with effective or ineffective leadership in various

organizational contexts and for various roles. The concept of *competency* can be defined

as "a measurable human capability that is required for effective performance" (Marrelli,

Tondora, Hoge, 2005, p. 534). It captures both a leader's knowledge and skill (Ruben,

2006). *Knowledge* refers to a leaders' understanding of a concept and the ability to think

through it. *Skill* refers to a leaders' effectiveness in operationalizing the knowledge they

possess and their strategic ability to effectively act on this information (Ruben, 2006).

Over time leaders' foundational knowledge bases are enhanced as they gain greater

experience and additional skills which are specific to the context of their role and

organizational environment. According to Ruben (2006), the term competency can thus

be used to "convey the sense that both understanding and skill in implementation are vital

for leadership excellence; knowledge of leadership concepts informs practice, and vice versa" (p. 2).

In the general literature, McClelland (1973) started a "competency revolution that has driven social, behavioral, and organizational research for decades" (Smith, 2007, p. 27). In his thesis titled *Testing for Competence Rather than for "Intelligence,"* McClelland (1973) challenged the validity of intelligence and aptitude testing and suggested that an individual's success in their job performance depends more on other factors such as resources, power, and networking opportunities. To predict a person's success or efficiency in their job, McClelland (1973) proposed an approach he referred to as "testing for competence" (p.28). McClellan's theory was later validated by Stanley (2000) who found that the economic success of over 700 millionaires can be attributed more to their social skills, orientation towards critics, integrity, and creativity, than to their intelligence factors (p. 35). As McClelland (1973) suggested, testing for competence is relevant for "a social characteristic such as leadership" (p. 9).

One example, the Complexity Leadership Theory advanced notions of leading that view organizations as complex adaptive systems (Baran & Scott, 2010). Complex adaptive systems are "open, evolutionary aggregates whose components (or *agents*), are dynamically interrelated, and who are cooperatively bonded by common purpose or outlook" (Uhl-Bien, Marion, & McKelvey, 2007, p. 302). In other words, complexity is a byproduct of a system with many moving parts, which when intertwined produces a stronger end result than totaling the sum of its parts. Leadership in this context becomes

more about understanding and embracing these moving parts, identifying appropriate

actions and leveraging resources, which in many cases create collaborative approaches to

attaining desired outcomes (Lewis, Schmisseur, Stephens, & Weir (2006); Northouse,

2010; Yammarino, Dansereau, & Kennedy, 2001).

Reflecting on organizations in this manner moves the theoretical foundation of leadership

from one of possessed skills, traits and characteristics to one of collaborative interactions

which occur in the ongoing negotiation of being a leader. In doing so, the foundation on

which leadership is built greatly shifted from seminal notions of one-way influence

toward a dynamic, multi-directional, social process. This idea of social interaction widens

the role of leadership to include understanding the psychosocial experience of

interactions as a sensemaking activity. (Fairhurst, 2007; Fairhurst & Sarr, 1996; Marion

& Uhl-Bien, 2001).

The above literature review shows, implicitly or explicitly, the evolving notions of

competencies needed for effective leadership. However, it does not provide answers as to

which competencies are critical to effective leadership in particular leadership

environments. As a point of understanding throughout this study, competence is defined

as "the ability to do something successfully or efficiently" (Oxford Dictionary, 2012).

Competency refers to particular leadership characteristics. The following section will

explore how competency approaches have been applied to leadership in higher education

and identify the gaps that this study will aim to address.

Given the factors that differentiate institutions of higher education from other

organizational types, as discussed earlier in this chapter, it might be safe to assume that,

in the context of higher education, certain leadership competencies might be particularly

useful. In recent years, higher education leadership literature has begun to focus on

presidential leadership and linking notions of knowledge, skills and abilities

(competencies) as a fundamental component of presidential success (Birnbaum, 1992;

Fisher & Koch, 1996, 2004; Padilla, 2005; Ruben, 2006). In discussing the impact of

articulating a university president's vision, Birnbaum (1992) writes, "the real purposes of

articulating a vision are to give constituents confidence in the leader's competence" (pp.

25-26). This point conveys Birnbaum's (1992) findings that in order for followers to

progress toward shared outcomes and goals they must possess confidence in a leader's

competence. Kouzes and Posner (2003) support this notion, pointing out that a leader's

perceived competence is a critically important characteristic.

Thus, this study is built on the assumption that leadership in higher education should be

considered and analyzed in terms of leadership competencies which are learned,

developed, constructed and may be influenced by the particular organizational context.

As such, leadership in higher education throughout this study is examined through the

lens of competency models. According to Wisniewski (2002), "A competence model is a

functional categorization of separate competencies that tend to occur simultaneously in

situations where effective performance is demonstrated" (p. 3). Or, as Smith (2007)

explains, the Competency Approach to leadership "provides a valid and relevant context

for understanding the knowledge, skills, abilities, and attributes necessary to effectively

lead people and organizations" (p. 27). Therefore, in this study, the Competency

Approach is used as the principal framework for exploring leadership in higher education

as it relates to the actions, behaviors and decisions of university presidents.

Using the competency model as its foundation, this study also seeks to determine what

specific competencies are necessary for effective leadership and decision-making at

critical moments in presidential leadership of colleges and universities. This study draws

most directly from four leadership competency approaches, namely: 1) the Extension

Administrative Leadership Program (EALP) model (Wisniewski, 1999); 2) the American

Council on Education (ACE) Fellows model (McDaniel, 2002); 3) the Higher Education

Leadership Competencies (HELC) framework (Smith, 2007); and 4) the Leadership

Scorecard Inventory 2.0 (LCS) (Ruben, 2006). The following is a review of the

significant models found in the higher education and general leadership competency

literature, including a description and analysis of the four models, followed by an

analysis of their strengths and shortcomings that will be addressed in this study. These

four models were chosen due to their direct impact on this study and their prominence in

recent literature related to leadership within colleges and universities and are summarized

in Table 2.

Table 2. Higher Education Leadership Competency Models Overview

	EALP Model (Wisniewski, 1999)	ACE Model (McDaniel, 2002)	HELC Model (Smith, 2007)	Leadership Competencies Scorecard –LCS 2.0 (Ruben, 2012)
Method	*Qualitative:* Competency approach and critical incident technique; Surveyed senior administrative leaders, participants of University of Wisconsin's Extension Administrative Leadership Program (EALP) (self-assessment) 54 critical incidents 26 behavior-grounded abilities 7 competencies for leadership in higher education, each including a set of abilities.	*Qualitative:* Thirty ACE fellows were surveyed and asked to describe core HE leadership competencies. Feedback of about 100 senior administrators and college presidents was considered before the final HELC list was developed.	*Quantitative:* HELC inventory was developed consisting of 59 core competencies based on McDaniel's model. 295 participants (athletic directors, senior student affairs officers, and chief academic officers) rated the importance of each statement on a Likert-type scale from 1-5. Statistical analysis was used.	*Qualitative:* A diverse array of competencies were identified and integrated through a comprehensive review of scholarly and professional writings.
Model Summary	**Seven competencies** for leadership in higher education, each including a set of relevant abilities: 1.Development of a Core set of Values and Vision 2. Effective Communication 3. Reflection and Analysis 4. Creating a Positive Climate 5. Facilitation and Collaboration 6. Problem Solving and Risk Taking 7. Perseverance	**Four core competency categories**, each including specific competencies: 1. Context 2. Content 3. Process 4. Communication	**Five HELC categories**, each including specific competencies: 1. Analytical 2. Communication 3. Student Affairs 4. Behavioral 5. External relations	**Five major competency themes**, each including specific competencies: 1. Analytic 2. Personal 3. Communication 4. Organizational 5. Positional Total of 35 competencies. Each competency has two dimensions: *understanding* and *effectiveness* Scorecard can be used for self-assessment and assessment of others.

Extension Administrative Leadership Program (EALP)

A key study on leadership competencies in higher education was conducted by

Wisniewski (1999) who used a leadership competency model and the critical incident

technique to survey senior administrative leaders and determine which leadership

competencies are crucial for that level of leadership in higher education. In her critical

incident study, the participants in the University of Wisconsin's **Extension**

Administrative Leadership Program (EALP) were asked to "recollect personal

leadership experiences in which they were effective and to describe what they actually

did to make their performance effective" (Wisniewski, 2002). The survey generated a

total of 54 critical incidents which were analyzed in terms of demonstrated behaviors to

identify leadership competencies. A set of 26 behavior-grounded abilities emerged from

the analyzed data. The grouping of the abilities into competence categories and the

analysis of the data resulted in a list of seven competencies for leadership in higher

education. Her findings led to the outline and development of a list containing seven

competencies specific to higher education leadership: (1) Development of a Core Set of

Values and Vision; (2) Effective Communication; (3) Reflection and Analysis; (4)

Creating a Positive Climate; (5) Facilitation and Collaboration; (6) Problem Solving and

Risk Taking; and (7) Perseverance. Each competency encompasses a set of relevant

abilities. For example, the Perseverance competency consists of the ability to carry on

despite ambiguity, frustration and chaos as well as the ability to continue steadily on

course in spite of barriers (Wisniewski, 2002).

ACE Fellows Model

A second study advancing Wisniewski (1999) was undertaken by McDaniel (2002)

where she sought to identify core competencies related to higher education leadership,

writ large. She proposed a competency-based leadership development approach for the

American Council on Education (ACE) Fellows program[4]. The competency model

McDaniel (2002) developed, here referred to as the **ACE Fellows Model**, was used by

the ACE Fellows class of 1999-2000 as a model to self-assess their leadership knowledge

and skills (McDaniel, 2002). First, the study began with a substantive literature review

solidifying the assumption that higher education is a unique organizational enterprise,

identifying colleges and universities as "complex, unpredictable, and interdependent"

(Smith & Wolverton, 2010, p.62). The data were collected through a survey of 30 ACE

fellows, aspiring senior leaders in higher education, who were asked to describe what

they deem the core higher education leadership competencies. In addition to collecting

data from the fellows, feedback from about 100 senior administrators and college

presidents was considered before the final HELC list was developed. After analyzing the

data, McDaniel identified a set of competencies of highly effective senior leaders and

then framed them into four categories: context, content, process and communication (for

a list of competencies, organized by categories, see Appendix E). McDaniel's (2002) first

leadership competency category, "context," refers to senior leaders' understanding of

issues, players and principles of higher education (p. 83). A few examples of leadership

competencies from this category include, "Demonstrates understanding of the complexity

and interconnectedness of issues and problems; Identifies emerging trends and their

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[4] The ACE Fellows program is a nationally recognized leadership development program for aspiring senior leaders in higher education. The ACE website states, "The ACE Fellows Program helps ensure that higher education's future leaders are ready to take on real-world challenges and serve the capacity-building needs of their institutions."

potential impact and responds appropriately," etc. (p. 83). The second HELC category,

"content" explores the ability of a leader to understand the many functions of the

organizational structure within higher education. In their interpretation, Smith and

Wolverton (2010) suggest that the high level of technical diversity across the

organization requires a leader to be knowledgeable of many structural elements.

"Specifically, competent leaders understand and are knowledgeable about academics,

student affairs, advancement, athletics, technology and legal issues" (Smith & Wolverton,

2010, p.62).

The third competency category, "process", is explored as it relates to a leader's overall

understanding and comprehension of leadership and the actions necessary to achieve

desired outcomes. Under this competency an effective leader must possess a good sense

of humor (Padilla, 2005), have high integrity (Kouzes & Posner, 2003), encourage others

to lead, have strong negotiation skills (Land, 2003), align decision-making practices with

the ideals of the institution (Ferren & Stanton, 2004), and be self-reflective (Filan &

Seagren, 2003). In the fourth category, "communication" is explored tri-laterally, through

verbal, non-verbal and written methods. Verbal communication is assessed by a leader's

ability to engage in and maintain dialogic interactions with stakeholders. Non-verbal

communication competency is assessed through a leader's ability to actively listen and

analytically interpret a discussion. In addition, the leader's professional appearance

including attire and demeanor is also included. Written communication refers to the

proficiency of a leader to correspond through email, memos and letters. In the broader

sense, these variables, while under the umbrella of communication, are expected to be

utilized collaboratively as a leader informs stakeholders of key decisions, addresses

critical issues and articulates a vision for the institution.

Higher Education Leadership Competency (HELC)

A third advancement in the competency approach to higher education leadership is a

study conducted by Smith (2007). This study was designed to test and extend the **Higher**

Education Leadership Competency (HELC) approach as an appropriate model for

colleges and universities (McDaniel, 2002). Taking the data collected from McDaniel's

(2002) survey, Smith developed and employed an online survey "based on a thorough

review of literature, pilot study, and feedback from subject matter experts" (p. 90). The

survey consisted of an inventory of statements corresponding to the 59 core competencies

identified in the McDaniel's ACE Fellows model. Senior university administrators,

athletic directors, senior student affairs officers, and chief academic officers from NCAA

Division I institutions (n=295) were asked to rate the importance of each leadership

competency on a Likert-type scale from 1-5. As no survey existed at the time of this

study to test the perceived importance and impact of HELC, Smith questioned the

validity of McDaniel's (2002) assertions. He noted that while leadership competency is

becoming central to the discussion of higher education, it lacks validity from a

quantitative methodological approach. Thus, he examined the data using a factor analytic

approach.

After reviewing the ACE Fellows model in his analysis, Smith presents a "New HELC

Model" framed under five categories, only one of which is advanced from the original.

The five leadership competency categories are: Analytical, Communication, Behavioral,

Student Affairs, and External Relations. The Analytical competency category

encompasses entrepreneurialism, creativity, strategic thinking, and action. The

Communication competency category was established based on Smith's (2002) findings

that "higher education leaders should be competent in both oral communication and

writing and should engage multiple perspectives in decision making" (p.66). Behavioral

leadership competence was identified by a leader's ability to exhibit unselfish behavior, a

lighthearted spirit, and paying attention to the stakeholders who directly connected to the

successful achievement of organizational goals. Student Affairs refers to the broad sense

of understanding student-related issues. This includes trends, legal implications, and

student expectations among other factors. Lastly, External Relations is presented to

reflect the majority of a senior university administrators' time, which is now being spent

on externally-focused activities. These activities include meetings with external

stakeholders, soliciting of funds and athletic functions and events.

In his attempt to test and refine the model proposed by McDaniel, Smith (2007)

conducted a quantitative study that took on a "reductionist" approach. In his study, Smith

reduced and reorganized McDaniel's list of competencies through statistical analysis. A

problem with the reductionist approach is that it does not provide "room" for

identification of competencies relative to particular context, roles or situations. As

explained earlier, Smith created a list of 59 statements reflecting the competencies from

McDaniel's model and asked his respondents to rank those statements (i.e.,

competencies) from 1-5 in terms of their perceived level of importance for leadership in

higher education. Since it was grounded in McDaniel's work, Smith's HELC model

covers only a fraction of the broader leadership themes, presenting a much-abbreviated

list of competencies to explore leadership in higher education. In the following section of

the proposal, a more detailed analysis of the reviewed higher education competency

models is discussed along with implications of these models' shortcomings for this study.

Competency Model Analysis: Implications for this Study

The analysis of the above discussed models revealed a number of limitations, particularly

in terms of their applicability to and implications for this study. For example, while

Wisniewski's (2002) research is most closely related to the study conducted in this

dissertation, one of its limitations was the method of data collection. The reliability of

this data can be questioned because the participants, who were senior administrative

leaders in higher education, were asked to identify *their own* effective leadership

behaviors. This approach, since it is based solely on self-assessment, assumes that

individuals can accurately self-assess, and it also carries the inherent possibility of bias to

cast one's own leadership behavior in a more positive light. While building on

Wisniewski's work and applying similar methodology, this study took a slightly different

approach in that it used the critical incident technique to ask senior executive leaders to

assess effective leadership of presidents they have worked and/or interacted with. This

enabled the researcher to acquire direct, firsthand observations of presidential leadership

while removing personal limitations and biases when asked to critique/assess themselves.

The competency categories advanced by McDaniel (2002), which were derived from

more systematic quantitative analysis, identify a broad range of higher education

leadership competencies; however, there was no attempt to determine if particular

competencies are associated with what leadership roles. As such, these findings may not

be useful when exploring particular roles in higher education leadership. A limitation

with this approach is that the results that were quantified through statistical analysis were

not grounded in a particular context/story/situation that could serve as a point of

reference against which the relative importance of these leadership competencies would

be measured. For example, without a particular context, how do respondents determine if

they would rate "Communicates vision effectively" as 1 or a 5 on the scale of

importance? Without a particular context or benchmark based on situation, environment

or leadership role, who would disagree that the ability to communicate vision effectively

is important for leadership in higher education relative to other competencies?

There is also an issue with the selection of Smith's sample – he focused only on NCAA

Division 1 institutions, which is incongruent with the three leadership types he focuses

on. For example, if he focused his study on athletic director leadership only, it would

seem like a logical framework of institutional selection. However, institutional selection

of student affairs professionals and academic leaders is very rarely done on the basis of

their NCAA profile so it seems a bit incongruent to use this approach for this study.   In

addition, while the research of McDaniel (2002) provides a basis for understanding key

competencies of higher education leaders broadly, it does not take into consideration the

specific role of the president. Although senior university administrators and college

presidents were consulted in the development of the model, the focus of McDaniel and

Wisniewski does not delineate the unique implications for presidential leadership. In

addition, the studies by Wisniewski and Smith utilize self-assessments and do not include

third party assessments which could bring an additional element of objectivity.

One competency of particular interest for this study is outlined by McDaniel in her

"Content" category - "Applies process, political, and public relations skills to crises and

conflicts as they arise." This study expands on this by exploring more comprehensively

what skills and knowledge are key to the "crises and conflicts" (here referred to as

"critical incidents") that require effective leadership in higher education, particularly

when it comes to the role of President. Later in Chapter V, we explore answers to

questions as to whether specific critical incident competencies are limited to process,

political and public relations skills, as McDaniel suggests, or are these competencies

necessary for the broader, everyday perceptions of effectiveness of presidential

leadership in higher education.

In comparing these major competency models, it was interesting to note that, in each

model, communication was listed as a separate category of leadership competencies. At

the same time, in all other categories of each model, competencies that imply

communication skills are subsumed in other categories. Thus, competencies related to

communication cut across multiple competencies and competency types. For example,

Smith's (2007) HELC model lists "demonstrates negotiation skills" (p. 67) in the

Analytical category of leadership competencies, although this competency is inherently

about ability to communicate. Also, in all competency models that were examined,

"demonstrating understanding" of various structures, issues and processes is included

across competency categories. For example, McDaniel (2002) includes "demonstrates

understanding of student affairs" (p. 84) in the Content category of her model. As this

study suggests, these notions of "demonstrating understanding…" are inherently

connected to communication and thus should be explored through this lens. This is why,

in the analysis of the data in this study, particular attention is paid to the role of

communication in the competencies that emerge from the data.

Leadership Competencies Scorecard (LCS) 2.0

While the EALP, ACE Fellows and HELC models were examined, this study utilized the

Leadership Competencies Scorecard (LCS) 2.0 model (Ruben, 2006) for analysis of

the data collected in this study. This model represents a competency[5] approach to

leadership, in general. It is based on a broad review and synthesis of the leadership

literature, which makes it particularly suitable for examination of leadership in specific

contexts such as higher education. The Ruben (2006) framework is based on a meta-

analysis of a cross-section of approximately 100 popular, professional and academic

books and articles on leadership. Ruben (2006) developed a model that identifies and

describes five competency themes: Analytic, Personal, Communication, Organizational,

and Positional.

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[5] Original Leadership Competencies Scorecard published by Ruben (2006) and modified in (2012).

Ruben (2012) outlined the competencies as follows:

Analytic Competencies are associated with thoughtful reflection on one's own

and others' behaviors, and careful consideration of the consequences of

alternative leadership options and strategies. Personal Competencies refer to one's

standards, character, and expression of values. Communication Competencies

relate to the knowledge and skills necessary for effective interaction in

interpersonal, group, organizational and public settings. Organizational

Competencies include administrative capabilities that are viewed as important for

leading in organization of varying purpose, function, and size. Positional

Competencies include knowledge and skills related to the particular context,

setting, field, or sector in which a leader is serving. (p.1)

The LCS 2.0 also provides a list of specific competencies, activities, and examples

associated with each theme (for details, see Appendix D) and lends itself for use as a

heuristic tool for self- or third-party assessment.

Ruben's (2006) book, What Leaders Need to Know and Do, presents an early edition of

the Leadership Scorecard Inventory. In taking a broader view of these tools, the

Extension Administrative Leadership Program (EALP) model (Wisniewski, 1999), the

American Council on Education (ACE) Fellows model (McDaniel, 2002), and the Higher

Education Leadership Competencies (HELC) framework (Smith, 2007) were designed

within the limited scope of one particular organizational type, higher education. Ruben's

(2006) model, on the other hand, is designed as a tool that could be used across the

broader spectrum of leaders within multiple organizational structures (see Table 2).

While the LCS 2.0 is a useful heuristic tool and based on a broad review and cluster

analysis of the leadership literature, it is was not designed as a scientific instrument or

intended to provide empirical evidence for the validity or the statistical independence of

the five categories. Also, there is no evidence that particular competencies or

combinations of competencies are associated with successful or unsuccessful leaders in

general or in particular organizational sectors. Nevertheless, the LCS 2.0 is seen as being

a useful tool for this study since it provides the most comprehensive inventory of

leadership competencies, and the breadth and depth of both the categories and specific

competencies can be helpful in capturing and articulating which competencies are key to

higher education presidential leadership. This study will help to test the usefulness of the

inventory for describing presidential leadership behaviors, characterizing critical

incidents in their tenure, and differentiating successful from unsuccessful outcomes.

In this study, the critical incident interviews provide the context in which presidential

leadership is considered, and provide the context for testing and advancing the LCS. As

explained in detail in the next chapter, the critical incident scenarios that emerge from the

interviews were analyzed and coded to identify presidential behaviors and abilities that

were demonstrated or absent in those critical situations. The identified behaviors were

then compared to LCS 2.0 in order to test, validate, and expand upon the competency

framework presented by Ruben (2006). Then, within the framework of competency

approach theory in general, and the LCS 2.0 model in particular, this study presents

empirical research and grounding in the assessment of leadership competencies perceived

as necessary for effective and ineffective presidential leadership in higher education.

Chapter III - Methodology

This chapter explains the methodological aspects of this research. After an overview of

the research questions, the following elements of the approach are discussed: the Critical

Incident Technique (CIT), the identification and selection of participants, data collection,

and data coding and analysis.

Research Questions

Broadly stated, the goal of this study is to further contribute to the literature on leadership

competencies in higher education. More specifically, the study seeks to advance our

understanding of the value of leadership competencies in defining and differentiating

effective and ineffective leadership by university presidents during critical incidents

throughout their tenure. In order to investigate these critical incidents a set of research

questions were designed to explore: 1) The types of events that might be deemed critical

for the role of a university president; 2) the ways in which presidents are perceived as

they respond to critical incidents; 3) what actions/behaviors specifically affect these

perceptions of presidents by other senior leaders; and 4) how these findings affirm,

enhance or challenge the existing competency frameworks.

More specifically, this study was designed to answer the following research questions:

RQ1   What kinds of situations do senior executive leaders view as particularly critical

incidents in the work of university presidents?

RQ2   What is the range of instances of particularly effective and ineffective leadership

behavior by presidents that senior leaders are able to identify?

RQ3   How do these behaviors align with leadership competency areas identified in the

Leadership Competencies Scorecard (LCS) 2.0?

The first research question sought to identify and list critical scenarios that face

university presidents. These scenarios were then classified by themes which emerged in

the analysis. This process presented an opportunity to develop and outline a list of

presidential responsibilities from the perspective of senior executive leaders. This set the

stage for testing the assumption that senior executive leaders can identify the expectations

and convey the greatest challenges faced in this role. The second research question

sought to understand how senior executive leaders differentiate, determine and define

presidential effectiveness and ineffectiveness in their response to critical incidents and

whether these leaders were able to pinpoint the specific actions and behaviors that are

associated with the perceptions of effective or ineffective leadership. Answering the third

question involved an analysis of the findings in comparison to the Leadership

Competencies Scorecard 2.0 in order to determine whether, and if so how, the identified

behaviors align with the overall competency areas. The LCS 2.0 served as a general

reference point for articulating how particular behaviors correspond to a set of skills,

knowledge and abilities that are deemed central to effective presidential leadership in

critical situations.[6]

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[6] LCS 2.0 provides a diverse array of leadership competencies drawn from a comprehensive review of
scholarly and professional writings which are discussed in detail in Chapter II.

Since the purpose of this study was more exploratory and understanding-oriented than

deductive and explanation-oriented (Creswell, 2002), a qualitative approach to data

collection and analysis was most appropriate. Halquist and Musanti (2010) assert that,

"Qualitative research makes it possible to reveal the often invisible but no less real

complexities of social structures and opens venues for knowing human and social life

more fully" (p. 449). In this case, the qualitative method allowed the researcher to collect

and analyze data that explain leadership qualities from the perceptions of the participants

and also to explore the value of the Critical Incident Technique and competency

framework. These approaches provided the context for deeper understanding and more

systematically identifying those situations which are helpful in characterizing the nature

of successful leadership in higher education as well as identifying behaviors which

contribute to or detract from it.

The Critical Incident Technique

The Critical Incident Technique (CIT) developed by Flanagan (1954) was selected as the

most appropriate option for generating the data necessary to further understand

presidential leadership behaviors/competencies which are perceived as impacting a

leader's effectiveness or ineffectiveness. This subsection includes: a definition of the

CIT; a description of different ways to approach and use this methodological tool; an

explanation as to why the CIT was chosen for this study; a discussion of how other

scholars have used this method; and a clarification of how the way the tool is used here

differs from previous research.

The CIT is a qualitative method designed to engage a participant's personal experience to learn about a particular event (Flanagan, 1954). This approach is taken when a researcher wishes to get participants to provide the most significant and memorable aspects of a prior event (Ruben, 1993). In his overview of the CIT, Flanagan (1954) provides the following summary:

> The Critical Incident Technique consists of a set of procedures for collecting direct observations of human behavior in such a way as to facilitate their potential usefulness in solving practical problems and developing broad psychological principles. The critical incident technique outlines procedures for collecting observed incidents having special significance and meeting systematically defined criteria. (p. 327)

The CIT can be approached through a variety of ways including phone interviews, observations, paper or email surveys or face-to-face interviews. Radford (2006) suggests that face-to-face, group or telephone interviews provide the advantage of allowing the researcher to probe for deeper meanings in statements made by participants. Radford (2006) provides a helpful guideline for using the CIT by providing sample questions for its use,

> CIT questions typically have this format: Remember a time when you had a successful (specify activity)? Please describe. What was it about (specified activity) that made it successful? Or the negative: Remember a time when you had an unsuccessful (specify activity)? (p.46)

In utilizing the CIT, Flanagan (1954) notes three specific ways to identify a critical incident:

1. An incident must be a description of a behavior that is sufficiently complete in itself to permit inferences and predictions to be made about the person performing the act;

2. It must occur in a situation where the purpose or intent of the act seems fairly clear to the observer; and,

3. Its consequences are sufficiently definite to leave little doubt concerning its effects. (p. 328)

Having a wide array of examples to choose from within the higher education environment, this study utilized the CIT because it provides a framework for examining perceptions of presidential experiences and responses to critical incidents. First, it allows the performance of an activity to be separated from a participant's opinion/judgment as to why a particular outcome was successful. Second, it allows the participant the ability to interpret the context surrounding the behavior being performed. Third, it provides the interviewer a structured opportunity to probe the participant for thoughts and feelings that occurred during the event in discussion and assess what factors occurred before and during that may have impacted the participants' behavior during the activity being discussed (Wisniewski, 1999). "In this way, the participant's knowledge, attitudes, thinking processes, intentions and perspectives on performance, and motivation during the situation can be collected and analyzed" (Wisniewski, 1999, p.17).

Furthermore, the CIT was chosen over other methodological approaches because:

1. As Anderson and Nilsson (1964) argue, it provides a well-regarded framework of information gathering to obtain facts in an objective manner with minimal inferences and interpretations of a subjective nature.

2. It lays out the context for empirically derived categorizations of behavior from actual examples of effective or ineffective performance observations.

3. The classification of effective and ineffective leadership behaviors identified by the CIT can be used to frame subsequent research and test assessment protocols such as the LCS.

4. It is an accepted method that has been successfully used in social science, higher education, and business research contexts. (Radford, 2006; Ruben, 1993; Stakhnevich, 2002)

While examples of studies of leadership in higher education utilizing the CIT exist they each leave significant gaps in their identification, understanding and generalizability of perceptions of effectiveness and ineffectiveness of presidential leadership at four-year institutions. Wisniewski's (1999) study surveyed a much wider range of frontline and mid-level leadership positions within the staff and faculty ranks from one university system, however this study never touched upon "presidential leadership"; Dean (1986) limited the focus of his dissertation to behavioral models of community college presidents in the state of Iowa; and Peterson (1972) limited the participant sample to only Midwestern presidents asking them to reflect on their own response to critical incidents which inherently contains a personal bias and flaw.

This study engaged the CIT differently than previous studies by using a broader, richer

and more diverse sample of institutional leadership behaviors based on a structured

approach of identifying senior leadership roles which require multiple stakeholder

interaction in their performance. The intended profile of this sample provided a more

inclusive illustration of perceptions of effective and ineffective leadership scenarios and

behaviors reflecting the many facets of higher education institutions. This approach was

designed to reveal the dynamics of the leadership process, paying special attention to the

competencies that are involved.

Identification and Selection of Participants

The high profile nature of the target population made is possible and practical to employ

a snowball sampling technique (Lincoln & Guba, 1985) to identify participants. In a

snowball sample, the researcher collects data on the few members of the target population

s/he can locate and then seeks information from those individuals that enable him/her to

locate other members of that population (De Vos, et al., 2002, p. 336). This sampling

approach made sense given the network of similarly-profiled peers participants would

have access to. As the focus is on the leadership behavior of higher education presidents,

there is a unique profile of people able to provide an informed perspective on these

behaviors. The study sample consists of 15 "senior executive leaders" (SELs), chosen to

participate due to their close working relationships with at least two university presidents

throughout their career. In particular, eight key SEL roles (described in Table 3) have

been identified as having both close working relationships with presidents and, in their

normal course of duties, responsibility for interacting with four or more stakeholder

groups. These leadership roles were chosen as the focus for the study because, like

presidents, their scope of responsibility, breadth of decision-making capability and high

expectations of accountability from their stakeholder groups, often presents them with

conflicting agendas and demands. Such positions in the leadership structure give these

leaders a unique, insider perspective into the complicated nature of presidential

responsibilities and challenges that may not be equally apparent or understandable to

other members of the institution. In addition, their level of leadership increases the

probability that they have had exposure to and interactions with multiple presidents,

including those from other institutions. These direct, first-hand experiences with multiple

presidents make them highly desirable participants for this study and encourage a greater

degree of candor as specific incidents and presidents are discussed.

To obtain potential participants for the study, the researcher first used the 2011-12

National Center for Education Statistics' Institute on Education Sciences, Postsecondary

Institutions and Price of Attendance in 2011-12, Degrees and Other Awards Conferred:

2010-11, and 12-Month Enrollment: 2010-11 report (Knapp, Kelly-Reid, & Ginder,

2012). The report identifies that of the 7,398 institutions of higher education in the US,

3,053 (41%) of them are four-year and of that number 1,611 (52%) are private, non-profit

institutions. While this study does not look at for-profit institutions[7], including them in

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[7] For-profit institutions have a different culture of governance and decision-making which is not the focus
of this study.

the number would show that 2,353 (77%) of U.S. institutions are private[8]. This

substantial majority coupled with the call for greater understanding of leadership in

higher education (Bolman & Gallos, 2011) have led to the targeted focus on US, four-

year, private, non-profit institutions. To add greater detail, the *2012 Middle States

Commission on Higher Education (MSCHE) Directory* was used to identify all accredited

institutions in the Middle States region, which includes Delaware, the District of

Columbia, Maryland, New Jersey, New York, Pennsylvania, Puerto Rico, the U.S. Virgin

Islands, and several locations internationally. This accrediting agency oversees a total of

585 institutions of which 314 (54%) are private, non-profit universities of varied sizes

within the regional proximity of the researcher. Each of the institutions has

representatives in the above-identified senior executive leadership roles.

Following the experiences learned throughout the pilot study, further refinement of the

geographic region occurred placing a focus on four-year, private colleges and universities

in the states of New York, New Jersey, Connecticut and Pennsylvania. These states were

chosen due to their proximity to the researcher and the wide variety of institutional types

within this four-state region. In addition to the MSCHE Directory, the membership list of

the National Association of Independent Colleges and Universities (NAICU) was also

obtained and used to support the institutional selection process. Once sorted by state, a

total of 234 schools were identified within these four states (CT-14, NJ-21, NY-122, and

PA-77) which met the study parameters and the sample was deemed adequate for

conducting this study. At this point, 24 institutions were randomly selected (six from

each state) that represented a wide spectrum of size, religious affiliation (or lack thereof),

and location (i.e., urban, suburban, rural). Once these 24 schools were identified, a hand

search of their organizational charts was conducted to identify the specific person serving

in one of the six senior leadership roles identified in Table 3. A grid was created to

organize the contact information for these potential participants. From this database, a

direct, individualized email was sent to each person inviting their participation.

Based on a review of more than 85 institutional organizational charts and 150 job

descriptions[9], the following senior level roles were identified for having multiple (4 or

more) stakeholder interaction requirements: Chief Academic Officer, Chief Institutional

Planning/Analysis Officer, General Counsel, Athletic Director, Chief

Advancement/External Relations Officer, Chief Financial Officer, Chief Information

Technology Officer, and Chief Research and Development Officer. The primary

responsibilities of each leadership role and corresponding stakeholder interactions are

described in Table 3.

The interviews took place over a period of approximately four months and totaled 15

participants. The age range of the participants was 39-70 with a median of 56 years old.

In the category of highest degree earned, two participants (13.3%) had a Bachelor's

degree, five had earned a Master's degree (33.3%) and eight participants possessed a

[9] Over 150 sources identified for this information. The researcher conducted internet searches of multiple
higher education employment sites such as higheredjobs.com, chronicle.edu and individual
college/university human resources sites, including nyu.edu/hr; syr.edu/hr; union.edu/hr; and institutional
administration pages such as Harvard.edu, Utica.edu, princeton.edu, Columbia.edu

Doctorate (53.3%). All except one participant identified as White (Non-Hispanic). There

were five female participants (33.3%) and 10 male participants (66.6%). There was a

fairly consistent distribution among sizes of institutions with four participants (26.6%)

working at small institutions, which are institutions of 1,000-2,999 students; six

participants (40%) working at medium-size institutions, which are institutions of 3,000-

9,999 students and; five (33.3%) participants working at large institutions, which are

institutions of 10,000 students and above.

The 15 participants spanned a wide range of roles to include: one Athletic Director

(6.6%); three Chief Academic Officers (20%); three Chief Advancement Officers (20%);

four Chief Financial Officers (26.6%); two Chief Information Planning & Analysis

Officers (13.3%); one Chief Information Technology Officer (6.6%); and one General

Counsel (6.6%).

A limitation that should be acknowledged is that the role of Chief Research and

Development Officer was only found at one institution in the sample and that person

declined to participate in the study. As such, this role was not engaged in the data

collection. It is not believed that this role is significantly different from the others and,

thus, would not have yielded different data.

Table 3. Senior Executive Leaders Subset

Title	Responsibilities	Primary Stakeholder Interactions
Chief Academic Officer	Responsible for all academic functions, including the academic deans, operations of undergraduate and graduate programs, academic student services, faculty recruitment and development, chief steward of the academic mission and core values of the institution, oversight of budgets for the academic division, and leadership of the shared governance system.	Community, Faculty, Governing Board, Politicians/ Government Officials, Staff, Students
Chief Advancement/ External Relations Officer	Responsible for coordinating and managing all fund-raising activities to provide support operations, capital projects, special programs, and the endowment. In addition this role directs the university's alumni, development, marketing, public relations, digital media services, and publications areas.	Alumni, Community, Donors, Employers, Faculty, Governing Board, Parents, Politicians/ Government Officials, Staff, Students
Chief Financial Officer	Responsible for operations, finance and budget, accounting, payroll, facilities maintenance, capital projects and grounds, public safety, procurement, distribution services, dining services, occupational health and safety, environmental services, events management, and bookstore (if there is one).	Community, Faculty, Governing Board, Politicians/Government Officials, Staff, Students
Chief Institutional Planning/Analysis Officer	Responsible for the development and maintenance of data resources used to provide support to the University community for planning and decision making.	Faculty, Governing Board, Politicians/ Government Officials, Staff, Students
General Counsel	Provides legal counsel and representation, litigation and legal risk management, contract drafting and review, compliance oversight and other services and counsel to all parts of the University. In addition, provides counsel in decision-making to the Governing Board, the President, Provost, Vice Presidents, Deans and Directors, faculty, supervisors and other employees acting in their capacity as employees.	Alumni, Community, Donors, Employers, Faculty, Governing Board, Parents, Politicians/ Government Officials, Staff, Students
Athletic Director	Oversees university athletic program including: planning; implementing and directing all administrative activities; budgeting; hiring coaches; strategic planning; monitoring sports programs; development and staffing.	Alumni, Community, Donors, Faculty, Governing Board, Parents, Staff, Students
Chief Information Technology Officer	Has overall responsibility for computing in support of research and with providing further leadership in incorporating technology into education at both the undergraduate and graduate levels. In addition has oversight for telecommunications, networking and general computing services.	Alumni, Employers, Faculty, Staff, Students
Chief Research and Development Officer	Responsible for intellectual research. Priorities include promotion of interdisciplinary research and scholarship, facilitation of technology transfer and economic development, establishment of regional, national, and international cooperative research ventures.	Alumni, Community, Employers, Faculty, Politicians/ Government Officials, Staff, Students

To gain participation, a snowball sample (Gall, 1996) was obtained first, through use of

the "Administration" contacts from institutional websites, assistance from Human

Resource directors and colleagues who have contacts with senior executive leaders and

then from the participants' recommendations. An email was sent to eligible participants

outlining this study and requesting their voluntary participation, followed by a phone call

to schedule an interview within two weeks of the email/letter delivery. Informed consent

was obtained from each participant prior to the in-person interview, including their

permission to record the interview and to produce verbatim transcripts for the purpose of

this research (Appendix A). Approval for the research protocol was received from the

Rutgers IRB on September 7, 2012 (Protocol IRB #: 13-072M).

Interview Setting and Data Collection

Each interview was conducted face-to-face in the participant's office or conference room

and followed a semi-structured interview guide (see Appendix B). All of the interviews

took place in an office or conference room. The ability to conduct the interview at the

participants' respective institutions played an important role in providing a comfortable

space and allowed for a number of anecdotal discussions around leadership that were

directly connected to environmental factors. Interviews ranged between 45 minutes to an

hour and a half in length.

The interview consisted of the following four sections: 1) Consent to Participate in the

Study/ Statement of Confidentiality; 2) Effective Critical Incidents; 3) Ineffective Critical

Incidents; and 4) Demographic Data (see Appendices A-C). Using the Critical Incident

technique (CIT, Flanagan, 1954; Ruben, 1993), participants in the study were asked to

recall and describe a total of four critical incidents, two of which exemplify a president

handling a situation in an effective manner, where the results were desirable and two of

which exemplify the actions/behavior of the president that led to an undesirable result on

the incident in discussion. In each case, participants were asked to refer to their

professional experiences working with or reporting directly to at least two presidents in

their career. They were then asked to describe and explain why they believe this was an

example of effective or ineffective leadership. This approach was taken to reveal the

dynamics of the leadership process, paying special attention to the competencies that

were involved. The questions were open-ended to allow participants to provide their own

definitions and contextual framework of leadership as they view it.

Specifically, the questions were as follows:

1. As you think back on your experiences as a senior executive in a college or
   university, can you recall a memorable critical incident that you observed
   directly--or were very knowledgeable about--where particularly effective
   leadership was shown on the part of a university president?

   a. Please describe.

   b. Can you explain exactly what made this so memorable for you as an
      example of effective leadership?

   c. What did the president do/not do that makes this an example of effective
      leadership in your mind?

    d. Were there any particular talents, capabilities or approaches that helped him/her handle this in an effective way?

2. Once again, as you think back on your experiences as a senior executive in a college or university, can you recall a memorable critical incident that you observed directly--or were very knowledgeable about--where particularly effective leadership was shown on the part of a university president?

    a. Please describe.

    b. Can you explain exactly what made this so memorable for you as an example of effective leadership?

    c. What did the president do/not do that makes this an example of effective leadership in your mind?

    d. Were there any particular talents, capabilities or approaches that helped him/her handle this in an effective way?

3. Now, as you think back on your experiences as a senior executive in a college or university, can you recall a memorable critical incident that you observed directly--or were very knowledgeable about--where particularly ineffective leadership was shown on the part of a university president?

    a. Please describe.

    b. Can you explain what, exactly made this so memorable for you as an example of ineffective leadership?

    c. What did the president do/not do that makes this an example of ineffective leadership?

    d. Were there any particular talents, capabilities or approaches that helped them handle this in an effective way?

4. Once again, as you think back on your experiences as a senior executive in a college or university, can you recall a memorable critical incident that you observed directly--or were very knowledgeable about--where particularly ineffective leadership was shown on the part of a university president?

    a. Please describe.

    b. Can you explain what, exactly made this so memorable for you as an example of ineffective leadership?

    c. What did the president do/not do that makes this an example of ineffective leadership?

    d. Were there any particular talents, capabilities or approaches that helped them handle this in an effective way?

A digital voice recorder was used by the researcher to record participants' responses. Each interview was transcribed and all identifiable information substituted with a pseudonym in the transcript by the researcher prior to review by the second coder to maintain confidentiality.

Data Coding and Analysis

Upon the completion of each interview, the recordings were immediately transcribed verbatim by the researcher and the field notes taken during the interview were reviewed and clarified as necessary.

"Raw field notes and verbatim transcripts constitute the undigested complexity of

reality" (Patton, 2002, p. 463). As a first step, in the analysis of the interview transcripts,

a full-reading was conducted to ensure validity and consistency in the content. The

second step consisted of a review of the interview transcripts to identify each critical

incident and determine each classification of effective or ineffective. In this process an

additional classification, "Unable to identify" was added to the list in places where a

participant was not able to recall or had not experienced an example of an effective or

ineffective critical incident. As part of this step, the process of initial coding (Angelides,

2001) took place and two codebooks were created. These codebooks captured the process

of identification, categorization and definition for the key themes identified through the

analysis of the participant data. The goal of this activity was to develop a framework that

would help in addressing the research questions. As McCracken (1988) writes, "The

object of analysis is to determine the categories, relationships, and assumptions that

informs the respondent's view of the world in general and the topic in particular (p.42)."

As explained previously, the Critical Incident Technique (CIT) interviews served as the

data gathering technique for all four research questions. It was assumed that an average

of three critical incidents would be provided per interview, and estimated that there

would be a total of approximately fifty-four reported incidents.

The critical incidents provided by the participants were coded and verified by the

researcher through a constant comparative analysis (Cavana, Delahaye, & Sekaran, 2001)

to identify and code key leadership behaviors as they surface. A constant comparative

analysis allows the researcher to categorize data as it is interpreted. In this process, there

were no pre-determined categories, which allowed themes to permeate through a natural

process of deductive reasoning. A second coder was then asked to review the codebook

of three of the interview recordings and code them independently using the coding

scheme and procedures.[10]

The overall steps of the methodological process can be summarized as follows:

1. Critical Incident Technique (CIT) Interviews

2. Interview recording transcriptions

3. Multiple read-throughs of the transcriptions

4. Creation of Critical Incident (CI) Abstracts

5. Coding of identified Presidential behaviors

6. Comparison and grouping of the coded behaviors based on the corresponding
   LCS 2.0 leadership competency areas

7. Analysis of coding results

The table below summarizes the data gathering technique, data analysis technique and

coding procedure and categories for each research question.

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[10] The second coder was chosen for this study for having experience in qualitative methodological
approaches and also for holding a Ph.D. from a Carnegie I research university. This selection also
minimized the time required for training. The second coder and the main researcher reviewed the coding
technique used in this study together to ensure that they both applied the same approach.

Table 4. Research Questions and Methodology

	RQ1	RQ2	RQ3
	What kinds of situations do senior executive leaders view as particularly critical incidents in the work of university presidents?	Are senior leaders able to identify instances of particularly effective, and ineffective, leadership behavior by presidents?	How do these behaviors align with leadership competency areas identified in the Leadership Competencies Scorecard (LCS) 2.0?
Data gathering technique	Critical Incident Technique (CIT) Interviews		
Data analysis technique	Category development through identification of key themes/patterns. A qualitative constant comparative analysis will be used in the development of coding scheme (Charmaz, 2006)		
Coding Procedure and Categories	Critical Incident (CI) Abstract: Incident Type President's Response/Action Effective/Ineffective (E or I) End Result	Nvivo software used to code the observed/associated CIT behavior. Codes to correspond with relevant CI abstract and type of behavior (E or I) For example: CI1-E1; CI1-I1	Compare and group described behavior with corresponding LCS 2.0 leadership competency areas: 1. Analytic 2. Personal 3. Communication 4. Organizational 5. Positional

Details of Coding Process

Given the expectation that qualitative inquiries produce volumes of data, the issues of

sorting and reducing transcriptions had to be tackled before successful analysis or

clarification would be plausible (Auerbach & Silverstein, 2003; Bogdan & Biklen, 2003;

Creswell, 1998, 2002). To gain a broad view of the raw data, the researcher first read

through all of the transcriptions. The process of analyzing critical incidents required a

level of flexibility for the allowance of patterns, categories and themes which emerged

throughout the process.

In order to provide coding for data gathered to answer the first two research questions

(RQ1 and RQ2), a Critical Incident (CI) Abstract was created to summarize each of the

following in one to three sentences: 1) Incident Type (what happened, the

circumstances); 2) President's Response/Action (what the President did to address the

critical situation); 3) Type of Leadership Behavior [Effective (E) /Ineffective (I)]; 4) End

Result (what effect the President's response had on the situation). Additionally, each CI

Abstract was dated and coded based on the chronological order of the interview and

example type. For example, the abstract from the first interview providing the example of

effective Presidential behavior was coded CI-1, E-1 and placed in the corresponding

codebook. The example from the same interview/interviewee providing an example of

ineffective Presidential leadership was coded CI-1, I-1, and placed in the corresponding

codebook for ineffective examples, etc. Considerable efforts were undertaken to retain

the intent of the incident as described by participants in the interview (Maykut &

Morehouse, 1994). For example, if a participant shared an experience of a president being

informed that four students were in a car accident in a foreign country while on a spring

break research excursion, the researcher probed to understand how the president

expressed thoughts in response to receiving that news, what did he/she do publicly, what

actions followed the decisions of the president, etc. As patterns/categories emerged from

the data, the coding scheme was then constructed.

In order to code data to answer research question number three (RQ3), following Welsh's

(2002) advice, Microsoft Excel software was used to organize the codes observed and

associated with CIT behavior. The produced coding was then marked to correspond with

relevant CI abstract and type of behavior (E or I), for example: CI1-E1; CI1-I1, etc.

Finally, the coding consisted of comparing and grouping the behaviors coded with

corresponding LCS 2.0 leadership competency areas: Analytic, Personal,

Communication, Organizational, and Positional.

Validity and Reliability

According to Ratcliff (1983) and Merriam (1995), researchers can find validity and

reliability in qualitative research in a number of ways:

1. Triangulation- the use of other investigators, a wide range of data elements, or

   multiple methods to confirm emerging trends. This was the primary method used

   and will be discussed in greater detail in the next section.

2. Member checks- where the researcher reconnects with participants, at the

   completion of the study, and asks them to affirm and/or offer corrections on the

   interpretation of the data.

3. Independent peer/colleague evaluation- asking peers or colleagues to examine the

   results and "to comment on the plausibility of the emerging findings." (Merriam,

   1995, p.54-55)

4. Divergence from early assumptions- this is where a researcher's personal notes

   are kept from the start of the study and cross-referenced at the end of the study to

   identify changes in assumptions.

To find reliability in this qualitative research, the researcher engaged the process of

triangulation through the multiple data elements available. Constant affirmation of

identified themes would occur as participants presented repetitive responses to interview

questions. In addition, the live examples described by the participants served as an

additional opportunity to affirm the "reality" of the situation (Patton, 2002). While there

are a number of synonyms for reliability, the most important for qualitative research are

dependability and consistency because they help put this research into perspective. Every

effort was made to ensure the highest reliability during this study and the use of

triangulation added to the validity of this research.

Triangulation

Patton (2002) identified triangulation as a qualitative research method utilized to cross-

reference data while adding greater confidence in the results because it strengthens a

study by utilizing multiple approaches.

There are four basic types of triangulation: (1) data triangulation, (2) investigator

triangulation, (3) theory triangulation, and (4) methodological triangulation (Patton,

2002, p. 247). Methodological triangulation, which uses multiple methodological sources,

was used throughout this research endeavor to strengthen this study's reliability. The

Critical Incident Technique (CIT) was used with each participant triangulating multiple

data points that were cross-referenced with the CIT. The participants' responses to

interview questions, the effective and ineffective behaviors identified, the critical

incidents presented and the LCS 2.0 were continuously cross-referenced in order to

determine if there were reliable emerging themes across the data.

This method was first applied in a pilot study. It was subsequently refined through

lessons learned from the pilot process, as discussed in the following chapter.

Chapter IV - Pilot Study

The first phase of the research design consisted of a pilot study utilizing the identified

methodology with two senior executive leaders. The pilot study set out as an exploratory

process to test the approach and methodology of the dissertation proposal and sought to

identify initial common themes which may arise during discussions of effective and

ineffective presidential leadership in higher education institutions. The pilot study also

sought to address the following concerns: How difficult would it be to gain consent and

participation of senior leaders in the interview process? How detailed would participants

be when explaining the actions of former and current direct supervisors? How receptive

would interviewees be to disclosing specifics of cultural dynamics that occurred during

the critical incidents? This chapter outlines a description of the methodological approach

tested in this pilot study, discusses the analysis of the interview data, identifies initial

findings and discusses implications for the main study.

Pilot Project Overview

The pilot study was limited to two senior executive leader interviews, both of whom fit

the overall criteria of the participant classifications. There was a deliberate decision to

select one interviewee who represented an academic leadership role and one from an

administrative role. While both pilot study participants were female, their backgrounds as

well as their educational, environmental and institutional experiences were very different.

Participant 1 was emailed a request for an interview and responded with an affirmative

response in less than 24 hours. Due to scheduling constraints, the first interview was

conducted in a restaurant over lunch, at the request of the participant. It provided

convenience for the leader's travel itinerary and allowed the interview to fit into the busy

schedule of this participant. The questions were not provided in advance, however an

outline with the topic and goal of the study was sent via email a week before the

interview. After a brief introductory discussion, the interview began and lasted for

approximately 45 minutes. Participant (BDA 1) was able to provide four critical

incidents. Two of these incidents were examples of effective leadership incidents, and

two would be classified as ineffective.

Participant 1 was quite open to sharing details under the assurance of confidentiality and

provided direct responses to the questions posed. However, there were points in the

interview where a need arose to ask probing questions to clarify details of the situation

being described. In some cases, technical jargon created a challenge (e.g., financial terms

used to describe mergers and acquisitions); in other cases, the participant's language

lacked the specificity necessary to create a clear synopsis of a scenario, and in other cases

probing questions were asked to get a broader picture of the environmental factors at play

(e.g., institutional culture, underlying tension, institutional fiscal security, etc.) It is

important to note, particularly in the pilot study that at no point did the participant decline

to answer any question posed.

In contrast to the first participant, BDA 2 was a much greater challenge when it came to

setting up an interview. The initial contact was almost three months prior to the actual

interview. This delayed response was due primarily to a job transition and a very busy

schedule for this senior executive leader. The process for setting up this interview was

completely by email and only an overview of the study was sent in anticipation of the

meeting. Once again, the participant noted almost immediately after sitting down that it

would have been very helpful to have the questions in advance. Participant BDA 2

commented that the busy schedules of senior executive leaders only gives them short

windows of time to process things before they are bombarded with something else.

In the beginning of the interview participant BDA 2 was having trouble identifying two

examples for each and ended up providing two effective and one ineffective example of

leadership behavior in critical incidents. This interview was quite rich in data because this

participant had scholarly experience in leadership in their own background. The

anecdotes provided were clear, concise and were indicative of someone who took time to

reflect on actions of higher education leaders throughout their careers. This was not the

case of the first participant and was not expected to be a common occurrence of

subsequent participants. In addition to providing examples of behaviors, this participant

also shared particular insights and observations that they consider to be key to effective

and ineffective presidential tenures. Many of these observations were quite helpful in

developing coding categories for the pilot interviews.

At the end of both interviews, the recorder was turned off so that demographic data

collection could be done and secured separately from the recorded interview. In order to

facilitate the separate storage and security, the researcher developed a google form which

the data was entered into manually to maintain participant confidentiality. The

demographic questions asked for age, ethnicity, highest degree earned, gender, institution

size, number of roles held directly reporting to a president, number of years in current

position, number of presidents they have reported to, and the number of years employed

in higher education.

Findings

Each of the interviews was transcribed into a Microsoft Word document and loaded into

NVivo, a qualitative research software package that is used to assist with the organization

and analysis of data. The resulting transcripts were 10 pages, single-spaced each. Initial

color codes were created for each titular role as outlined in the dissertation proposal (i.e.,

Chief Academic Officer was red, Chief Advancement Officer was green, etc.).

Coding Approach

Due to the focus on critical incidents within the study, the following information was

identified and classified through the coding process:

1. Incident type, i.e., the type of critical situation the president faced (e.g., financial, curriculum, etc.)
2. President's response – action/behavior (what the president did or didn't do)
3. Type of Behavior (effective/ineffective)
4. End result (effect of the President's response on the situation)

A particular focus was placed on the President's response to critical incidents and the

reason why the participants deemed these actions and behaviors as effective or

ineffective.

The coding process consisted of two stages:

First Coding Phase - Thematic and *In Vivo* Approach.

The initial coding phase consisted of a combination of a Thematic and an *In Vivo*[11]

coding approach.

First, the researcher read the interview transcripts and identified general "themes" that

corresponded to the above information type categories that were to be discerned from the

interview. The researcher also identified the specific language used by the participants,

particularly as it related to their description of the President's response (action/behavior)

to the critical incident. Through this approach, the codes were designed to contain a word

or short phrase from the actual language used by the participants. Using the participants'

own language in this study is particularly important, since the study is centered on the

participants' perceptions and constructions of what constitutes effective or ineffective

leadership.

Second Coding Phase - Pattern Coding

The second phase consisted of a pattern coding approach. The general themes and *In Vivo*

codes were analyzed in order to develop category labels for similarly coded data. In the

second phase, the five LCS 2.0 competency areas were used as "meta-codes" to group the

data identified in the first phase of coding:

1. Analytic
2. Personal

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[11] *In Vivo* is a method used in qualitative transcript analysis that allows the researcher to code themes in-line with the text. NVivo is a software package available for conducting qualitative studies using multiple media sources.

3. Communication
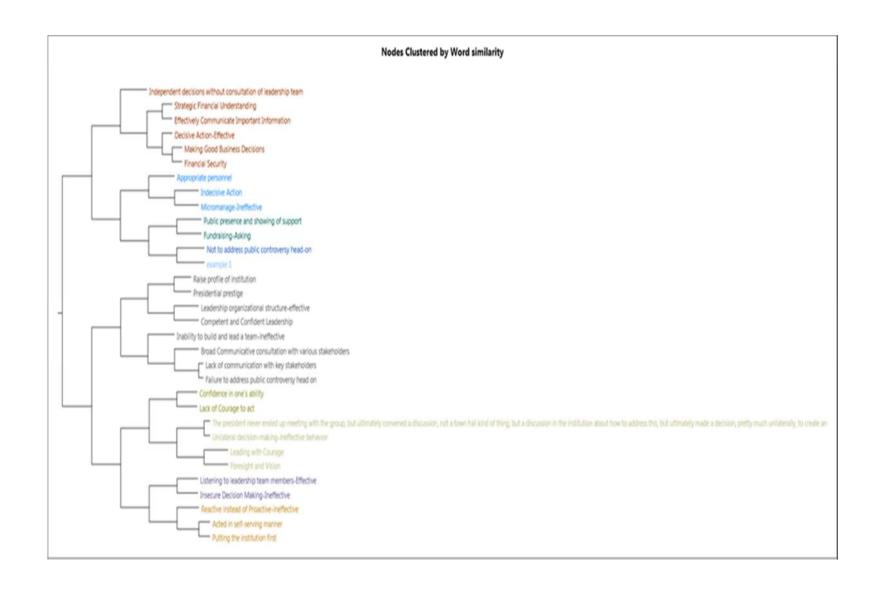4. Organizational
5. Positional

Analysis

After a second reading of the transcript, coding was done to identify broad themes that

resonated from each interview. NVivo allows the researcher to simply highlight the text

and enter themes, identifying them as a "Node". Early coding of Interview BDA 1

resulted in 29 nodes (themes) with examples of effective leadership framed by statements

like "making good business decisions" and "effectively communicating important

information". Ineffective leadership comments included, "Micromanaging senior staff"

and "lack of courage to act during crises". Early coding of Interview 2 resulted in 24

nodes with examples of effective leadership exemplified by statements like "ability to

increase the profile of the institution" and "broad communicative consultation with key

stakeholders". Ineffective leadership comments included "not addressing a public

controversy head on" and "inability to build and lead an effective team".

On the following page, there is an NVivo report that allowed the researcher to look at

clusters of responses in which respondents used the same or similar words. This chart

was included in the pilot review for two reasons. First, it presented a partial list of the

data gathered to show the depth, breadth and quality of the participant data coded.

Second, it allowed the researcher to test NVivo's output capability to assess possibilities

for data analysis upon completion of data collection. The example presented represents a

diagram organized by word similarities from the initial coding. For example, the red

shows references to "business acumen," dark gray reflects "communication." This

capability was useful during the analysis because words could be identified to show

themes which emerged across the examples of effective or ineffective leadership.

Nodes Clustered by Word similarity

- Independent decisions without consultation of leadership team
- Strategic Financial Understanding
- Effectively Communicate Important Information
- Decisive Action-Effective
- Making Good Business Decisions
- Financial Security
- Appropriate personnel
- Indecisive Action
- Micromanage-Ineffective
- Public presence and showing of support
- Fundraising-Asking
- Not to address public controversy head-on
- example 1
- Raise profile of institution
- Presidential prestige
- Leadership organizational structure-effective
- Competent and Confident Leadership
- Inability to build and lead a team-ineffective
- Broad Communicative consultation with various stakeholders
- Lack of communication with key stakeholders
- Failure to address public controversy head on
- Confidence in one's ability
- Lack of Courage to act
- The president never ended up meeting with the group, but ultimately convened a discussion, not a town hall kind of thing, but a discussion in the institution about how to address this, but ultimately made a decision, pretty much unilaterally, to create an
- Unilateral decision-making-ineffective behavior
- Leading with Courage
- Foresight and Vision
- Listening to leadership team members-Effective
- Insecure Decision Making-Ineffective
- Reactive instead of Proactive-ineffective
- Acted in self-serving manner
- Putting the institution first

Lessons Learned

The process of conducting this pilot study was a helpful test of the methodological

approach, and data collection strategy. Upon conclusion of the Pilot Study, the following

lessons learned helped to refine the data collection procedures for the Main Study:

1. Send questions in advance to participants. In each interview, participants

    expressed a desire to have the questions in advance to give them a chance to

    identify critical incidents prior to our scheduled meeting. In one case, the

    participant expressed concern that once their day begins they face dozens of

    situations, challenges and "attention grabbers" that require their focused energy.

    This could detract from the mental energy and ability of a participant to think

    across the many years of career experiences for the best examples of effective and

    ineffective leadership behaviors of University Presidents. As such, the approach

    was modified to ensure that the participants received the questions before the

    interview and, additionally, to have a set of questions to probe participants'

    memory.

2. Be ready with a specific list of probing questions to prompt participants to think

    about and identify specific actions taken by the leader in question.

3. Remain open to allowing participants to provide their own thoughts or

    perspectives on leadership if they wish. One useful strategy for generating a

    productive interview was to be flexible and open in terms of allowing opportunity

    for participants to express their views on leadership without excessive limitations

    on the flow of the interview.

4. Do not schedule more than one interview a day to mitigate the fatigue of the interviewer. An important point in planning is the number of interviews conducted in a given day. The level of cognitive focus required to both record and mentally process the data is significant, especially when walking through years of professional experiences being shared by participants.

5. Create efficiencies by scheduling interviews on consecutive days in geographic proximity of each other.

6. Schedule interviews to last 45 to 60 minutes. This is the time-frame that worked well for both interviews as it allowed for a comprehensive, non-rushed conversation and it fits within the reasonable window of availability for senior executive leaders.

7. Choose a quiet, non-public location for the interviews. The first participant requested a restaurant location for their interview because of convenience. The environment proved to be quite distracting for the researcher because of noise, wait staff interruptions, standard dining protocols, and general activity in the restaurant. This complicated the note-taking process and made portions of the recorded interview inaudible because of background noise spikes that overshadowed the verbal discourse.

8. Continue to use snowball sampling to recruit further participants. The snowball sampling seems to be an effective method to find more participants as both senior executive leaders from the pilot study offered to assist with finding other participants.

9. Assure confidentiality to allow for open and direct responses. Assuring

   participants confidentiality facilitated an honest conversation and at no point was

   there a hesitation to respond to any of the questions.

10. Do not use NVivo software for the main study. The process of utilizing NVivo

    seemed to provide the control and flexibility needed by the researcher for

    continuing the more extended dissertation study. However, a number of

    challenges were identified with this approach, including the high cost of the

    program, the complexity of the software interface, and the limited training and

    support options available throughout the study. In the final study, a determination

    was made not to use NVivo and instead Microsoft Office products provided an

    adequate alternative at a fraction of the cost and with much fewer implementation

    hurdles.

11. Use a mobile device for collection of demographic data. A final modification was

    to allow participants to enter their demographic data directly through a mobile

    device, such as an iPad, to increase the level of confidentiality of the data

    collection. The creation of a secure Google form allowed the data to be

    consolidated into one spreadsheet for analysis and removed the intermediate step

    of the researcher asking questions which could have been deemed personal.

The experience of conducting the pilot study was quite helpful in clarifying the best

approach to data collection for this research. As a result of the lessons learned, the above

discussed modifications were applied to the main study.

Chapter V - Findings

This chapter provides a summary of results for the three research questions presented in this study; namely, it discusses the kinds of situations senior executive leaders (SELs) described as particularly critical incidents (CIs) in the work of university presidents with whom they have worked, the range of examples of particularly effective and ineffective leadership behavior SELs identified in that context, and how presidents' behaviors in response to the CIs align with leadership competency areas identified in the Leadership Competencies Scorecard (LCS) 2.0.

The purpose of this study was to gain a greater understanding of what defines effective and ineffective presidential leadership in higher education institutions. In setting out to accomplish this goal a number of steps were taken. Although these steps were discussed in previous chapters, a summary of the process is outlined below.

1. Literature Review - a comprehensive reading of existing literature on leadership behaviors, the distinguishing characteristics of higher education institutions, and higher education-specific competency studies.

2. Critical Incident Technique (CIT) Interviews – face-to-face interviews of senior leaders who directly report to the President of their institution in order to identify what SELs deemed as presidents' effective and ineffective responses to critical incidents. The critical incident narratives described episodes in the role performance of a president, the consequences of which were perceived by senior

executive leaders as having a significant positive or negative impact within the
institution.

3. Interview recording transcriptions and multiple read-throughs of the transcripts,
   coding of data through identification of Presidential behavioral themes.

4. Comparison, grouping, and analysis of the coded behaviors based on the
   corresponding LCS 2.0 leadership competency areas - analysis was performed on
   presidents' behavioral themes seeking to identify how they aligned with the
   Leadership Competencies Scorecard (LCS) 2.0 (Ruben, 2006).

The following is a summary of findings, organized by each research question.

**Research Question 1- What kinds of situations do senior executive leaders view as
particularly critical incidents in the work of university presidents?**

To collect data needed to answer the above question, the critical incident technique
(Flanagan, 1954) was used to elicit and identify a list of incidents which senior executive
leaders observed and believed to have been critical in the tenure of a university president.
These critical incidents span a wide range of topics presidents have faced such as fiscal
mismanagement, racial unrest, uncontrollable utility outages from a major regional storm
for almost seven days, challenges to one of the core tenets of higher education- freedom
of speech when protests erupted over the invitation of a controversial author to speak on
campus, issues of abuse through hazing rituals that faculty members were aware of and
condoned, budgetary shortfalls when a miscalculation had a negative revenue impact of

almost 25%, plagiarism in senior ranks, discontent related to NCAA athletics when the

institution decided to invest heavily in shifting from Division III to Division I, academic

and administrative tension in decision-making, core requirement disputes that delayed

graduation eligibility decisions for 15% of the student population, and the pressures of

unmet expectations of the local community who believed the institution should invest

more dollars in local infrastructure because they were in the community. As shown in

Table 5, a total of 54 usable critical incidents were collected and summarized

alphabetically.

Table 5. Complete List of Collected Critical Incidents

Critical Incidents	Valence (as reported by participants)
1. "N" Word Found on Door in Residence Hall	Effective
2. Board of Trustee Governance Reorganization	Effective
3. Campus Power Loss for 7days due to Hurricane Sandy	Effective
4. Controversial Campus Speaker	Effective
5. Controversial Campus Speaker	Effective
6. Controversial Campus Speaker	Effective
7. Controversial Dean Appointment	Effective
8. Core Curriculum Changes	Ineffective
9. Creation of Division I Athletic Team (Basketball)	Ineffective
10. Decision to Consolidate Individual Schools into Multiple Parts	Ineffective
11. Employee Attempt to Unionize	Effective
12. Employee Misuse of Federal Grant Funds	Ineffective
13. Financial Aid Miscalculation--Institutional Loss of $20Million	Effective
14. Freshman Hazing	Effective
15. Greek Life Housing Consolidation/Removal	Effective
16. Head of Construction "Greasing the Wheels"	Ineffective
17. Health Care Contract Indecision	Ineffective
18. Hiring a Less Qualified Friend for a Key Leadership Position	Ineffective
19. Illegal Admissions Practices	Ineffective
20. Institution in Financial Distress Upon Arrival	Effective
21. Institutional Lay-Offs	Effective
22. Institutional Master Plan Creation	Effective
23. Land Purchase	Ineffective
24. Merger and Consolidation of Institutions	Effective
25. Naked Student Streaking During Commencement	Ineffective
26. National Publicity Surrounding a Controversial Religious Play	Effective
27. New President Facing Fiscal and Cultural Challenges	Effective
28. New to HE (Unfamiliar with Culture)	Ineffective

29. Paralyzing Delay to Decide on Strategic Plan Recommendations	Ineffective
30. Perceived Lack of Sensitivity toward Racial Issues	Ineffective
31. Plagiarized Book Review	Ineffective
32. President Died in Office (Hid Health Issues)	Ineffective
33. President's Nervous Breakdown	Ineffective
34. Pressure to Replace Key Personnel in Partnership Agreement	Ineffective
35. Public Comments Scrutinized	Ineffective
36. Reduction in Force	Effective
37. Remove Long-standing Requirement for "Graduate Experiential" Course	Effective
38. Repositioning Athletics into Division III	Effective
39. Senior Leader Abuse of Corporate Credit Card/Expense Account	Ineffective
40. Separation from Parent Institution	Ineffective
41. Significant Enrollment Decline	Ineffective
42. Significant Tension between President and Faculty Senate Leadership	Ineffective
43. Staff Changes in Student Affairs Leadership	Ineffective
44. Student-Athlete Shot and Killed by Police Officer Outside the Campus	Effective
45. Superstorm Sandy	Effective
46. Termination of a Long-standing Dean	Effective
47. Termination of CFO for Financial Mismanagement	Effective
48. Theater Department Hazing	Ineffective
49. Theology Professor Released an "Anti-Catholic" Book	Effective
50. Third Party-Academic Partnership	Effective
51. Town-Gown Relationships	Effective
52. Transition of Athletic Coach	Effective
53. Unfocused, Undisciplined, No Big Ideas	Ineffective
54. Wrongful Action Litigation against the Institution	Effective

When asked to identify and describe an example of an effective critical incident, each of

the 15 participants was able to identify two effective critical incidents with the exception

of one participant who was only able to provide one. Therefore a total of 29 effective

CI's were elicited and are listed alphabetically in Table 6. When asked to identify and

describe an example of an ineffective critical incident, 11 participants identified two CI's,

three participants identified one CI, and one participant was unable to provide any

examples of ineffective critical incidents. Therefore, a total of 25 ineffective CI's were

elicited and are presented alphabetically in Table 7. As the data were collected and

categorized, it became clear that a wide variety of examples could be identified of

effective and ineffective critical incidents. The definitions of effective and ineffective

critical incidents were left to the participants. By not confining the participants to

customary terms of positive and negative, a richer set of data is presented as effective and

ineffective, which in itself could serve as an opportunity for future study. As outlined in

Table 6, examples of effective critical incidents ranged from situations where the

president faced an institution under significant financial distress, a controversial campus

speaker, campus power loss for 14 days, a freshman hazing incident, and the transition of

a well-liked athletic director. As outlined in Table 7, among the ineffective critical

incidents identified were criticism of hiring decisions of key leadership positions, lack of

sensitivity to racial issues, significant enrollment declines, and a bribery scandal

involving a top university official.

Table 6. List of Critical Incidents Responded to in an Effective Way

Critical Incidents (listed in alphabetical order)
1.   "N" word found on door in Residence Hall
2.   Board of Trustee Governance Reorganization
3.   Campus Power Loss for 7days due to Hurricane Sandy
4.   Controversial Campus Speaker
5.   Controversial Campus Speaker

6.	Controversial Campus Speaker
7.	Controversial Dean Appointment
8.	Employee Attempt to Unionize
9.	Financial Aid Miscalculation-Institutional loss of $20Million
10.	Freshman Hazing
11.	Greek Life Housing Consolidation/Removal
12.	Institution in Financial Distress Upon Arrival
13.	Institutional Lay-Offs
14.	Institutional Master Plan Creation
15.	Merger and Consolidation of Institutions
16.	National Publicity Surrounding a Controversial Religious Play
17.	New President facing Fiscal and Cultural Challenges
18.	Reduction in Force
19.	Remove long-standing requirement for "Graduate Experiential" course
20.	Repositioning Athletics into Division III
21.	Student-Athlete Shot and Killed by Police Officer Outside the campus
22.	Super Storm Sandy
23.	Termination of a Long-standing Dean
24.	Termination of CFO for Financial Mismanagement
25.	Theology Professor released an "Anti-Catholic" Book
26.	Third Party-Academic Partnership
27.	Town-Gown Relationships
28.	Transition of Athletic Coach
29.	Wrongful Action Litigation against the Institution

Table 7. List of Effective Critical Incidents Responded to in an Ineffective Way

Critical Incidents (listed in alphabetical order)	
1.	Core Curriculum Changes
2.	Creation of Division I Athletic Team (Basketball)
3.	Decision to Consolidate individual schools into multiple parts
4.	Employee Misuse of Federal grant funds
5.	Head of Construction "Greasing the Wheels"
6.	Health Care Contract Indecision

7.	Hiring a Less Qualified Friend for a Key Leadership Position
8.	Illegal Admissions Practices
9.	Land Purchase
10.	Naked Student Streaking During Commencement
11.	New to HE (Unfamiliar with culture)
12.	Paralyzing Delay to Decide on Strategic Plan Recommendations
13.	Perceived Lack of Sensitivity Toward Racial Issues
14.	Plagiarized Book Review
15.	President Died in Office (Hid Health Issues)
16.	President's Nervous Breakdown
17.	Pressure to Replace Key Personnel in Partnership Agreement
18.	Public Comments Scrutinized
19.	Senior Leader Abuse of Corporate Credit Card/Expense Account
20.	Separation from Parent Institution
21.	Significant Enrollment Decline
22.	Significant Tension between President and Faculty Senate Leadership
23.	Staff Changes in Student Affairs Leadership
24.	Theater Department Hazing
25.	Unfocused, Undisciplined, No Big Ideas

**Research Question 2- What is the range of instances of particularly effective, and
ineffective, leadership behavior by presidents that senior leaders are able to
identify?**

The coding process presented a wealth of data, which was organized and divided into

three areas: sample quotes that embody a particular theme, thematic category assigned by

the researcher, and further explanation of the assigned theme. As described in Chapter III,

the initial coding process began with a thorough reading of each interview transcript

where general "themes" were identified. In addition, the researcher highlighted specific

language used by the participants, particularly as it related to their description of the

President's response (action/behavior) to the critical incident. Through this process of

triangulation, the codes were designed to contain a word or short phrase from the actual

language used by the participants and affirmed through the repetition of themes among

participants.

Working in reverse order, the researcher began by looking at direct participant quotes that

paint a vivid picture of the emotions, experiences, joys and frustrations these senior

leaders faced when dealing with Presidents' responses to various critical incidents

throughout their careers. Then, a brief explanation of the quotes was added to provide an

initial scheme for thematic identification. The final column in Appendices I & J presents

the patterns which emerged once all of the data were compiled. The range of effective

and ineffective leadership behaviors identified was quite comprehensive so the most

frequently identified are highlighted in this chapter. While the following discussion

presents an examination of a subset of dimensions, a full presentation of the code book is

offered in Appendices I and J and further analyzed in Chapter VI.

Significant Effective Leadership Behaviors

The most frequently identified leadership behaviors that were perceived by SELs as

"effective" in critical incidents have been summarized in the following thematic

categories, also listed in the table below and accompanied by sample quote excerpts:

consistent and direct communication with stakeholders; ability to outline clear priorities;

ability to present well orally from a podium; remains candid with stakeholders about

positive and negative situations; strong knowledge of higher education

culture/institutional culture; engages team in decision-making process and vision setting;

takes the time to communicate with each stakeholder group; delegates effectively; taking

ownership of a process/crisis/situation.

Table 8. Most Frequently Identified Effective Leadership Behavioral Themes (in order of frequency)

Effective Behavioral Themes (In-vivo)	Sample Quote Excerpt
Consistent and direct communication with stakeholders	"The President called a giant assembly for all those who would be affected and answered questions in an open forum…" "The next step he did was called the board, brought in the chairman of the board, brought in the chair of the finance committee and audit committee, then the faculty senate two chairs. The faculty senate, too. And said hey, this is what we've got going on."
Ability to outline clear priorities	"…and [President] said stop everything you're doing, THIS is the number one priority." "Some presidents might have taken that as challenging authority, some might have taken it in terms of politically how it would look. But he jumped right in and said okay, shut down these other analyses. Now Person XXX, you're running the show. You go in, you find out the root cause."
Ability to present well orally from a podium	"A President must be a good public speaker and engage well with large audiences." "It was such a sign of strength to have a President who had such a strong publicly powerful presence." "It may seem old-fashioned but a President must be a good public speaker and engage well with large audiences."
Remains candid with stakeholders about positive	"He did a very good job…of getting the institution to understand that this was very

and negative situations	painful and very hurtful but…necessary" "The President called a giant assembly for all those who would be affected and answered questions in an open forum for everyone to hear out of his mouth, the institutions position on this issue. It was smart because there are always people who are shy but they could hear the answers to questions from the more assertive people. It cut down on "propaganda" spreading."
Strong knowledge of higher education culture/institutional culture	"…Strong understanding of the founding principles of the institution,… her broader knowledge of HE culture provided her a strong foundation with which she spoke and garnered great respect and confidence." "Upon his arrival he took time to understand the cultural tension of the past Presidents decisions and ultimately reversed the biggest, although negative decision of his predecessor. This President helped bring the institution back to its cultural roots."
Engages team in decision-making process and vision setting	"the president conferred with the leadership team..." "She was smart enough to let others with greater experience develop the communication strategy for all audiences" "President XXX surprised all of us by setting up a meeting with the Cardinal and the professor so they could discuss the book and reduce the tension that occurs when people are outsiders making assumptions as opposed to sitting down face to face. It was a remarkable moment for everyone at the Institution...it showed that the perception of rigidity from the Cardinal was open to broadening their horizons and lifted the morale and sights of those in all roles around

	the University."
Takes the time to communicate with each stakeholder group	"…a president who takes the time to facilitate input from multiple stakeholders will garner much more support." "Took the time to develop a committee that had broad representation from key stakeholder groups, which would be effected by any subsequent decision."
Delegates effectively	"Understands that sometimes the strongest leadership occurs from behind the scenes…" "Give appropriate guidance but let those in charge respond as appropriate."
Takes ownership of a process/crisis/situation	"He (the President) took responsibility for the poorly run institution." "When this incident occurred the President reached out directly to the Cardinal to inform him of the situation and to make sure everyone knew he was on top of the situation." "He (The President) took the point on this. He had his hand in on tracking where we were and demanded very clear documenting of the process."

There was a tie for the most frequently highlighted behaviors in recounted effective

critical incidents. One of these was a "President's consistent and direct communication

with stakeholders." One participant said, "The President called a giant assembly for all

those who would be affected and answered questions in an open forum for everyone to

hear, out of his mouth, the institutions position on this issue. It was smart because there

are always people who are shy but they could hear the answers to questions from the

more assertive people. It cut down on 'propaganda' spreading." A second participant

noted, "The President hosted Town Hall Sessions to inform constituents and address

sensitive subjects." And a third participant said, "The next step he did was called the

board, brought in the chairman of the board, brought in the chair of the finance

committee and audit committee, then the faculty senate's two chairs. The faculty senate,

too. And said 'hey, this is what we've got going on'."

The other most frequently identified effective behavior, also with nine participant

references, was a leader's ability to "Outline clear priorities". The most vivid example

was highlighted in one participant's comment, "Where the effective management came

into play was when he immediately brought his leadership team in, sat everyone down,

and said stop everything you're doing, THIS is the number one priority."

Following closely behind on effective behaviors were incidents related to the theme:

"one's ability to present well orally from a podium." Interestingly, eight participants felt

this was a critical differentiator in identifying effective presidential behaviors. One

participant stated, "It may seem old-fashioned but a President must be a good public

speaker and engage well with large audiences." A second participant said, "[A president]

must be at ease when speaking publicly and can connect with their audience." A third

participant noted, "It was such a sign of strength to have a President who had such a

strong publicly powerful presence."

An additional point of interest noted by eight participants was the notion that a president

who "remains candid with stakeholders about positive and negative situations" will be

perceived as handling situations effectively. The first example is from a participant who

noted, "Above all other skills, an accomplished communicator is a must." Another

participant said, "I think he did a really good job up front in communicating that. He did

a very good job as a leader of getting the institution to understand that this was very

painful and very hurtful but they're necessary. I think that's one of the times he's really

shined as a leader."

Having "a strong knowledge of higher education culture/institutional culture" was the

theme identified by seven participants while recounting their experiences. One participant

described this by saying, "Her [the president's] strong understanding of the founding

principles of the institution, coupled with her broader knowledge of HE culture provided

her a strong foundation with which she spoke and garnered great respect and confidence

in doing so." Another participant provided a statement that vividly highlighted the same

theme by noting, "upon his [the president's] arrival he took time to understand the

cultural tension of the past Presidents decisions and ultimately reversed the biggest,

although negative decision of his predecessor. This President helped bring the institution

back to its cultural roots." A third participant recalled an incident that also exemplified

this theme by eloquently saying, "In this situation when religious beliefs conflicted with

academic freedom, the Institution became heavily divided. The President personally

reached out to critical people to reaffirm the cannons of academic freedom that he

believed we stood for. I'm not sure everyone agreed, and I guess I wouldn't expect them

to but they at least had the concept of why we [senior leaders] weren't attempting to stop

the release of the book or condemn the professor's perspectives."

Seven participants shared experiences which led them to identify during their interview the importance of a president that "engages team in decision-making process and vision setting." More specifically, one participant said, "The president conferred with the leadership team, and I would say a little bit broader than just the cabinet - reached down to the academic unit, the theater department, broadly consulted."

Six participants made statements describing effective critical incidents related to President's who "take the time to communicate with each stakeholder group". In one response the participant commented, "A president who takes the time to facilitate input from multiple stakeholders will garner much more support." Another participant recalled an effective incident exemplifying a similar theme stating:

> There are some schools today that don't even know what the DOE ratio is. He did a very good job explaining what it is, how it's calculated, what it means. What it means for our students and now even to this day faculty union bonuses and increases are tied to how well are we doing our DOE ratio so that there's complete buy-in there. People understand that everyone has a role and keeping expenses as low as they can, producing revenue and doing those kinds of things, so he did a good job of that.

While communicating to each stakeholder group is clearly identified as an important variable, one participant took it a step further by saying, "The president took the time to help others see the value and embrace the opportunities of what he envisioned."

Six participants highlighted a president's ability to "delegate effectively" as an additional

characteristic of effective leadership. One participant noted that is necessary to have a

president who "understands that sometimes the strongest leadership occurs from behind

the scenes while others effect and enact change." A second participant said that they

observed a president continuously "give appropriate guidance but let those in charge

respond as appropriate."

"Taking ownership of a process/crisis/situation" was also identified by six participants

who believed it was critical for perceptions of presidential effectiveness. A myriad of

examples were identified throughout the interviews with one participant reflecting on a

scenario saying:

> First, he set the tone by making it crystal clear that how we care for each student
>
> is our first priority, which set the foundation for all administrators as to our
>
> behavior moving forward. He then addressed the complexity of degree conference
>
> by grandfathering the students at the closing institution, addressed the needs of
>
> alumni by dedicating the endowment of the closing institution to the same profile
>
> of student in the acquiring institution and added a dedicated representative in the
>
> alumni office to address any concerns of alumni from the closing institution.

Another participant said, "When this incident occurred the President reached out directly

to the Cardinal to inform him of the situation and to make sure everyone knew he was on

top of the situation." A third participant said, "He [the President) took the point on this.

He had his hand in on tracking where we were and demanded very clear documenting of

the process." And a fourth participant succinctly said, "He [the President] took

responsibility for the poorly run institution."

Significant Ineffective Leadership Behaviors

Some of the leadership behaviors that were most frequently perceived by SELs as

"ineffective" in critical incidents have been summarized in the following thematic

categories, also listed in Table9 and accompanied by sample excerpts: Delayed

decision-making; Personal response disproportionate to the severity of incident at hand;

Lacking moral character; Not listening to feedback from stakeholders; Unable to

plan/forecast for the future; Lacks engagement with key stakeholders; Prioritizing self-

interest over others/institution; Myopic focus; Poor decision-making; Lack of balance and

fairness in responding to critical incidents.

Table 9. Most Frequently Identified Ineffective Leadership Behavioral Themes

Ineffective Behavioral Themes (*In Vivo*)	Sample Quote Excerpt
Delayed decision making	"The report was published and then the president just sat on it…'What do we do now? Let's give an exact limitation or whatever,' and he just sat on it."
	"Waffling or Indecision never works in this role"
	"Indecisive leadership can be just as bad as unilateral decisiveness."
	"Everyone knew this VP was a lame duck and we couldn't understand why the President did not fire him. Instead, none of his proposals were ever accepted, none of his initiatives were ever funded and he basically was belittled into a seat-filler at Sr. Staff meetings."
Personal response disproportionate to the severity of incident at hand	"He demanded an immediate response based on his emotional reaction and not to his broader role/responsibilities as a steward of process and procedure for the institution."
	"When the President sanctioned the Faculty for their role in the process, it almost seemed like favoritism was shown to the Student Affairs team because they were also knowledgeable and involved in the situation. Many were left questioning the bias shown when penalties were levied."
Lacking moral character	"Everyone makes mistakes but when you attempt to cover them up and pretend they didn't happen people lose respect for the leader."
	"People never rallied around the President's initiatives because it always seemed like his legacy was more important than the

	institution."
	"No one had any respect for him because his behavior reflected his lack of desire and respect for the "Presidency" and was simply an appointment to keep the ship in order. He was perceived as a slick operator had very little commitment to the success of the institution."
Not listening to feedback from stakeholders	"He forgot that he was the institution and that by not listening to his stakeholders, his leadership alienated and ultimately led to decline of the institution."
Unable to plan/forecast for the future	"One must never forget, running a College/ University equates to running a complex corporation. At the end of the day fiscal decisions impact all levels of the organization."
	"Allowing faculty to embed 'faculty-only' rules in contracts had significant complications for the institution that although he was advised by his senior staff, he decided the current positive, political climate was more important than standing up for the institutions best interest and pushing back. The President continued to enjoy a great rapport with the faculty and left behind a legacy of caving to the academic enterprise to the detriment of the institution."
Lacks engagement with key stakeholders	"The President made a lot of major decisions without engaging the people in the trenches."
	"The President's Cabinet consisted of 25 people including Deans, all of the VP's and some of the AVP's but it was way too large when it came time to making tough decisions because people hid behind the value of everyone else."
Prioritizing self-interest over others/institution	"His legacy was more important than what was right for the University, so ego got in the

	way."
	"…Thought he was Jesus"
Myopic focus	"Institutions have so many challenges, obstacles and hurdles facing them daily…all he wanted to do was address this one issue." "His personal anger about a situation clouded the eventual outcome. Instead of this being a teachable moment for the student involved AND the College community this situation was swept under the rug. I fully expect us to face this again and don't believe we are any better prepared for the next time then we were for that one."
Poor decision-making	"President's decision nearly crippled the institution financially and left stakeholders feeling emotionally and morally spent." "Since the students had gone to the media, the President refused to be viewed as bowing down to the pressure of meeting with this student group. It created public furor, especially in the eyes of the public media that he lacked sensitivity toward racial issues."
Lack of balance and fairness in responding to critical incidents	"Favoritism was shown to the Student Affairs team because they were also knowledgeable and involved in the situation. Many were left questioning the bias shown when penalties were levied."

In the analysis of the data collected on ineffective behaviors of University Presidents, the

following presents significant observations identified by the Senior Executive Leaders.

The first theme represented in the narratives provided by five participants is "Delayed

decision-making." One participant said, "There was a certain amount of fanfare when the

planning process came about, the report was published and then the president just sat on

it. Several people said 'What do we do now? Let's give an exact limitation or whatever,'

and he just sat on it." Another participant said, "Everyone knew this VP was a lame duck

and we couldn't understand why the President did not fire him. Instead, none of his

proposals were ever accepted, none of his initiatives were ever funded and he basically

was belittled into a seat-filler at senior staff meetings." A third participant said, "I always

say sometimes the cost of not making a decision is far worse than making a bad one. In

this case, because the previous President did not want to get into a battle with faculty

over a VERY important issue, he deferred a decision that the institution now has to

absorb the full cost of $10 Million. The impact is significant and could result in layoffs to

cover the immediate cash expectations for the obligated payout."

Table 10. Effective vs. Ineffective Leadership Behavioral Themes

Effective Behavioral Themes	Ineffective Behavioral Themes
Stakeholder Relations	
Consistent and direct communication with stakeholders	Lacks engagement with key stakeholders
Takes the time to communicate with each stakeholder group	Not listening to feedback from stakeholders
Engages team in decision-making process and vision setting	Lack of balance and fairness towards stakeholders in responding to critical incidents
Remains candid with stakeholders about positive and negative situations	
Delegates effectively	
Ability to present well orally from a podium	
Vision and Decisiveness	
Ability to outline clear priorities	Unable to plan/forecast for the future

Takes ownership of a process/crisis/situation	Myopic focus
	Delayed decision making
	Poor decision-making
	Personal response disproportionate to the severity of incident at hand
Institutional Awareness vs. Self-Centeredness	
Strong knowledge of higher education culture/institutional culture	Prioritizing self-interest over others/institution
	Lacking moral character

A second theme, "Personal response was disproportionate to the severity of the incident at hand," was mentioned by five interviewees. In one situation, "the President was demanding answers as to why the situation happened and everyone around the table saw it as a resolvable situation through the student judicial process like most other student misbehavior." A second participant gave an example noting, "The President was enraged by the immature and disrespectful behavior of a student which we all [Senior Administrators] understood. However, there is a student judicial process that we follow for all code of conduct violations, which the President had no interest in following. He demanded an immediate response based on his emotional reaction and not to his broader role/responsibilities as a steward of process and procedure for the institution."

A third theme mentioned associated with ineffective leadership behavior had to do with situations in which a President was perceived as "lacking moral character." Five participants cited specific examples of this. The first said, "Everyone makes mistakes but when you attempt to cover them up and pretend they didn't happen people lose respect for

the leader." The second said, "People never rallied around the President's initiatives

because it always seemed like his legacy was more important than the institution." The

third said, "He/she did not embody the values expected of the organization." The fourth

said, "No one had any respect for him because his behavior reflected his lack of desire

and respect for the 'Presidency' and was simply an appointment to keep the ship in order.

He was perceived as a slick operator had very little commitment to the success of the

institution." And the fifth said, "The public feeling after all was said and done was that

we acted unethically in addressing the behavior and the lost revenue from this person's

bad actions."

An additional ineffective behavior identified was "not listening to feedback from

stakeholders". This theme was reflected in responses like, "He forgot that he was the

institution and that by not listening to his stakeholders, his leadership alienated and

ultimately led to decline of the institution." In another interview a participant said, "a

critical mistake of Presidents is trying to shortcut the consensus building process." More

specifically, some participants spoke directly to the interaction and communication

between the President and his/her leadership team. One of the most vivid depictions of

behavior related to this was, "… so what did he do, was he went out and hired a

consultant, hundreds of thousands of dollars, and he came back six months later, and his

response was 'You've got to get rid of this guaranteed tuition program.' If he had just

listened to me, and I told him for free and had the guts to get up in front and argue for

that with the board and say 'Look, this is what we need to do, and these are the reasons

why this is not working for us.' But he felt he had to defer his management and his

leadership to a consultant to come in and say it for him because he couldn't stand on his

own two feet and say it."

In four interviews, participants spoke at length about the impact of a President who is

"unable to plan/forecast for the future". One example provided speaks to a President

"allowing faculty to embed 'faculty-only' rules in contracts had significant complications

for the institution that although he was advised by his senior staff, he decided the current

positive, political climate was more important than standing up for the institution's best

interest and pushing back. The President continued to enjoy a great rapport with the

faculty and left behind a legacy of caving to the academic enterprise to the detriment of

the institution." In a separate example one participant provides broader cultural context

saying, "Since there was no strategic plan, this major decision lacked the broader support

of institutional priorities that could have led to its ultimate success." This participant

continued on to say, "One must never forget, running a College/University equates to

running a complex corporation. At the end of the day fiscal decisions impact all levels of

the organization." In an affirmation of other responses on this topic, the last participant in

the study said, "I realized we were on a sinking ship when I presented the data on

numerous programs that had only two or three students and which are not in demand.

They don't make money, but they're utilizing critical space needed for something else.

I'm not saying cut this to go to the bottom line, but if you could take an ineffective

investment and invest it in a growing program and discipline, you're going to have

exponential growth in the successful programs. He's like not everything is about money

here." Another participant said, "The President was perceived as not being able to stand

on his own two feet." Lastly, one participant said, "Under constant open and vocal threats

by the Chair of the Faculty Senate, the President led in an overly-cautious manner

making very few major decisions throughout his tenure."

Another category of ineffective behaviors that was identified by three participants was

the "lack of engagement with key stakeholders." One participant commented:

> The President's Cabinet consisted of 25 people including Deans, all of the VP's
>
> and some of the AVP's but it was way too large when it came time to making
>
> tough decisions because people hid behind the value of everyone else.

Another participant said, "The President made a lot of major decisions without engaging

the people in the trenches." And a third participant noted that, "The President was more

ambitious than humanly possible. He did not know his limitations and because he wasn't

pacing himself became over extended quite quickly."

Also, another topic mentioned by interviewees as being associated with ineffective

outcomes occurred when the President was perceived as "prioritizing self-interests over

others/institution." One participant said, "I had five reasons, each of which were cause for

termination, but because she was part of international affairs and this was his [Presidents]

legacy nothing was done. His legacy was more important than what was right for the

University, so ego got in the way." Another participant simply said that he "viewed

himself on a pedestal above the masses." The same participant also commented that "the

president thought he was Jesus."

A theme that was commented on by three participants with similar examples was a President's "myopic focus." In one interview, the participant said, "institutions have so many challenges, obstacles and hurdles facing them daily that this President seemed to be incapable of comprehending because all he wanted to do was address this one issue. It became the topic of discussion at every meeting for over 90% of the allotted time and for over 6 months we made very little progress on other strategic growth areas." A second participant described a situation where "his "[the President's] personal anger about a situation clouded the eventual outcome. Instead of this being a teachable moment for the student involved AND the College community this situation was swept under the rug. I fully expect us to face this again and don't believe we are any better prepared for the next time than we were for that one." A third example fitting this theme was provide by a participant who described a situation in which "…instead of training the Community, the President decided to reprimand. This was a major blow to the cultural values of our institution. We missed a serious teachable moment. His decision was authoritative as opposed to developmental. People still have not forgotten."

"Poor decision-making" was another common theme among participant responses. One participant said, "I could not believe the President swept the issue under the rug and pretended nothing had happened. It was a major disappointment to observe her response to this issue because if anyone was going to address this problem, I expected it to come from our leader." A second participant commented, "The impact of the President's decision nearly crippled the institution financially and left stakeholders feeling emotionally and morally spent. The Institution was the laughing stock of the Division

because the team was never given the comparable resources to truly compete against their peers." And a third participant said, "The President just told his Cabinet they had a $7Million budget deficit and needed them to present ideas for closing the gap and in response the faculty came back with a recommendation to charge a fee that might generate $10,000. He didn't know how to frame the conversation, didn't break it into component parts for people to understand...and present the question of how do we fix this inherent problem so it doesn't happen again."

An additional ineffective behavior was identified by a President's "lack of balance and fairness in responding to critical incidents." A participant commented, "When the President sanctioned the Faculty for their role in the process, it almost seemed like favoritism was shown to the Student Affairs team because they were also knowledgeable and involved in the situation. Many were left questioning the bias shown when penalties were levied." A second participant who recalled an incident that exemplified this theme described a situation as follows, "Many of the senior leaders were pissed off because we were aware of this unchecked behavior and watched as the President put his head in the sand. And what made it worse was when he allowed this guy to submit his resignation and not be fired. It sent a really bad message of leadership to all who were involved." Lastly, a third participant mentioned, "It was an overly strong response to a situation which was unwarranted."

Effective vs. Ineffective Leadership Behaviors

In comparing the effective vs. ineffective behavioral themes that appeared in discussions

of the critical incidents, one of the most prominent points of comparison, which can be

seen in Table 10, was linked to a President's engagement with various stakeholders. The

presence of stakeholder engagement is critical to being effective, while the absence of

this competence is a characteristic of ineffective leadership. Presidents who take the time

to communicate consistently, effectively and directly with each stakeholder group, who

engage the team in making decisions and vision-setting and who delegate tasks, are

perceived by SELs as properly handling critical incidents and exemplifying effective

leadership. In contrast, Presidents who do not engage with key stakeholders, who are

unwilling to listen to feedback, and who display imbalance or unfairness toward any

stakeholder group, are perceived as embodying ineffective leadership. Furthermore,

Presidents who demonstrate the ability to prioritize among multiple issues and take

ownership of a situation are seen as effective, while Presidents who lack foresight and

vision, who focus too narrowly on a single issue, and who do not respond to a problem in

a timely or proportional manner are perceived as making ineffective leadership choices.

As another example, effective Presidents communicate through their decision-making by

having a strong knowledge of and sensitivity to the institutional culture, while ineffective

Presidents appear to put self-interest before institutional interest and are seen as ego-

centric, unethical and lacking moral character. A full list of effective and ineffective

examples is listed in Table 11 and Table 12.

The following table illustrates the intersection of frequently mentioned responses which

emerged in both effective and ineffective behavioral themes throughout the analysis of

the data collected.

Research Question 3 - How do these behaviors align with leadership competency

areas identified in the Leadership Competencies Scorecard (LCS) 2.0?

The findings for this research question are framed through Ruben's (2006) LCS 2.0 five

competency areas, initially outlined in Chapter II: Analytic, Personal, Communication,

Organizational, and Positional. The LCS 2.0 also provides a list of 35 specific

competencies, as well as activities, and examples associated with each theme. Each of the

35 competencies was numbered then compared to the list of behaviors in order to observe

potential patterns that might emerge (see Appendix H). Specific competencies, listed

within each competency area, were used to help align particular responses to a

corresponding LCS category.

Table 11. Effective Behavioral Themes and LCS Competency Areas (Categories)

Effective Themes			
Theme	**LCS Competency Code**	**LCS Category**	**# of Times Cited**
Information-seeker	2	Analytic	2
Sensitive to stakeholder morale	3	Analytic	2
Ability to synthesize issues	4	Analytic	2
Make tough decisions to right the poorly planned (past) strategy	6	Analytic	4
Design structured, logical and tactical steps to address problems	6	Analytic	5
Anticipate questions from each constituency and maintained attentiveness to needs of critical groups such as alumni, boards, trustees, donors, etc.	6	Analytic	2
Circles back to assess key decisions	7	Analytic	1
Challenge common assumptions	8	Personal	2
Personal integrity- honesty	8	Personal	2
Lives the expectations espoused-ethical	8	Personal	2
Clear and consistent moral direction	8	Personal	3
Holds people accountable	11	Personal	4
Takes ownership of a process/crisis/situation	12	Personal	6
Decisiveness	12	Personal	5
Dedication to completion	12	Personal	1
Sets clear/crisp boundaries	13	Personal	2
Respond calmly and rationally to criticism	13	Personal	4
Serve as cheerleader	14	Personal	1
Global ambassador for the university	14	Personal	2
Perceived as knowledgeable/intelligent	15	Communication	3
Trustworthy	15	Communication	1
Persuade	16	Communication	1
Makes presence known to all levels of the organization	16	Communication	1
Ability to garner support for one's vision	16	Communication	3
Able to deliver one's point of view to others	16	Communication	5
Takes time to get to know people on a human level not just as workers	17	Communication	1
Shows compassion	17	Communication	5
Includes ability to maintain strong relationships with local, state and federal officials	17	Communication	3
Relationship builder	17	Communication	1
Ability to connect with subordinates and beyond	17	Communication	2
Good listener	18	Communication	3

Takes the time to communicate with each stakeholder group	18	Communication	6
Ability to focus and funnel ideas	18	Communication	3
Ability to present well orally at podium	19	Communication	8
Remain candid w/ stakeholders about positive and negative situations	19	Communication	8
Explain each step in the process	19	Communication	1
Expresses value in human capital	20	Communication	4
Direct and continuous communication with external constituents	20	Communication	7
Open to learning from those around them	21	Communication	1
Lays a clear foundation as to where the Institution is going	22	Organizational	2
Strategic, deliberate thought process used for future planning	22	Organizational	5
Maintain close control without micromanaging	23	Organizational	3
Delegates effectively	23	Organizational	6
Ability to communicate internally and externally a shared mission	24	Organizational	2
Engage in social media	25	Organizational	1
Utilize leadership team in decision-making process	26	Organizational	3
Engages team in decision-making process and vision setting	26	Organizational	7
Engages subordinates in planning process	26	Organizational	2
Broad consultation	26	Organizational	4
Consensus builder	26	Organizational	5
Looks for every moment to grow stakeholder knowledge capacity	27	Organizational	5
Helps stakeholders identify their own potential	27	Organizational	2
Ability to forecast trends, potential problems, etc.	28	Organizational	2
Clear priorities drive future outcomes	28	Organizational	6
Strong knowledge of higher education culture/institutional culture	32	Positional	7
Understands presidents are held to higher standard	32	Positional	3
Understanding/knowledge of business principles to be able to balance fiscal implications of decisions.	33	Positional	4

Table 11 and Table 12 outline the framework for how all of the identified effective and

ineffective leadership behaviors correspond with the five competency areas, followed by

an explanatory narrative. They show which behavioral themes relate to which LCS

competency categories, the particular competency within the corresponding category

(identified by its LCS competency code number), as well as the number of times the

theme emerged in the analysis of the interviews.

Table 12. Ineffective Behavioral Themes and LCS Competency Areas (Categories)

Ineffective Themes			
Theme	LCS Competency Code	LCS Category	# of Times Cited
Self-interest prioritized over the institution	2	Analytic	2
Focusing too much attention on one issue	4	Analytic	3
Lack of decision-making ability	6	Analytic	1
Perceived as defensive and/or over protective	6	Analytic	1
No follow-up protocols for initiatives	7	Analytic	1
Lack of balance in response/penalty issuance	8	Personal	3
Inability to uphold values under stress	8	Personal	1
Demotivating response to messages	10	Personal	1
Lacking motivation in one's role	10	Personal	1
Setting separate (lower) expectations for oneself that differ from stakeholders	11	Personal	2
Consistently canceling meetings	12	Personal	1
Unwilling to take a stand on a particular issue	12	Personal	4
Personal response disproportionate to the severity of the incident at hand	13	Personal	5
Lack of public confidence in life decisions made	15	Communication	2
Not garnering public respect	15	Communication	1
Inability to convey strong vision	16	Communication	3
Lack of engagement w/ key stakeholders	16	Communication	5
Alienated senior staff	17	Communication	1
Chauvinistic behavior when engaging with members of the opposite sex	17	Communication	1
Did not value key personnel	17	Communication	1
Belittle/shame a subordinate	17	Communication	2
Public, verbal displays of subordinate dissatisfaction	17	Communication	1
Alienating stakeholders as opposed to engaging them	17	Communication	2
Did not listen internally to feedback from stakeholders	18	Communication	5
Delay in addressing stakeholders	19	Communication	2

Not communicating critical pieces of information	19	Communication	1
Did not understand cultural norms, processes and values	20	Communication	2
Inability to frame critical discussions	21	Communication	1
Did not listen to advice and guidance from senior leadership team	21	Communication	4
Unwilling to collaborate	21	Communication	1
Inability to think ahead and through the implications of key decisions	22	Organizational	3
Inability to achieve desired results	22	Organizational	3
Self-Interest prioritized over others	22	Organizational	3
Unable to plan/forecast the future	22	Organizational	4
Inability to design strong leadership team	23	Organizational	3
Allowed emotions to cloud a fair and balanced decision-making process	26	Organizational	3
Making decisions based on outside circumstances	26	Organizational	1
Lack of transparency in decision-making	26	Organizational	1
Delayed decision-making	26	Organizational	5
Can't shortcut consensus building process	26	Organizational	1
Outward signs of lost respect for a stakeholder (internal or external)	27	Organizational	1

Presidential Behaviors and Communication Competencies

Study participants identified 66 instances where effective behaviors reflected a high level

of competence in the area of communication. Conversely, the study has shown that the

greatest number of ineffective behaviors, 35 was directly correlated to the communication

competency area, as well. In the LCS Communication competency area, there are seven

specific competencies. The 66effective presidential responses to critical incidents that fell

under the communication competency area encompassed all seven communication

competencies in this category. As illustrated in Table 13, four responses most closely

related to "Credibility and Trust" (competency #15), ten related to "Influence and

Persuasion," (competency #16), 12 related to "Interpersonal Relations & Team Building"

(competency #17), seven related to "Listening, Attention, Question-Asking & Learning"

(competency #18), the highest number of responses, 17 related to "Writing and Public

Speaking" (competency #19), 11 related to "Diversity and Intercultural Relations"

(competency #20), and one related to "Facilitation, Negotiation & Conflict Resolution"

(competency #21). The 35 ineffective behaviors were also spread out across the seven

communication competencies.

Table 13. Connection of Behavioral Themes and Communication Competencies

Effective Behavioral Themes	Times Noted	LCS Code	Ineffective Behavioral Themes	Times Noted	LCS Code
Ability to present well orally at podium	8	19	Lack of engagement w/ key stakeholders	5	16
Remain Candid w/ stakeholders about positive and negative situations	8	19	Did not listen internally to feedback from stakeholders	5	18
Direct and continuous communication with external constituents	7	20	Did not listen to advice and guidance from Senior Leadership team	4	21
Took the time to communicate with each stakeholder group	6	18	Inability to convey strong vision	3	16
Able to deliver one's point of view to others	5	16	Lack of public confidence in life decisions made	2	15
Shows Compassion	5	17	Alienating stakeholders as opposed to engaging them	2	17
Expressed Value in Human Capital	4	20	Delay in addressing stakeholders	2	19
Perceived as knowledgeable/intelligent	3	15	Did not understand cultural norms, processes and values	2	20
Ability to garner support for one's vision	3	16	Belittle/shame a subordinate	2	17
Includes ability to maintain strong relationships with local, state and federal officials	3	17	Not garnering public respect	1	15

Ability to focus and funnel ideas	3	18	Alienated Senior Staff	1	17
Good Listener	3	18	Chauvinistic behavior when engaging with members of the opposite sex	1	17
Ability to connect with subordinates and beyond	2	17	Did not value key Personnel	1	17
Trustworthy	1	15	Chauvinistic behavior when engaging with members of the opposite sex	1	17
Persuade	1	16	Did not value key Personnel	1	17
Makes presence known to all levels of the organization	1	16	Public, verbal displays of subordinate dissatisfaction	1	17
Took time to get to know people on a human level not just as workers	1	17	Not Communicating Critical pieces of information	1	19
Relationship Builder	1	17	Inability to frame critical discussions	1	21
Explained each step in the process	1	19	Unwilling to collaborate	1	21
Open to Learning from those around them	1	21			

Presidential Responses and Organizational Competencies

The corollary trend continues when looking at the competency category of

Organizational—the category into which the second highest number of responses fit. All

15 participants identified at least one specific effective instance that maps directly to the

Organizational competency area. Eleven participants detailed an ineffective course of

action that fell under the Organizational competency area. As illustrated in Table 14

below, the 55 "effective" presidential responses to critical incidents that fell under the

Organizational competency area were spread out across all seven organizational

competencies. There were a total of 28 "ineffective" responses that were linked to

organizational competencies and they corresponded to four of seven organizational

competencies (#22, 23, 26 and 27). For "effective" responses, seven responses most

closely related to "Vision Setting, Strategy Development & Goal Attainment"

(competency #22), nine related to "Management and Supervision" (competency #23),

two related to "Info/Knowledge Management & Boundary Spanning" (competency #24),

one related to "Technological Capability" (competency #25), 21, the highest number of

responses, related to "Collaborative Decision Making & Empowerment" (competency

#26), seven related to "Teaching and Coaching" (competency #27), and eight related to

"Change, Risk & Crisis Management" (competency #28).

Table 14. Connection of Behavioral Themes and Organizational Competencies

Effective Behavioral Themes	Times Noted	LCS Code	Ineffective Behavioral Themes	Times Noted	LCS Code
Engages team in decision-making process and vision setting	7	26	Delayed Decision-making	5	26
Delegates effectively	6	23	Unable to plan/forecast the future	4	22
Clear Priorities drive future outcomes	6	28	Inability to think ahead and through the implications of key decisions	3	22
Strategic, deliberate thought process used for future planning	5	22	Inability to achieve desired results	3	22
Consensus Builder	5	26	Self-Interest prioritized over others	3	22
Looks for every moment to grow stakeholder knowledge capacity	5	27	Inability to design strong leadership team	3	23
Broad Consultation	4	26	Allowed Emotions to cloud a fair and balanced decision-	3	26

			making process		
Maintain Close Control without micromanaging	3	23	Making decisions based on outside circumstances	1	26
Utilize leadership team in decision-making process	3	26	Lack of Transparency in decision-making	1	26
Lays a clear foundation as to where the Institution is going	2	22	Can't shortcut consensus building process	1	26
Ability to Communicate internally and externally a shared mission	2	24	Outward signs of lost respect for a stakeholder (internal or external)	1	27
Engaged subordinates in planning process	2	26			
Helped stakeholders identify their own potential	2	27			
Ability to forecast trends, potential problems, etc.	2	28			
Engaged in Social Media	1	25			

Presidential Reponses and Personal, Analytical and Positional Competencies

Ranking third are personal competencies where 12 participants identified 34 specific

experiences that were coded as effective behaviors. Nine of those responses related to

"Character, personal values and ethics" (competency #8), four related to "High

standards" (competency #11), 12 related to "Personal Conviction and Persistence,"

(competency # 12), six related to "Self-discipline and self –confidence" (competency

#13) and three related to "Role modeling." Eight people identified 18 ineffective

behaviors, which were linked to the Personal competency area and specifically lacking in

terms of "character, personal values & ethics," "enthusiasm," "high standards," "personal

conviction and persistence" and "self-discipline and self –confidence" (competencies 8,

10, 11, 12 and 13). Fourth on the list was Analytic competencies, which had 18 effective

participant examples reflect this category, particularly in terms of the following

competencies: "information seeker" and "problem definition" (competency #2),

"stakeholder analysis" (competency #3), "systems/organizational analysis" (competency

#4), "problem solving" (competency #6), and "review and analysis of results"

(competency #7). There were eight examples of ineffective behaviors identified under the

Analytic competency, reflecting weaknesses in the above listed competencies #2, 4, 6 and

7. Finally, the Positional category showed the least impact. Only three participants

provided an effective example that correlated to this competency area, a total of 14

behaviors relating to two competencies in this category: "knowledge of field"

(competency #32) and "knowledge of operation" (competency #33). In addition, there

were no examples provided that reflected any ineffective behaviors under this

competency area.

Details regarding the behavioral themes that related to Personal, Analytical and Positional

competencies are illustrated below in Tables 15, 16 and 17.

Table 15. Connection of Behavioral Themes and Personal Competencies

Effective Behavioral Themes	Times Noted	LCS Code	Ineffective Behavioral Themes	Times Noted	LCS Code
Taking ownership of a process/crisis/situation	6	12	Personal Response disproportionate to the severity of the incident at hand	5	13
Decisiveness	5	12	Unwilling to take a stand on a particular issue	4	12
Holds people accountable	4	11	Lack of balance in response/penalty issuance	3	8
Respond Calmly and rationally to Criticism	4	13	Setting separate (lower) expectations for oneself that differ from stakeholders	2	11
Challenge Common assumptions	2	8	Inability to uphold values under stress	1	8
Personal Integrity-honesty	2	8	Demotivating response to messages	1	10

Lives the expectations espoused-Ethical	2	8	Lacking motivation in one's role	1	10
Sets clear/crisp boundaries	2	13	Consistently canceling meetings	1	12
Global Ambassador for the University	2	14			
Dedication to completion	1	12			
Serve as Cheerleader	1	14			

Table 16. Connection of Behavioral Themes and Analytical Competencies

Effective Behavioral Themes	Times Noted	LCS Code	Ineffective Behavioral Themes	Times Noted	LCS Code
Designed structured, logical and tactical steps to address problems	5	6	Focusing too much attention on one issue	3	4
Made tough decisions to right the poorly planned (past) strategy	4	6	Lack of balance in response/penalty issuance	3	8
Information-seeker	2	2	Self-Interest prioritized over the Institution	2	2
Sensitive to stakeholder morale	2	3	Lack of Decision-Making Ability	1	6
Ability to synthesize issues**	2	4	Perceived as defensive and/or over protective	1	6
Circles back to assess key decisions	1	7	No follow-up protocols for initiatives	1	7

Table 17. Connection of Behavioral Themes and Positional Competencies

Effective Behavioral Themes	Times Noted	LCS Code	Ineffective Behavioral Themes	Times Noted	LCS Code
Strong knowledge of higher education culture/institutional culture	7	32			
Understands Presidents are held to higher standard	3	32			
Understanding/Knowledge of business principles to be able to balance fiscal implications of decisions.	4	33	None		

The findings of this study represent a diverse set of critical incidents, as well as effective

and ineffective leadership behaviors of university presidents in response to those

situations. They also show that SELs' perception of presidential effective and ineffective

responses to critical incidents are inextricably tied to particular competencies that are key

to effective leadership in higher education.

Chapter VI - Discussion

The purpose of this study was to gain a greater understanding of what defines effective

and ineffective presidential leadership in higher education institutions. This chapter

contains a discussion of how the findings of the study, which were presented in Chapter

V, answer each of the three research questions, how the findings connect to the existing

theoretical frameworks, what the practical and theoretical implications of the findings

are, and, lastly, some thoughts on future research directions.

A wide range of rich data were provided by the participants on the real time actions,

perspectives and decisions of college and university presidents as they addressed actual

critical incidents. Two of these critical incidents are presented one ineffective and one

effective, in detail to provide greater depth and understanding of situations faced by

leaders of higher education institutions.

One exemplary critical incident in this study was based on a university campus with a

long tradition of conservatism, steeped in Jesuit traditions. As the incident unfolded,

picture a graduation ceremony on a beautiful spring day in the middle of a lush green

field in the center of campus. It was full of the pomp and circumstance one would expect

of a ceremony and presided over by the President who was also an ordained priest. All of

a sudden the crowd was stunned as a male student ran naked across the lawn yelling to

catch the audience's attention while thousands of family and friends looked on in

amazement.

The student was subsequently caught and detained by campus security and ushered away

in a blanket and the ceremony continues without any further distractions.

That evening the President calls his Cabinet together and angrily demanded answers as to

how this could possibly happen under their watch. The President then mandated that the

student be expelled immediately from the University. It was at that point where the

leadership team began to differ their view of the appropriateness of the President's

response.

The response from the chief student affairs officer was that the student should be

immediately put through the student judicial process for his egregious lack of judgment

and behavior. The institution had very clear guidelines for student code of conduct

violations and this student would be held accountable for his actions. This response was

unsatisfactory to the President, and once again he demanded the student be immediately

expelled. At that point, the General Counsel of the institution stated that this sort of

action would open the institution to significant risk of litigation because established

policies would be subverted by the President's decision. The General Counsel reaffirmed

the importance and reliance on the institution's student code of conduct and judicial

process, which provided the opportunity for a hearing, a defense and a structured

environment for an appropriate decision to be rendered. Again, the President remained

steadfast in his decision.

The cabinet member being interviewed was quite surprised by this behavior because, "he

is normally a level-headed leader who delegates responsibility to his team, so I could not

understand why he was so determined to railroad this one student. We (the cabinet)

believed that an appropriate punishment was necessary and did not exclude expulsion

from the list however all that we had done and worked to build was overridden by one

person's emotion. This was my biggest disappointment in all of this."

The student was immediately expelled and banned from receiving a degree from the

institution. This ultimately led to a lawsuit from the student and his family because he

had completed all of the requirements for graduation. The absence of due process was

made a central argument in the lawsuit brought on behalf of the student and his family.

Ultimately, a settlement agreement was reached. However, from the perspective of the

senior leaders involved this was unnecessary litigation. It was perceived that the

President's personal beliefs and feelings were placed above what was in the best interest

of the institution. From the interview, it was clear that the President's unwillingness to

listen to advice and counsel from his direct reports played a role in their ultimate lack of

respect and failure to be supportive of his future decisions.

One of the most interesting incidents classified as effective regarded a president who

faced a significant budget crisis, and who ultimately announced a strategy that included

lay-offs. A number of factors led up to this crisis, including poor endowment

performance in the 2008-2009 market plunge, overestimated projections for enrollment, a

decline in donor contributions, commitments to union-negotiated salary and benefits

packages, and capital and IT improvements.

Unlike organizations in the business sector which often experience downsizing events,

for this small, liberal arts institution the term lay-off was culturally devastating.

It is important to note that the President's response started before the worst point of this

critical incident could take place. He began by pulling his cabinet together and engaging

them in a dialogue, highlighting the significant impact the budget woes would have upon

the institution. In the three-hour meeting, he presented a report on the multiple elements

of the fiscal situation and encouraged the cabinet to ask questions, and identify their

immediate concerns. He also conducted additional fact-finding and then instructed

colleagues to take two weeks to develop plans for mitigating the impact of this almost

four million dollar shortfall. Interestingly, when the senior leaders returned they each it

became apparent that they each had taken myopic approaches to the problem and focused

exclusively on their individual areas. This approach only resulted in a projected cost

savings of about one million dollars. When the president realized the team did not

appreciate the severity of the problem, he instructed them to cancel all of their meetings

the following day to attend a five-hour retreat to more effectively tackle this problem. He

also developed a communication strategy which included an emergency conference call

to inform the trustees of the situation, and adding the budget as a priority item at an

upcoming meeting of the academic leadership (chairs, directors, etc.) and the

administrative staff council meeting. The President also made a special presentation at

the next student government association meeting. The message was quite simple. The

financial strength of the institution has been significantly weakened by a number of

economic events.

He communicated the position of the institution transparently and made a request for

compassion and understanding during what would certainly be a challenging four to six

month period of budget reevaluation and cost-cutting. Over the following thirty days he

hosted town hall meetings to solicit feedback and suggestions from key stakeholders. In

forty-five days, the President addressed the entire college community by calling a final

town hall meeting where he presented a plan to freeze all current vacancies for a year, to

put faculty searches on hold, and to reduce senior leaders' salaries by 15%. His plan also

called for nine layoffs and job restructuring for eight employees. All raises would be

deferred for 12 months and two capital construction projects were to be delayed. The

impact of this plan would be significant to the workload of current employees.

Additionally, the plan outlined potential layoffs if the targeted savings were not reached

quickly enough to address the significant projected shortfall in the budget.

When asked how why the president's handling of this critical incident was perceived as

effective, the interview participant said firmly, "he engaged the team, not just the cabinet

but the college community in the decision-making process. They all had skin in the

game." It became clear that the President's ability and competence with stakeholder

communication guided this crisis and while the organizational climate could have turned

to a state of depression, instead this opportunity fostered a broader dialogue about the

true priorities for the College. The participant spoke in great length about the "skin in the

game" comment. They felt it was essential for the president to make clear that all levels

of stakeholders, faculty, staff and the Cabinet were taking a hit or this plan would have

had strong opposition from its inception. Ultimately, the institution elevated from their

financial woes and provided retroactive raises two-years later for all involved. Faculty

vacancies were freed up first, then staff positions followed and strategic investments in

programs were made to develop online programs in order to diversify the institutions revenue stream. "For most, this was one of the most difficult experiences they have seen an institution face during their career, however, it was one of the most informative and educational experiences they have ever been provided about the inner workings of a college."

These two vignettes are illustrative of the kinds of critical incidents provided by individuals interviewed in the study. There are 52 other examples of critical incidents, with significant details of what happened, what actions were taken by the President, what behaviors were perceived as effective or ineffective, and most importantly, reflections on what could be done differently if faced with these critical incidents in the future.

Discussion of Findings: The Importance of Communication

In seeking to identify and understand the type and range of effective and ineffective critical incidents faced by presidents of private, four-year institutions (RQ 1 & RQ 2), this study was quite successful. Ultimately, the critical incident method worked very well. In all except one case, the participants were able to identify and vividly describe two critical incidents they perceived the President handled in an effective manner. When asked to identify and describe two ineffective critical incidents, ten of the 15 participants were able to do so while five participants were only able to identify one critical incident. This suggests the participants did possess a range of knowledge and understanding of critical incidents impacting perceptions of presidential effectiveness, which laid the framework for the deeper dialogue to follow in RQ 2 and RQ 3. Additionally, the responses to RQ 1 suggested that there are a wide range of critical incidents facing

college/university presidents daily. In RQ 2, participants were then asked to take the next

step by identifying specific behaviors, both effective and ineffective, which they

observed the president engaging in. As outlined in Appendices I and J, participants were

able to articulate a wide range of effective and ineffective behaviors, which were then

framed for the analysis presented by RQ 3.

The analysis of how the identified behavioral themes aligned with the leadership

competency areas in LCS 2.0 (RQ 3) indicated that the LCS provided a useful framework

for classifying effective and ineffective critical incidents. Additionally, the critical

incidents and themes which emerged corresponded with all five of the LCS competency

categories. The framework also was helpful in that it revealed that the most common

behavioral themes identified by participants were centered on communicative concepts.

The highest number of responses was connected to this competency area. In peeling back

the layers, perceptions of leadership effectiveness were often related to a leader's ability

to communicate effectively with stakeholders. The precise nature of the communicative

event and process might look and feel different and would involve different content

depending on the stakeholder group, however the consistent theme was that leadership

effectiveness was directly related to communication effectiveness. Communication is

often mentioned as an important facet of leadership in general discussions on the topic.

This study underscores this importance while identifying the ways in which

communication plays a role in the management of critical incidents that often define

effective and ineffective leadership outcomes. This study could also provide insights into

how we might be able to reframe our thinking about and understanding of leadership in

higher education, in particular. Furthermore, these findings suggest that of the five

competency areas presented by Ruben (2006), a strength or deficiency in Communication

can be seen as vital to the perception of presidential effectiveness or ineffectiveness.

While the behavioral themes were found to relate directly to various competency areas,

each of them directly or indirectly related to the area of communication competency. For

example, one of the leadership behaviors most frequently highlighted as effective was

"The President's consistent and direct communication with stakeholders," a response that

is clearly a communication competency. Convening an assembly, hosting a town hall

session, calling a board meeting, and other examples of clear and public outreach to

stakeholders in the context of a critical incident was viewed by SELs as a good leadership

response to crisis situations. Other examples of effective presidential responses to critical

incidents included a president's ability to outline clear priorities, present well orally from

a podium, remain candid with stakeholders about positive and negative situations, strong

knowledge of higher education/institutional culture, engage team in decision-making and

vision-setting, take time to communicate with each stakeholder group, delegate

effectively, and take ownership of a process/crisis/situation. The connection between

most of these responses and communication competency is clear and explicit. For

example, presenting well orally from a podium ultimately requires strong communication

ability. In some instances, among the most frequently identified effective behaviors, the

link between the behavior and the communication competency is more subtle and

implied, but nonetheless important to recognize. For example, a president possessing

"strong knowledge of higher education/institutional culture" was deemed as important by

SELs in responding effectively to critical incidents. This behavioral theme manifested in seven instances and was labeled as most directly relating to the Positional competency area. However, the role of communication in the manifestation of this positional competency is key. For example, a president's "knowledge" was made observable to SELs through what the president communicated and how. This is illustrated in words of one of the participants, "Her [the president's] strong understanding of the founding principles of the institution, coupled with her broader knowledge of HE culture provided her a strong foundation with which she spoke and garnered great respect and confidence in doing so." Another example is "taking ownership of a process/crisis/situation," – the behavior of "taking ownership" is most directly related to the Personal competency area. However, this particular presidential response was perceived by the SELs based upon what and how the message was communicated by the president. For example, one SEL said, "First, he [the president] set the tone by making it crystal clear that how we care for each student is our first priority…" Obviously, setting the tone and making a priority "crystal clear" is done through communication.

One of the leadership behaviors most frequently highlighted as ineffective was "delayed decision-making." For example, one participant said, referring to a delayed decision-making process, "the report was published and then the president just sat on it." Other frequently identified ineffective responses to critical incidents included: Personal response disproportionate to the severity of incident at hand; Lacking moral character; Not listening to feedback from stakeholders; Unable to plan/forecast for the future; Lacks engagement with key stakeholders; Prioritizing self-interest over others/institution;

Myopic focus; Inability to achieve desired results; Lack of balance in responding to

critical incidents; Allowed emotions to cloud a fair and balanced decision-making

process. Some of these are explicitly related to communication, for example, "not

listening to feedback from stakeholders" and "lacks engagement with key stakeholders."

But even the less obvious responses are related to presidents' communication

competencies. For example, "lacking moral character," a behavioral theme related to the

Personal competency area, was articulated by a SEL in regard to a president's mistakes

that he/she attempted to "cover up and pretend they didn't happen," in other words – a

failure to communicate about and address the issue.

The connection between effective and ineffective presidential responses and

communication competencies, as well as the frequency of responses in this category

indicate that all aspects of the communication competency area can be important in

determining effective or ineffective leadership of university presidents.

The Organizational competency area was also highly impactful, with the second highest

number of behavioral themes that directly related to this category. The importance of

Organizational competencies, as revealed in this study, is further underscored by the fact

that institutions of higher education differ from other organizational types due to their

distinguishing factors such as: multiplicity of stakeholders, shared governance, vertical

organizational structures and cross-functional processes, differences between academic

and administrative parts, and loosely coupled governance structures (discussed in Chapter

II). Organizational competencies are particularly important for leadership in such a

unique institutional environment.

It is interesting to note that the highest number of responses in this category related to

another organizational competency that inevitably overlaps with communication. The

following behavioral themes related to the "Collaborative Decision-Making and

Empowerment" competency: utilizes leadership team in decision-making process,

engages team in decision-making process and vision setting, engages subordinates in

planning process, broad consultation, consensus building. Engaging, consulting and

building a consensus with a variety of stakeholders is an organizational competency that

is not only important given the distinguishing characteristics of higher education, but it

also presumes that the president is an effective communicator.

Thus, while the majority of the identified effective and ineffective behaviors are

explicitly related to a President's ability to communicate, it could be argued that,

ultimately, all of the identified behaviors are directly or indirectly related to the

communication competency, since behavior itself is a form of communication shaping

the perception of one's leadership. In other words, presidential leadership was understood

and/or "made sense of" by SELs based on leadership response (communication) through

what the president did or did not do to address a critical incident and how. This study

shows that it is particular communication and organizational competencies that are most

essential to effective leadership in higher education, and also suggests that university

presidents must not only possess these key competencies, but that they will also need to

understand the communicative sensemaking processes that manifest those competencies

through their behavior.

Why is this so important? An understanding of communication and skills in applying this knowledge effectively can be particularly critical in higher education because of the hierarchical framework and structure within colleges and universities. As the budget crisis example presented earlier illustrates communication competencies that lead to creative, consensus-building approaches where stakeholders feel engaged, has a corollary effect on outcomes and on perceptions of effective behavior. Thus, a president's communication competency can play a significant role in framing their ability to effectively engage the multiplicity of stakeholders across these cultural dynamics and could ultimately be the defining characteristic of presidential effectiveness in higher education.

Communication played a central role in both outcomes of each of the two critical incident examples presented at the beginning of this chapter. In the first instance, the President did not exhibit active listening skills, did not engage his leadership teams counsel when making a decision, and then communicated his disrespect for institutional process to the team as a directive for the actions he wanted them to take. On the other hand, the second president met with key stakeholders directly, communicated the severity of the issues at hand and gave them opportunities to provide their own suggestions for dealing with the budget gap. In the end, stakeholders felt valued and engaged in the process because of the leader's communication competency. This is why, as will be suggested in the next part of the chapter, it is important to continue to reframe the way in which we think about leadership in higher education through the lens of communication theory.

Framing the Findings - Leadership as Communication

For almost 100 years, the discourse surrounding the study of leadership has had a shifting

focus. Whether it was Dowd (1936) declaring the Great Man theory as the prevalent

model of leadership for the time period, McGregor's (1960) presentation of Theory X and

Theory Y as dueling leadership assumptions or Covey's (2004) eight habits defining

effective leaders, theoretical platforms have been short-lived at best, and immediately

refuted at worst.

The review of literature in Chapter II identified potential gaps in applicability of

leadership theory, which might require us to rethink the way in which we frame our

understanding of leadership in higher education. The findings of this research support this

conclusion and offer insights into how we could begin to reflect and expand upon

existing theoretical frameworks for leadership in higher education, using communication

theory as a foundation.

In each of the competency models that were reviewed in Chapter II (HELC, EALP, and

ACE Fellows models), communication was listed as a separate and distinct category.

Therefore, using any of these models as an analytical framework for this study would

have led to the same conclusion – that communication competencies are most essential

for effective leadership in higher education. However, the inventory of competencies

presented in these models and the approach through which the models were developed

are not as broad and comprehensive as that of LCS 2.0, which makes this model a more

suitable choice for studying leadership in higher education. For example, the HELC

model determined that communication was one of five critical leadership competency

areas, however participation in this model was limited to athletic directors, student affairs

officers, and chief academic officers. While participation in the HELC survey is limited

to these particular areas their responses such as "communicates vision effectively",

"expresses views articulately in multiple forms of communication" and "communicates

effectively with multiple constituent groups in multiple contexts" suggest that

competencies necessary for effective leadership in these areas also align with the findings

in this study.

Comparably, it is interesting to also note that the varying methodological approaches in

the ACE Fellows model and the EALP model have also resulted in similar observations

related to communication. Extending the ACE Fellows model presents the greatest

limitation of the four models because its sample is confined to 30 fellows identified as

having leadership potential in higher education. However, while their knowledge and

expertise of leadership at the highest levels has yet to be tested, their responses also lead

McDaniel (2002) to present communication, once again, as one of four core

competencies of leadership in this model.

The most extensive advancement of existing literature was the alignment of this study

with Wisniewski's (1999) EALP model. The EALP model utilized both the competency

model and the critical incident technique in exploring leadership in higher education.

While the participant sample and survey approach differ from each other – EALP

utilizing a leadership self-assessment from a relatively homogenous sample and this

study engaging a wide range of senior executive leaders' observations of the President –

the findings in both present communication as a core competency for leadership in higher

education. In this case, the EALP model identifies *effective communication* as one of the

seven competencies identified as critical by senior administrative leaders and presents an

opportunity to show two studies which utilize the critical incident technique as a

successful tool for continued exploration of leadership in higher education.

As observed in the analysis of the higher education leadership models just discussed, the

interaction with stakeholders in the decision-making process, coupled with the necessary

process of information-gathering, suggests a fundamental role for leadership

communication, in general, and particularly within higher education where leaders

regularly communicate with multiple stakeholders and face conflicting agendas and

demands. In addition to various communication competencies, sensemaking and framing

processes were identified by participants as particularly useful in understanding the

dynamics of leadership within the higher education context.

In the findings of this study, communication refers to not simply the gathering and

dissemination of information, but also the processes of forming and maintaining

relationships – "relationships that are essential to the creation of a culture and spirit of

teamwork that is necessary to support and maintain a service orientation, collaboration,

and overall organizational quality" (Ruben, 1995, p. 20). The data also show that leaders

are typically effective when they are competent in their use of communication theory and

unsuccessful there are lapses in communication competency. As such, communication is

viewed as the fundamental competency necessary for relating to the multiplicity of

stakeholders presidents are responsive to and responsible for (e.g., prospective students,

board members, faculty, administration, alumni, donors, etc.). From the participant

responses, it is important to note that there was an inherent connection between

leadership and communication and leadership became understood as a socialized practice

represented through language and communicative behavior (Northouse, 2010;

Witherspoon, 1997; Yukl, 2006). As Ruben (1995) argues, the concept of

communication is a core element of the organizational processes within higher education.

He states that, "Each of the mission components of most colleges and universities –

instruction, scholarship and service- fundamentally involves communication, whether

with students, colleagues or the public" (p. 20). He also notes that communication is a

key element in both academic and administrative parts of higher education institutions –

"Like faculty, administrators and staff teach by what they do, by what they say, and by

the way they relate to one another, students, and other external constituency groups" (p.

20). Since communication is a core element of the organizational processes, it is

intrinsically related to the leadership process and, thus, as Bennis (2007) asserts, "Among

the existing disciplines that must contribute if modern leadership is to be understood are

those related to communication" (p. 4).

Value and Limitations of the Study: Practical Implications, Future Directions

This study approached leadership with a specific focus on higher education, outlining the

unique cultural nuances and sets the stage for identifying leadership behaviors specific to

this environment. Through the critical incident technique, this study was able to identify a

rich set of experiences which set the tone for the entire study. This technique was quite

useful in getting participants to open up and provide vivid, and in many cases, unknown descriptions of the presidential experience in higher education. Additionally, through the competency approach, this study considered and analyzed leadership in higher education in terms of leadership competencies which are learned, developed, constructed and may be influenced by the particular organizational context. The Leadership Competency Scorecard (LCS) 2.0 has proven to be a useful tool as the comprehensive inventory of leadership competencies. The breadth and depth of both the categories and specific competencies were helpful in capturing and articulating which competencies are key to higher education Presidential leadership.

The methodological approach used in this study placed great reliance on the perceptions of senior executive leaders. This reliance on their perception may be viewed as a potential limitation. As Owens (1970) warns, "people see or perceive what they are prepared to see, or hear. Therefore, much of behavior is, like beauty, in the eye of the beholder." (p. 175). However, in this study, the perception of senior executive leaders was grounded in a solid foundation of knowledge, understanding and experience that stems from the nature of their work and close working relationships with presidents. Thus, what selected senior executive leaders "perceive" as critical incidents and behaviors that define presidential leadership is a product of their institutional knowledge and professional immersion into the realities of leadership in higher education. This approach to data collection could be viewed as the greatest value of this study.

There are numerous books and articles that have engaged Presidents in reflective discussion on their tenure, the impact on their family, the cultural battles waged, ultimate

effectiveness of the presidency on the institution, etc. However, objectivity in self-

assessment throughout these discussions remains a primary critique and limiting factor,

which this study addresses through its methodological approach. By approaching

Presidential effectiveness from those behind closed doors with the subject, those whom

might have personal desires of one day having a similar role, those whose own

responsibilities have similar role complexity reframes the theoretical approach to data

collection and adds greater depth to the findings of the study. Utilizing this framework,

leadership can be observed specifically through the lens of those most closely in view of

the President when tough decisions must be made.

The critical incidents in this study reflected the perspectives of personnel below the rank

of president and who serve as a direct report to the president. Through careful selection of

the participants, the researcher ensured that those perspectives are based on a unique

working knowledge and experience related to presidential leadership. These informed

perspectives are the strength of this study and provide the background, insights and

necessary context for the deeper understanding of leadership in higher education.

However, these perspectives are only a sample of the whole picture of perceived

leadership behavior for a university president. The researcher recognizes that

perspectives from other higher education stakeholders, such as faculty and mid-level

administrators, provide valuable insight into presidential leadership, exploration of those

perspectives are recommended as an area for future research. Using this study as a

blueprint, it would also be particularly interesting to conduct a comparative study of

administrative and faculty leader perspectives in order to gain a more comprehensive

understanding of this topic. While thirty-three percent of the participants (5) were women, gender was not a factor that was explicitly focused on in this study and would be another interesting and important topic for future investigation. .

The findings of this study set forth a foundation and framework by first identifying and validating the unique organizational factors which differentiates higher education from other industries. The study then identifies that current and traditional leadership models appear not to apply in the context of higher education. Then, after identifying and examining a number of competency models, the study finds that the Leadership Competency Scorecard 2.0 (Ruben, 2006) adds significant value for discussions of understanding and framing this and future research on higher education leadership. Finally, with organizations like the Council of Independent Colleges (2012) reporting that presidential leadership in the United States is on a decline and the pipeline for the future is significantly constrained, studies like this are critical for understanding the next steps for addressing this gap. The United States system of higher education has been the worlds envy for decades however, the leadership principles, practices, and the people who lead it are under constant pressure to meet the ever-changing societal demands and expectations placed on higher education. Creating the tools to train and develop our nation's next generation of higher education leaders could benefit from attention to an examination of the critical incidents faced by leaders, and an emphasis on the competencies needed to address these most successfully.

Pragmatically, this research embodies a genuine desire to advance our understanding of presidential leadership in higher education at both theoretical and practical levels.

Through senior executive leaders' knowledge, experience and insight, a robust and

context rich list of critical incidents have now been outlined. The opportunities for the

data collected and the insights acquired can have a great impact on extending the

practical and theoretical framework currently existing on presidential leadership in higher

education.

One such example is the opportunity to utilize the competency approach in the selection

process of college/university presidents. Imagine, if you will, the incorporation of a tool

that could pair a particular candidate's leadership competencies with the profile of the

institution they are interviewing to lead. Such a tool could reflect upon an institution's

mission, values, goals, and objectives and aligns candidates with effective competency

ratings in these critical areas.

Another such example which would be a learned practice from other organizational

sectors is the notion of mentoring and executive coaching. As the findings suggest, the

way in which presidents' deal with critical incidents is vitally important. The study has

also found that there are also identifiable competencies that can help or hinder leadership

success. As such, there is a unique opportunity for mentoring and executive coaching

relative to various leadership competencies, particularly those under the areas of

communication and organization. Thus, attention to these areas could be very valuable

components of leadership development programs. As the landscape of leadership

progression changes so will the variation in preparation for presidential leadership. This

research presents an outline of a common language in combination with realistic critical

incident scenarios for tabletop exercises that can explore upcoming leaders' responses

and provide education based on lessons learned.

Additionally, there is a growing concern regarding the number of college/university

presidents reaching the age of retirement without a well-trained pipeline of leaders

prepared for these challenges (Morris, 2012). The direct critique and insight on leadership

responses provide the data for over a dozen case study manuscripts that can now be

drafted on subjects/topics not easily accessible for public consumption. Thinking beyond

the manuscripts, a unique and potentially significant opportunity is also available to

utilize the findings of this study as the basis for creating programs in succession

planning—an area frequently mentioned as an important need in higher education.

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Appendix A: Consent to Participate in an Interview

I am a doctoral student in the department of Communication at Rutgers University, and I am conducting interviews for my dissertation. I am seeking to identify senior leadership perceptions of effective and ineffective leadership behaviors of Presidents within institutions of higher education.

During this study, you will be asked to answer some questions as to your observations of Presidents of higher education institutions during times of critical incidents. This interview was designed to be approximately a 45 minutes in length. However, please feel free to expand on the topic or talk about related ideas. Also, if there are any questions you would rather not answer or that you do not feel comfortable answering, please say so and we will stop the interview or move on to the next question, whichever you prefer. This study will employ qualitative methods, specifically open-ended interviews, utilizing the Critical Incident Technique. You will be asked to recall and describe critical incidents faced by a College/University President, where you were able to observe their overall response to the incident, the President's behavior in relation to the incident, and what resulted from the Leader's behavior.

This research is confidential. Confidential means that the research records will include some information about you and this information will be stored in such a manner that some linkage between your identity and the response in the research exists. Some of the information collected about you includes length of time in the profession, age, gender, highest level of education, size of your current institution, etc. Please note that we will keep this information confidential by limiting individual's access to the research data and keeping it in a secure location.

The research team and the Institutional Review Board at Rutgers University are the only parties that will be allowed to see the data, except as may be required by law. Upon completion of this project, all data will be kept for an undetermined period in a secure location or destroyed. If a report of this study is published, or the results are presented at a professional conference, only group results will be stated.

You are aware that your participation in this interview is voluntary. You understand the intent and purpose of this research. If, for any reason, at any time, you wish to stop the interview, you may do so without having to give an explanation.

In this research, there are no foreseeable risks to you. There will be no costs associated with your participation in this study. Although there may be no direct benefit to you, the possible benefit of your participation is that the research is expected to contribute significantly to the study of presidential leadership behaviors in higher education

institutions. The data gathered in this study are confidential with respect to your personal identity unless you specify otherwise.

You understand if you say anything that you believe at a later point may be hurtful to you or damage your reputation, then you can ask the interviewer to rewind the tape and record over such information or ask that certain text be removed from the transcripts. The interviewer will then ask you if you would like to continue the interview.

The audio recording(s) will be used for analysis by the research team for the purpose of this study. The recording(s) will not include any identifier. The recording(s) will be stored in a locked file cabinet and linked with a code to subjects' identity; and will be destroyed upon publication of study results.

If you have any questions about this study, you can contact me at: Brian D. Agnew, 360 Dr. Martin Luther King Jr. Blvd. Hill Hall 324, Newark NJ 07102, via email b_agnew18@yahoo.com or by phone 347-234-3196.

If you have any questions about your rights as a research participant, you can contact the Institutional Review Board at Rutgers (which is a committee that reviews research studies in order to protect research participants). The IRB Administrator at Rutgers can be reached at:

Rutgers, The State University of New Jersey

Institutional Review Board for the Protection of Human Subjects
Office of Research and Sponsored Programs
3 Rutgers Plaza
New Brunswick, NJ 08901-8559
Tel: 848-932-0150
Email: humansubjects@orsp.rutgers.edu

You will be offered a copy of this consent form that you may keep for your own reference.

Once you have read the above form and, with the understanding that you can withdraw at any time and for whatever reason, you need to let me know your decision to participate in today's interview. Do you have any questions? Then by participating in this study/these procedures, do you agree to be a study subject?

Appendix B: Interview Protocol

<u>Interview Introduction:</u>

Good Morning/Afternoon, my name is Brian Agnew and I appreciate your willingness to participate in this study. The purpose of today's interview is to identify and describe critical incidents which confronted a university president that you have had the opportunity to observe. The following questions will ask you to describe two incidents which represented a particularly effective approach to leadership as you think about it, and two incidents that you believe the leadership approach to quite ineffective. As you share your recollections of these situations, please describe the incident, the president's approach relative to the critical incident and the outcomes that resulted from this approach.

A critical incident is defined as an episode in the role performance of a president, the consequences of which have either a positive or negative impact within the institution or beyond.

<u>Interview Questions:</u>

1. OK, let's get started. As you think back on your experiences as a senior executive in a college or university, can you recall a memorable critical incident that you observed directly--or were very knowledgeable about--where particularly effective leadership was shown on the part of a university president?

    a. Please describe.

    b. Can you put your finger on exactly what made this so memorable for you as an example of effective leadership?

    c. What did the president do/not do that makes this an example of effective leadership in your mind?

    d. Were there any particular talents, capabilities or approaches that helped them handle this in an effective way?

2. Repeat Question 1 to attain a second example of effective leadership.

3. Now, as you think back on your experiences as a senior executive in a college or university, can you recall a memorable critical incident that you observed directly--or were very knowledgeable about--where particularly ineffective leadership was shown on the part of a university president?

    a. Please describe.

    b. Can you put your finger on exactly what made this so memorable for you as an example of ineffective leadership?

    c. What did the president do/not do that makes this an example of ineffective leadership?

    d. Were there any particular talents, capabilities or approaches that helped them handle this in an effective way?

4. Repeat Question 3 to attain a second example of ineffective leadership.

Appendix C: Confidential Demographic Survey

Age: _____

Ethnicity:

- ☐ Black or African American
- ☐ American Indian or Alaska Native
- ☐ Hawaiian or Other Pacific Islander
- ☐ Asian or Asian American
- ☐ Hispanic or Latino
- ☐ Non-Hispanic White
- ☐ Other:_____

Highest Degree Earned:

- ☐ Associates
- ☐ Bachelors
- ☐ Masters
- ☐ Doctorate

Gender

- ☐ Female
- ☐ Male

Institutional Size:

- ☐ Small (1,000-2,999 FTE)
- ☐ Medium (3,000-9,999 FTE)
- ☐ Large (10,000+ FTE)

Number of Roles Held Directly Reporting to a President

- ☐ 1
- ☐ 2
- ☐ 3+

Number of Years in Current Position

- ☐ <1
- ☐ 1-3
- ☐ 3-5
- ☐ 5+

Number of Presidents you have Directly Reported to:

- ☐ 1
- ☐ 2
- ☐ 3+

Total Number of Years Employed in Higher Education:

- ☐ <1
- ☐ 1-5
- ☐ 5-10
- ☐ 10-15
- ☐ 15-20
- ☐ 20-25
- ☐ 25-30
- ☐ 30+

Appendix D: Leadership Competency Scorecard 2.0

**Leadership Competencies Scorecard 2.0
(LCS 2.0)**

Developed by

Brent D. Ruben, Ph.D.

The **LEADERSHIP COMPETENCIES SCORECARD 2.0** is the 2012 version of the **LCS**, first published in 2006 in *What Leaders Need to Know and Do.* * The **Scorecard** provides a competency-based framework that identifies and integrates a diverse array of characteristics described in scholarly and professional writings as being important for effective leadership.

The **LCS** identifies five major competency themes, each of which includes a number of specific competencies. *Analytic Competencies* are associated with thoughtful reflection on one's own and others' behaviors, and careful consideration of the consequences of alternative leadership options and strategies. *Personal Competencies* refer to one's standards, character, and expression of values. *Communication Competencies* relate to the knowledge and skills necessary for effective interaction in interpersonal, group, organizational, and public settings. *Organizational Competencies* include administrative capabilities that are viewed as important for leading in organizations of varying purpose, function, and size. *Positional Competencies* include knowledge and skills related to the particular context, setting, field, or sector in which a leader is serving.

The **Scorecard** can be used to inventory and develop a profile of one's own or another person's leadership competencies, using 1-5 ratings for each of the 35 competencies. **LSC** ratings allow individuals to rate "understanding of the concept," and "effectiveness in practice." *Understanding* refers to theoretical knowledge that provides a foundation for anticipating and adapting to leadership needs of varying situations, organizations, cultures, or sectors. *Effectiveness* relates to skill in translating knowledge and applying it to practice. Both dimensions can be important to assessing and enhancing leadership capability. When using the **Scorecard** for self-assessment, rate both *understanding* and *effectiveness*. When using the **LCS** to assess others, the ratings should generally be limited to *effectiveness*. *Effectiveness* assessment is based on behavioral observation, and an individual's level of *understanding* or knowledge of particular competencies may not be apparent from his or her behavior. Scoring Instructions are provided on page 4.

*Brent D. Ruben, **What Leaders Need to Know and Do: A Leadership Competencies Scorecard.** Washington, DC: National Association of College and University Business Officers, 2006.

Appendix E: Five-Component Leadership Competency Model
(Smith & Wolverton, 2010)

Analytical

Fosters the development and creativity of learning organizations

Demonstrates understanding of academics

Engages multiple perspectives in decision making

Learns from self-reflection

Tolerates ambiguity

Sustains productive relationships with networks of colleagues

Applies analytical thinking to enhance communication in complex situations

Facilitates the change process

Demonstrates resourcefulness

Demonstrates ability to diplomatically engage in controversial issues

Demonstrates negotiation skills

Seeks to understand human behavior in multiple contexts

Accurately assesses the costs and benefits of risk taking

Facilitates effective communication among people with different perspectives

Demonstrates understanding of complex issues related to higher education

Responds appropriately to change

Communication

Presents self professionally as a leader

Communicates vision effectively

Communicates effectively

Expresses views articulately in multiple forms of communication

Communicates effectively with multiple constituent groups in multiple contexts

Student affairs

Responds to issues and needs of contemporary students

Is attentive to emerging trends in higher education

Demonstrates understanding of student affairs

Demonstrates understanding of legal issues

Behavioral

Recognizes the value of a sense of humor

Supports leadership of others

Demonstrates unselfish leadership

Learns from others

Does not take self too seriously

External relations

Relates well with governing boards

Applies skills to affect decisions in government contexts

Demonstrates understanding of advancement

Demonstrates understanding of athletics

Works effectively with the media

Appendix F: ACE Leadership Competency Model (McDaniel, 2002)

Leadership Context Competencies

Demonstrates understanding of the elements of the national system of higher education, including institutions of varying types and missions, forms of governance, and cultures; and associations

Demonstrates understanding of the complexity and interconnectedness of issues and problems

Identifies emerging trends and their potential impact and responds appropriately
Responds based on understanding of institutional cultures
- Recognizes features of culture and where to find them
- Embraces institutional culture(s)
- Evaluates strategies and processes for effective action within the cultural context

Relates well with members of governing board and accrediting agencies

Develops partnerships with business, community organizations, and K-12 education

Sustains productive relationships and networks of colleagues

Applies skills to affect decision-making processes in state and federal contexts

Works effectively with the media

Leadership Content Competencies

Demonstrates understanding of issues of academic administration

Demonstrates understanding of issues in technology

Demonstrates understanding of student affairs

Demonstrates understanding of development and institutional advancement

Demonstrates understanding of athletics

Knows and applies principles of finance and budgeting

Knows and applies language, concepts, and frameworks for planning

Leverages institutional resources for maximum benefit

Fosters the development of learning organizations and their capacity for creativity and change

Demonstrates understanding of legal issues

Demonstrates understanding of issues of diversity (gender, ethnicity, handicap, sexual orientation) in national, institutional, and personal contexts

Applies process, political, and public relation skills to crises and conflicts as they rise

Leadership Processes Competencies

Demonstrates leadership as service to something other than self

Acts consistent with core values and integrity and in good faith

Demonstrates understanding of leadership and its characteristics, tasks, and contexts

Seeks to understand self and others in social and political roles

Learns from self-reflection

Learns from others
Understands impact on others

Tolerates ambiguity and responds appropriately

Recognizes the value of a sense of humor

Does not take self too seriously

Learns from mistakes as well as successes

Demonstrates skills of negotiation

Makes decisions that are consistent with institutional goals

Demonstrates courage and wisdom about taking risks

Assesses the costs and benefits of risks accurately

Demonstrates strategies for inclusiveness in all environments

Creates and contributes to effective teams

Supports the leadership of others

Amplifies and refines knowledge over time

Knows where to locate information, resources, people for possible solutions
Understands and responds appropriately to the issues and needs of contemporary students

Develops human potential and champions continued professional development
Responds appropriately to change

Facilitates the change process

Appendix G: Critical Incidents List

Critical Incidents	
Institutional lay-offs	Effective
Third party-academic partnership	Effective
Pressure to replace key personnel in partnership Agreement	Ineffective
Hiring a less qualified friend for a key leadership position	Ineffective
National publicity surrounding a controversial religious play	Effective
Unable to Identify	Effective
Perceived lack of sensitivity toward racial issues	Ineffective
Significant tension between president and faculty senate leadership	Ineffective
Termination of CFO for financial mismanagement	Effective
Remove long-standing requirement for "graduate experiential" course	Effective
Decision to consolidate individual schools into multiple parts	Ineffective
Paralyzing delay to decide on strategic plan recommendations	Ineffective
Financial aid miscalculation-institutional loss of $20million	Effective
Student-athlete shot and killed by police officer outside the campus	Effective
Significant enrollment decline	Ineffective
Employee misuse of federal grant funds	Ineffective
Institution in financial distress upon arrival	Effective
Termination of a long-standing dean	Effective
Unable to identify	Ineffective
Unable to identify	Ineffective
Campus power loss for 7days due to hurricane sandy	Effective
Freshman hazing	Effective
Land purchase	Ineffective
Core curriculum changes	Ineffective
Reduction in Force	Effective
Superstorm Sandy	Effective
Theater department hazing	Ineffective
Staff changes in student affairs leadership	Ineffective
Controversial campus speaker	Effective
Town-gown relationships	Effective
New to HE (Unfamiliar with culture)	Ineffective
Plagiarized book review	Ineffective
Controversial campus speaker	Effective
Greek life housing consolidation/removal	Effective
Public comments scrutinized	Ineffective
Unable to identify	Ineffective
Transition of athletic coach	Effective

Controversial campus speaker	Effective
President died in office (hid health issues)	Ineffective
Unable to identify	Ineffective
Institutional master plan creation	Effective
Repositioning athletics into division III	Effective
Creation of division I athletic team (basketball)	Ineffective
Unable to identify	Ineffective
New president facing fiscal and cultural challenges	Effective
Board of trustee governance reorganization	Effective
Illegal admissions practices	Ineffective
Separation from parent institution	Ineffective
Employee attempt to unionize	Effective
Wrongful action litigation against the institution	Effective
President's nervous breakdown	Ineffective
Unfocused, undisciplined, no big ideas	Ineffective
Merger and consolidation of institutions	Effective
Controversial dean appointment	Effective
Naked student streaking during commencement	Ineffective
Health care contract indecision	Ineffective
"N" word found on door in residence hall	Effective
Theology professor released an "anti-catholic" book	Effective
Senior leader abuse of corporate credit card/expense account	Ineffective
Head of construction "greasing the wheels"	Ineffective

Appendix H. Leadership Competency Scorecard Framework (Ruben, 2006)

	Analytic Competencies	Descriptions
1	Self Assessment	Analyzing one's own thoughts, emotions, and reactions
2	Problem Definition	Identifying underlying issues, concerns, problems, and tasks that need to be addressed in a given situation
3	Stakeholder Analysis	Assessing perspectives of those likely to be affected by the decisions, policies or practices of a leader or organization
4	Systems/Organizational Analysis	Focusing on the "big picture," including short- and long-term concerns and outcomes, for all those affected by leadership decisions, policies, or practices
5	Analysis of Tech to Support Leadership	Assessing available technologies, and their potential strengths and weaknesses for supporting leadership efforts
6	Problem Solving	Analyzing a situation, identifying possible/appropriate leadership styles and courses of action; ensuring follow through
7	Review & Analysis of Results	Debriefing and analyzing outcomes to derive "lessons"
	Personal Competencies	
8	Character, Personal Values & Ethics	Maintaining personal and professional standards
9	Cognitive Ability & Creativity	Demonstrating insight and imagination
10	Enthusiasm	Maintaining a positive attitude
11	High Standards	Expecting excellent performance from oneself and others
12	Personal Conviction & Persistence	Being dedicated and persevering
13	Self Discipline & Self Confidence	Having self-control, focus, and confidence in one's capabilities
14	Role Modeling	Practicing the values and behaviors that one advocates for others
	Communication Competencies	
15	Credibility and Trust	Being admired, seen as magnetic, authoritative, honest, competent and trustworthy
16	Influence & Persuasion	Convincing others to adopt advocated ideas, points-of-view, or behaviors
17	Interpersonal Relations & Team Building	Creating effective interpersonal relationships, groups, and teams
18	Listening, Attention, Question-Asking & Learning	Attending verbally and visually to the thoughts, behaviors and actions of others
19	Writing and Public Speaking	Conveying information, ideas, and opinions clearly through writing and oral presentations

20	Diversity & Intercultural Relations	Valuing and working effectively with both men and women, and individuals of varying cultural, racial, ethnic, political or lifestyle orientations
21	Facilitation, Negotiation & Conflict Resolution	Encouraging discussion and the expression of varying points of views, encouraging compromise, and effectively addressing tensions and conflicts
	Organizational Competencies	
22	Vision Setting, Strategy Development & Goal Attainment	Motivating and providing a sense of purpose and direction, development approaches and goals, and ensuring follow through
23	Management and Supervision	Overseeing financial, physical, and human resources
24	Info/Knowledge Management & Boundary Spanning	Facilitating the flow and sharing of information within a group or organization, and across organizational boundaries
25	Technological Capability	Using appropriate communication technology and media to support leadership initiatives
26	Collaborative Decision Making & Empowerment	Effectively engaging others in decision making and other activities
27	Teaching and Coaching	Encouraging the development of leaders and leadership capacity
28	Change, Risk & Crisis Management	Promoting and effectively guiding change and innovation; anticipating and managing risks; and coping effectively with unexpected and crisis situations
	Personal Competencies	
29	Education	Having relevant formal education and/or training in sector-related competencies
30	Experience	Having prior relevant experience in the sector - e.g., business, healthcare, government, or education
31	Expertise	Having appropriate and/or required job competencies
32	Knowledge of Field	Understanding the particular field, its issues, challenges, and opportunities
33	Knowledge of Operation	Understanding the particular organization, its issues, challenges, and opportunities
34	Familiarity with Work	Knowing about and being comfortable with tasks or work activities that are specific to the sector and organization
35	Professional Involvement	Pursuing opportunities for personal and professional learning, growth, and advancement

Appendix I. Codebook (Effective Critical Incidents)

Theme	Definition of Themes	Relevant Quotes
Understand culture of institution	Strong knowledge of higher education culture/institutional culture (7)	Her strong understanding of the founding principles of the institution, coupled with her broader knowledge of HE culture provided her a strong foundation with which she spoke and garnered great respect and confidence in doing so. (BDA 10)
		Upon his arrival he took time to understand the cultural tension of the past President's decisions and ultimately reversed the biggest, although negative decision of his predecessor. This President helped bring the institution back to its cultural roots. (BDA 11)
		In this situation when religious beliefs conflicted with academic freedom, the Institution became heavily divided. The President personally reached out to critical people to reaffirm the cannons of academic freedom that he believed we stood for. I'm not sure everyone agreed, and I guess I wouldn't expect them to but they at least had the concept of why we (senior leaders) weren't attempting to stop the release of the book or condemn the professor's perspectives. (BDA 15)
	Lays a clear foundation as to where the Institution is going (2)	
Good Decision-Making	Not jumping to conclusions (2)	She took the time to collect all of the information relevant to the situation before making any decisions. (BDA 10)
		Willing to listen and hear a contrary point of view…with a reasoned response (BDA 4)
	Decisiveness (5)	There are times when in order to move forward you must move swiftly to terminate someone. I always refer to it as cut the cancer out before it spreads further. (BDA 12)
Sub-Category- Steady Leadership at times of		

Strife		
Effective Communicator	Ability to present well orally at podium (8)	It may seem old-fashioned but a President must be a good public speaker and engage well with large audiences. (BDA 6)
		…Must be at ease when speaking publicly and can connect with their audience. (BDA 8)
		It was such a sign of strength to have a President who had such a strong publicly powerful presence. (BDA 8)
	Direct communication with stakeholders (9)	President hosted Town Hall Sessions to inform constituents and address sensitive subjects. (BDA 7)
		The President called a giant assembly for all those who would be affected and answered questions in an open forum for everyone to hear out of his mouth, the institutions position on this issue. It was smart because there are always people who are shy but they could hear the answers to questions from the more assertive people. It cut down on "propaganda" spreading. (BDA 13)
		The next step he did was called the board, brought in the chairman of the board, brought in the chair of the finance committee and audit committee, then the faculty senate two chairs. The faculty senate, too. And said hey, this is what we've got going on. (BDA 4)
	Remain candid w/ stakeholders about positive and negative situations (8)	Above all other skills, an accomplished communicator is a must. (BDA 10)
		I think he did a really good job up front in communicating that. He did a very good job as a leader of getting the institution to understand that this was very painful and very hurtful but they're necessary. I think that's one of the times he's really shined as a leader. (BDA 1)

	Ability to communicate internally and externally a shared mission (2)	
	Able to deliver one's point of view to others (5)	She was exceptional at speaking to a specific point and not conflating important issues by giving a "dissertation." [dissertation reference was used to mean long-winded and distracting] (BDA 8)
		The President had to sell his vision and plan to the Board. He had the great ability of convincing others to follow his vision. (BDA 11)
	Expressed value in human capital (4)	
	Ability and willingness to engage the media (3)	We issued a press release and had a press conference, which was open to all media outlets. (BDA 1)
		He proactively set up a phone bank where all media could call in and be connected with a public relations representative since the school had never had this level of national attention before. (BDA 2)
	Good listener (3)	
Assumes Responsibility	Made tough decisions to right the poorly planned (past) strategy (4)	
	Makes strong decisions	The President is the person who fields the tough questions from reporters, takes responsibility for decisions made by College officials and also acknowledges personal limitations and defers to those with deeper situational knowledge. (BDA 7)
	Understands Presidents are held to higher standard (3)	
		The new President came in and assumed responsibility for poor prior fiscal management, then set the tone for moving forward by moving away from a culture of blame to one of resolution. (BDA 7)

	Taking ownership of a process/crisis/situation (6)	First, he set the tone by making it crystal clear that how we care for each student is our first priority, which set the foundation for all administrators as to our behavior moving forward. He then addressed the complexity of degree conference by grandfathering the students at the closing institution, addressed the needs of alumni by dedicating the endowment of the closing institution to the same profile of student in the acquiring institution and added a dedicated representative in the alumni office to address any concerns of alumni from the closing institution. (BDA 14)
		He took responsibility for the poorly run institution. (BDA 7)
		When this incident occurred the President reached out directly to the Cardinal to inform him of the situation and to make sure everyone knew he was on top of the situation. (BDA 15)
		He (The President) took the point on this. He had his hand in on tracking where we were and demanded very clear documenting of the process. (BDA 4)
Risk Taker	Unafraid to take calculated risks for the benefit of the institution (3)	The president had a habit of making small investments in start ups and assessing their success before fully diving into an initiative. This created an entrepreneurial culture where people were not afraid to try new things, make mistakes and not be afraid of penalty if a great idea didn't work. (BDA 9)
		After a lengthy study of the data, he presented a bold, aggressive and institutionally uncharacteristic presentation to the Board asking them to add 13 sports, growing admission at this small liberal arts college by 40%. This guy had balls! (BDA 11)
		A memorable moment that I will never forget is when she [the President] stood up and announced the decision to stay the course amid heavy pressure to make a decision in the opposite direction. She stood up for the morals and values of the

		institution and held firm to her beliefs. (BDA 8)
		To watch the President stand on principle and challenge the institutional culture of academic nepotism was enthralling. He remained committed to the ideal that he was helping the institution see beyond its own current understanding and that he was putting the right people in the right places to propel the institution forward. In the end, the business school is one of the crown jewels of the institution and represents 30% of our net revenue 12 years later. I would characterize this as a success. (BDA 14)
Effective Manager	Utilize leadership team in decision-making process (3)	Trust the people below him/her (BDA 7)
		I think it was a consultative process. In other words, all of the people who reported directly to her, put their proposals in and she also had what I would call other people that she would consult with and went to the college, or we'd go out there and formally meet with people and say, "We're going to have to do this and make these changes. What's your reaction to that?" I think she sold it well. (BDA 3)
		Trusts his/her people on the ground (BDA 7)
	Maintain close control without micromanaging (3)	Gave appropriate guidance but lets those in charge respond as appropriate (BDA 7)
	Ability to synthesize issues** (2)	The complexity of merging one institution into another was hard enough but the President's compassion for respecting their culture was paramount to the way each leader handled their respective acquisition responsibilities. (BDA 14)
	Trust subordinates (4)	Some presidents might have taken that as challenging authority, some might have taken it in terms of politically how it would look. But he jumped right in and said okay, shut

		down these other analyses. Now Person XXX, you're running the show. You go in, you find out the root cause. (BDA 4)
	Designed structured, logical and tactical steps to address problems (5)	She had the keen ability to deploy those round her to handle and address situations as they arose. (BDA 10)
	Provides appropriate direction for subordinates (3)	
	Information seeker (2)	Engages direct reports in dialogue to get a better understanding of the organization (BDA 10)
	Proactive (2)	
	Holds people accountable (4)	
	Challenge common assumptions (2)	
	Delegates effectively (6)	Understands that sometimes the strongest leadership occurs from behind the scenes while others effect and enact change. (BDA 11)
	Sets clear/crisp boundaries (2)	He was not going to take any excuses for what happened from the faculty that were responsible for those students because they apparently knew that the situation was ongoing and he was prepared to make some very tough decisions with respect to those faculty members and clearly wanted to see a line drawn in the sand that this kind of behavior is no longer accepted or won't be tolerated. I think that is effective leadership and it was clear that the president said this just won't be tolerated. We cannot have our students be in any kind of risk, even when from other students. (BDA 6)
	Attention to detail (2)	He made sure that all of us dotted our i's and crossed our t's because our plans had to be data driven and impenetrable so they would be successful. (BDA 11)
	Engages team in decision-making process and vision setting (7)	She was smart enough to let others with greater experience develop the communication strategy for all audiences. (BDA 10)

		President XXX surprised all of us by setting up a meeting with the Cardinal and the professor so they could discuss the book and reduce the tension that occurs when people are outsiders making assumptions as opposed to sitting down face to face. It was a remarkable moment for everyone at the Institution...it showed that the perception of rigidity from the Cardinal was open to broadening their horizons and lifted the morale and sights of those in all roles around the University. (BDA 15)
	Outlines clear priorities (9)	
	Engaged subordinates in planning process (2)	Where the effective management came into play was when immediately brought his leadership team in, sat everyone down, and said stop everything you're doing, THIS is the number one priority. (BDA 4)
	Open to learning from those around them	
Engagement/Facilitator	Took the time to communicate with each stakeholder group (6)	A President who takes the time to facilitate input from multiple stakeholders will garner much more support. (BDA 10)
	Persuade	There are some schools today that don't even know what the DOE ratio is. He did a very good job explaining what it is, how it's calculated, what it means. What it means for our students and now even to this day faculty union bonuses and increases are tied to how well are we doing our DOE ratio so that there's complete buy-in there. People understand that everyone has a role and keeping expenses as low as they can, producing revenue and doing those kinds of things, so he did a good job of that. (BDA 1)
	Motivate (2)	Encourages organizational dialogue on issues (BDA 9)
		The President took the time to help others see the value and embrace the opportunities of what he envisioned. (BDA 7)
	Ability to focus and funnel ideas (3)	
	Good Listener (3)	

	Approachable	
	Took time to get to know people on a human level not just as workers	
	Direct and continuous communication with external constituents (7)	
	Respond Calmly and rationally to Criticism (4)	It's really the quick action, the clear communication with the board, and his ability to check his ego at the door to focus on what needs to be done for the University that saw us through this critical period. (BDA 4)
		Walk softly and carry a big stick was his motto. He was exceedingly clever and understood the political and fiscal realities so he had to be an able politician to get things done. (BDA 12)
	Willingness to engage external experts around unique circumstances (2)	She stood on her principles and kept the focus on what academic institutions are about. (BDA 10)
		There comes a point in everyone's career when they are faced with something they are unsure about. She said I'm not comfortable making this decision because none of us around the table have ever dealt with this before", and proceeded to request an outside consultant to advise us on this crisis. (BDA 10)
Collaboration	Regular staff meetings (cabinet and one on ones)	
	Broad consultation (4)	In every meeting the President said "We are all in this together." (BDA 9)
		He just had a way of bringing people to a common level of understanding. Not that everyone agreed…that will never happen but this was his way of increasing the depth of dialogue. I think part of it was his background as a Philosopher. (BDA 7)

	Consensus builder (5)	Took the time to develop a committee that had broad representation from key stakeholder groups, which would be affected by any subsequent decision. (BDA 9)
		She poled senior staff in an attempt to build her inner circle. (BDA 8)
		Although the President knew what the decision needed to be, she took the added time of explaining all the facts and framing the severity of the situation to all who would listen. In the end a team of administrators, faculty and staff ultimately made a recommendation in support of a very controversial initiative set forth by the President. (BDA 9)
Educator	Explained each step in the process	
	Looks for every moment to grow stakeholder knowledge capacity (5)	She took the time to educate everyone on the broader issues at hand, not just the sound bites reported by the press. (BDA 8)
		In each of her statements she made sure to speak to the Institution's history of integrity-centered decision-making, upholding freedom of speech and expression principles (BDA 8)
		Framed the specific circumstances as much larger than any individual situation but also focused the conversation on the impact and implications this crisis has on the University. (BDA 10)
Confidence Builder	Helped stakeholders identify their own potential (2)	This was a racially motivated incident that required not just punitive action but required enlightenment to those who might have found this to be a joke. The President organized town halls to invite public discourse on the topic, publicly condemned this behavior quickly and set a very clear tone for the institutional culture. (BDA 15)
	Serve as cheerleader	
	Personal integrity- honesty (2)	
	Perceived as knowledgeable/intelligent (3)	He did not suffer fools. (BDA 12)

		President X is the most intelligent person I've met. His ability to process information and even without being an expert in any given area, he is able to, if you express it clearly and concisely, he'll pick up anything and he can make quick decisions based on that. (BDA 4)
	Trustworthy	
Emotional Intelligence	Sensitive to stakeholder morale (2)	
	Shows compassion (5)	She knew she had to terminate him but she took a humane approach which left the person's dignity in tact. (BDA 10)
	Ability to convey empathy/sincerity (2)	
Forward thinker	Ability to forecast trends, potential problems, etc. (2)	Due to a declining enrollment, the President had to make forward-thinking decisions for incremental cuts which were much more manageable than one big cut. (BDA 7)
	Strategic, deliberate thought process used for future planning (5)	The ability to read a situation for all its complexity is essential. What usually presents first as the problem in higher education is most probably not the real issue. In this passive aggressive culture, you often find that people find ways to rebel through issues unrelated to the actual problem because they see an opportunity. (BDA 10)
		That person could see the big picture, had a really great mind. He was able to take this huge picture of the world, of society, of demographic trends and just create a picture, at least in his own mind, of where the institution needed to be… navigated to, or opportunities to capitalize on, whatever verb you want to use, what was happening. Understood where the institution needed to go to realize those objectives. (BDA 2)
		He was always purposeful in trying to make good decisions for the future of the institution, even when others couldn't see it. (BDA 12)

	Anticipate questions from each constituency and maintained attentiveness to needs of critical groups such as alumni, boards, trustees, donors, etc. (2)	
Role Model	Lives the expectations espoused-ethical (2)	The President's skillset and acumen showed strong personal values. (BDA 9)
	Makes presence known to all levels of the organization	
	Global ambassador for the university (2)	Out of the 4 Presidents I reported to the one that I believe to be most effective viewed himself as the Chief Mission Officer for the University. He told all of his senior staff that we must lead by the principles set forth not by him but by the expectations of the core mission of the University. (BDA 7)
Integrity	Clear and consistent moral direction (3)	It was a controversial play that evoked a great deal of protests from the Religious Right from all over the country. Yet in discussions with the Cabinet as the option to cancel was presented, he responded by saying, "if we aren't about freedom of expression, who is? I mean it was controversial material, but not in bad taste. It was certainly to create discussion, no doubt about it." (BDA 2)
Politically astute	Ability to garner support for ones vision (3)	We rallied behind the President because of his experience on the issue. The campus did not know how to address the issue so we trusted in her judgment and supported her recommendations. (BDA 8)
		I think all of her decision-making had a good political antenna. As much as you'd hate to say it, what's going to sell versus not sell. In other words, part of the administration is the reality of administration and leadership, and part of it is going to be the perception of the leadership. (BDA 3)

	Includes ability to maintain strong relationships with local, state and federal officials (3)	Our institution had such trouble moving simple projects along. When the new President arrived and started engaging county officials, it seemed like a shadow was lifted and progress began to happen on projects that had been shelved for almost 2 years. (BDA 14)
	Relationship Builder	
Commitment	Dedication to completion	Its one thing to verbalize his vision but when I saw President XXX give his own money to fill a gap on a project he thought was critical, I couldn't help but want to help nurture this center of excellence. If a major road block didn't stop him, I feel that I should mirror that same level of commitment as a member of the leadership team. (BDA 8)
	Circles back to assess key decisions	One must have the iron will to push things through, even when unpopular because change, even when positive and necessary is always met with resistance in higher education. (BDA 13)
		Leading a Higher Education institution is like steering the Titanic…you can only move it but so fast in any particular direction and it takes a while before you achieve the desired results. (BDA 8)
Business Acumen	Understanding/knowledge of business principles to be able to balance fiscal implications of decisions. (4)	It was great to have someone who understood the balance sheet concepts of Revenue and Expense because financing of higher education is critically important to the sustainability of one's institution. (BDA 10)
		As he knew a Master Plan was critical, he personally outlined the financials of a business plan to show everyone the impact of growing athletics. (BDA 11)
		The President understood that we were in this crisis because we did not have a great department for financial analysis in there, and that it must also include academic financial analysis as well. (BDA 1)

		In my opinion, the academic experience limits strategic planning. This is not an academic skill set so I believe our President succeeded because he had a longer career in Administration than in the classroom. (BDA 10)
Personality	Approachable	Ego is good, Arrogance is bad (BDA 7)
	Charismatic (2)	
		He/She needs to be able to schmooze with the best of them. (BDA 11)
	Humble (2)	
Humor		A President must have a strong sense of humor, coupled with a high level of humility for the many stones which are thrown. (BDA 8)
Humility	Places the greater good of the institution above their personal beliefs/opinions/feelings (3)	She knew that the institution could not be her vision every second of the day. Others perspectives needed to be heard and propelled into the forefront for necessary changes to occur. (BDA 10)
Worldly	Attentive to broader issues in society	
	Engaged in Social Media	
Relationship Builder	Ability to connect with subordinates and beyond (2)	It always amazed me that the President of this large institution could easily remember the names of the custodians in the facilities. She made everyone feel so welcome. (BDA 8)
		In my opinion, the President should enjoy getting to know people. They should have a genuine interest in other people. (BDA 9)
Vision	Clear Priorities drive future outcomes (6)	

Appendix J. Codebook (Ineffective Critical Incidents)

Theme	Definition of Themes	Relevant Quotes
Poor Leadership		
Sub-Category: Negative Perceptions of Decision-Making Capacity		
	Lack of Decision-Making Ability	Waffling or Indecision never works in this role (BDA 13)
		Indecisive leadership can be just as bad as unilateral decisiveness. (BDA 2)
	Allowed Emotions to cloud a fair and balanced decision-making process (3)	The President did not exhibit forethought in the decisions they were making. What might seem like a good idea has, in some cases significant ramifications for the future. (BDA 6)
		He's got to let this person go for the good of the college. You just marvel at it. At one point I said, "I wasn't here when you came 13 years ago but I hear we were in rough shape and we really needed you." I go, "but I'm willing to bet that the College has never needed you to step up more than we need you to step up right this very moment." I said, "You have to be decisive. You have to do what you have to do. The college needs you." (BDA 1)
		Since the students had gone to the media, the President refused to be viewed as bowing down to the pressure of meeting with this student group. It created public furor, especially in the eyes of the public media that he lacked sensitivity toward racial issues. (BDA 2)

	Making decisions based on outside circumstances	In this situation, the President placed his emotions higher than the institution's success. (BDA 14)
		The President forgot the core values of the institution. As senior leaders, we are shepherds of the reputation and cultural values not dictators for the masses. (BDA 7)
		I guess my point is that after so many years he's (The President) lost his ability to just be decisive. He's become the type of person that lets whoever's in front of him influence him. (BDA 1)
		He acted on the issue after public inquiries were made which made it look like he only took action when others found out. (BDA 15)
	Inability to think ahead and through the implications of key decisions (3)	It was uncharacteristic of our President to make rash, emotionally-charged decisions and in his short-sided assertion of power forced a decision that placed the institution in great litigious harm because of the inconsistent and unfair manner the student was treated. (BDA 14)
		…because he felt that affinity groups didn't promote diversity but in fact created more subdivisions, he unilaterally decided not to sit down with this group individually but to hold an institutional town hall. Unfortunately, most felt this approach was hypocritical and diluted the necessary dialogue. It also didn't help that he was Caucasian. (BDA 2)
	Lack of Transparency in decision-making	
Indecisive Leadership	Unwilling to take a stand on a particular issue (4)	The President was perceived as not being able to stand on his own two feet. (BDA 11)

		Under constant open and vocal threats by the Chair of the Faculty Senate, the President led in an overly-cautious manner making very few major decisions throughout his tenure. (BDA 2)
	Delayed decision-making (5)	Everyone knew this VP was a lame duck and we couldn't understand why the President did not fire him. Instead, none of his proposals were ever accepted, none of his initiatives were ever funded and he basically was belittled into a seat-filler at senior staff meetings. (BDA 7)
		There was a certain amount of fanfare when the planning process came about, the report was published and then the president just sat on it. Several people said "What do we do now? Let's give an exact limitation or whatever," and he just sat on it. (BDA 3)
		I always say sometimes the cost of not making a decision is far worse than making a bad one. In this case, because the previous President did not want to get into a battle with faculty over a VERY important issue, he deferred a decision that the institution now has to absorb the full cost of $10 million. The impact is significant and could result in layoffs to cover the immediate cash expectations for the obligated payout. (BDA 14)
Lack of Demonstrated Experience		It was clear mistake to hire him because he had no experience or background in critical areas such as Student Affairs, Advancement, Legal, or Admissions. So he was clearly in the dark throughout strategic planning process and then issued directives that were illogical. (BDA 10)

		The President lacked the knowledge and awareness of the scrutiny all behavior comes under, even the most minor interactions with the public. (BDA 8)
	Inability to convey strong vision (3)	The President had no clue where he wanted to see the Institution in 3, 5, or 10 years. (BDA 13)
Inconsistent/Uncharacteristic behavior	Personal response disproportionate to the severity of the incident at hand. (5)	President was demanding answers as to why the situation happened and everyone around the table saw it as a resolvable situation through the student judicial process like most other student misbehavior. (BDA 7)
		The President was enraged by the immature and disrespectful behavior of a student which we all [senior administrators] understood. However, there is a student judicial process that we follow for all code of conduct violations, which the President had no interest in following. He demanded an immediate response based on his emotional reaction and not to his broader role/responsibilities as a steward of process and procedure for the institution. (BDA 14)
	Lack of balance in response/penalty issuance (3)	When the President sanctioned the Faculty for their role in the process, it almost seemed like favoritism was shown to the Student Affairs team because they were also knowledgeable and involved in the situation. Many were left questioning the bias shown when penalties were levied. (BDA 7)

		Many of the senior leaders were pissed off because we were aware of this unchecked behavior and watched as the President put his head in the sand. Then when he had to address the public he went with a consistent story not an accurate one. And what made it worse was when he allowed this guy to submit his resignation and not be fired. It sent a really bad message of leadership to all who were involved. (BDA 15)
		It was an overly strong response to a situation which was unwarranted (BDA 7)
	Lack of respect during senior staff interactions (2)	Our President would bring in his assistant to take minutes during what some felt should be privileged conversations. It felt disrespectful to those who wanted his confidence. (BDA 8)
		As the President's behavior became more and more erratic and those in the public became more aware, the Institution's reputation began to take a hit. We have spent years trying to rebuild town/gown relationships with those who will never forget the horrible way he responded to their concerns. (BDA 10)
	Chauvinistic behavior when engaging with members of the opposite sex	
Lack of Sensitivity toward HE culture	Can't shortcut consensus building process	The President must be acutely aware of the external environment. (BDA 9)
	Did not listen internally to feedback from stakeholders (5)	He forgot that he was the institution and that by not listening to his stakeholders, his leadership alienated and ultimately led to decline of the institution. (BDA 13)
		A critical mistake of President's is trying to

		shortcut the consensus building process
	Did not understand cultural norms, processes and values (2)	I could not believe the command and control nature of his tyrannical leadership style. Our institution did not operate hierarchically and he forced that methodological approach on everything and everyone. (BDA 13)
Ineffective Orator		Although the words are spot on, the President's delivery comes off as scary and intimidating so this is not his strong suit. (BDA 9)
Moral Character Lacking		Everyone makes mistakes but when you attempt to cover them up and pretend they didn't happen people lose respect for the leader. (BDA 15)
		People never rallied around the President's initiatives because it always seemed like his legacy was more important than the institution. (BDA 6)
	Setting separate (lower) expectations for oneself that differ from stakeholders (2)	He/she did not embody the values expected of the organization. (BDA 9)
		No one had any respect for him because his behavior reflected his lack of desire and respect for the "Presidency" and was simply an appointment to keep the ship in order. He was perceived as a slick operator had very little commitment to the success of the institution. (BDA 12)
		The public feeling after all was said and done was that we acted unethically in addressing the behavior and the lost revenue from this person's bad actions. (BDA 15)

Unmet Expectations	Inability to achieve desired results (3)	I could not believe the President swept the issue under the rug and pretended nothing had happened. It was a major disappointment to observe her response to this issue because if anyone was going to address this problem, I expected it to come from our leader. (BDA 8)
		The impact of the President's decision nearly crippled the institution financially and left stakeholders feeling emotionally and morally spent. The Institution was the laughing stock of the Division because the team was never given the comparable resources to truly compete against their peers. (BDA 11)
	Inability to frame critical discussions	The President just told his Cabinet they had a $7Million budget deficit and needed them to present ideas for closing the gap and in response the faculty came back with a recommendation to charge a fee that might generate $10,000. He didn't know how to frame the conversation, didn't break it into component parts for people to understand...and present the question of how to we fix this inherent problem so it doesn't happen again. (BDA 4)
Lacking Management Skills	Alienated senior staff	Did not facilitate a strong leadership team and as such had significant turnover among administration. (BDA 13)
	Stifled creativity of constituents by micromanaging (2)	
	Did not value key personnel	I could not believe the number of times he publicly humiliated people... not just staff but students as well. (BDA 10)

	No follow-up protocols for initiatives	People looked at him as meandering in the role. He was smart, had a good track record but was just an uninspiring presence. It never felt like his heart was in it so he never had a huge impact on the institution. (BDA 13)
	Inability to design strong leadership team (3)	It surprised all of us when the President hired (XXXX). He was someone near retirement being brought in to build and design a program that required long-term commitment, which was a recipe for disaster. It was clear to everyone that the President had let his long-term friendship with this person sway his decision on whom to hire. (BDA 11)
	Consistently canceling meetings	
	Unfocused rants and tangents	
		Managed by Fear (BDA 10)
	Did not listen to advice and guidance from senior leadership team (4)	… so what did he do, was he went out and hired a consultant, hundreds of thousands of dollars, and he came back six months later, and his response was "You've got to get rid of this guaranteed tuition program." If he had just listened to me, and I told him for free and had the guts to get up in front and argue for that with the board and say "look, this is what we need to do, and these are the reasons why this is not working for us." But he felt he had to defer his management and his leadership to a consultant to come in and say it for him because he couldn't stand on his own two feet and say it. (BDA 4)

Myopic Focus	Focusing too much attention on one issue (3)	Institutions have so many challenges, obstacles and hurdles facing them daily that this President seemed to be incapable of comprehending because all he wanted to do was address this one issue. It became the topic of discussion at every meeting for over 90% of the allotted time and for over 6 months we made very little progress on other strategic growth areas. (BDA 12)
		His personal anger about a situation clouded the eventual outcome. Instead of this being a teachable moment for the student involved AND the College community this situation was swept under the rug. I fully expect us to face this again and don't believe we are any better prepared for the next time than we were for that one. (BDA 7)
		Instead of training the Community, the President decided to reprimand. This was a major blow to the cultural values of our institution. We missed a serious teachable moment. His decision was authoritative as opposed to developmental. People still have not forgotten. (BDA 7)
Ineffective use of Communication	Delay in addressing stakeholders (2)	
	Belittle/shame a subordinate (2)	
	Public, verbal displays of subordinate dissatisfaction	It was clear to the entire leadership group that the President had no concern for this particular individual. (BDA 7)
	Not communicating critical pieces of information	The President failed to recognize the impact huge structural changes at the parent institution would have on his satellite campus. Because of this miscalculation, he had not effectively

		communicated and prepared his stakeholders for their imminent future. (BDA 12)
		Years of tension between these two sides deteriorated all vehicles of constructive communication between the President and the Faculty. (BDA 2)
	Demotivating response to messages	Ineffective at clearly communicating expectations before responding negatively about outcomes. (BDA 13)
	Alienating stakeholders as opposed to engaging them (2)	Off the cuff comments are a President's worst nightmare. Every word out of their mouths are highly dissected by the stakeholders who constantly look for perceived subliminal messaging. (BDA 9)
	Perceived as defensive and/or over protective	
Loss of faith/ Negative Public Perception	Lacking motivation in one's role	
	Outward signs of lost respect for a stakeholder (internal or external)	
	Inability to uphold values under stress	Everyone was disappointed when they realized he took a section of his remarks from an article clearly written almost a year before his. We were all let down. (BDA 8)
	Lack of public confidence in life decisions made (2)	It was difficult for many people to trust and rely on him because he seemed to always be filling someone else's shoes and not writing his own future. (BDA 13)
	Loss of support from leadership team (2)	

Limitations of Cognitive Complexity		He never took the time to learn enough about any particular area so his decisions always seemed to fall short of the greatest potential. (BDA 11)
	Not garnering public respect	The public perception of our President was that he was dumb and that he was in over his head. (BDA 13)
Ego-Driven Decisions	Self-Interest prioritized over others (3)	Viewed himself on a pedestal above the masses. (BDA 10)
	Self-Interest prioritized over the Institution (2)	I had five reasons, each of which were cause for termination but because she was part of international affairs and this was his [Presidents] legacy nothing was done. His legacy was more important than what was right for the University, so ego got in the way. (BDA 4)
		Thought he was Jesus (BDA 10)
Lacks Business Savvy (Short-sided thinker)	Unable to plan/forecast the future (4)	Allowing faculty to embed "faculty-only" rules in contracts had significant complications for the institution that although he was advised by his senior staff, he decided the current positive, political climate was more important than standing up for the institution's best interest and pushing back. The President continued to enjoy a great rapport with the faculty and left behind a legacy of caving to the academic enterprise to the detriment of the institution. (BDA 14)
		Since there was no strategic plan, this major decision lacked the broader support of institutional priorities that could have led to its ultimate success. (BDA 11)

		One must never forget, running a College/University equates to running a complex corporation. At the end of the day fiscal decisions impact all levels of the organization. (BDA 11)
		I realized we were on sinking ship when I presented the data on numerous programs that had only 2 or 3 students and which are not in demand. They don't make money, but they're utilizing critical space needed for something else. I'm not saying cut this to go to the bottom line, but if you could take an ineffective investment and invest it in a growing program and discipline, you're going to have exponential growth in the successful programs. He's like "not everything is about money here." (BDA 4)
Inability to generate Consensus	Unwilling to collaborate	Did not play well in the sandbox. (BDA 10)
	Lack of engagement w/ key stakeholders (5)	The President made a lot of major decisions without engaging the people in the trenches. (BDA 11)
		The President's Cabinet consisted of 25 people including Deans, all of the VP's and some of the AVP's but it was way too large when it came time to making tough decisions because people hid behind the vale of "everyone else". (BDA 4)
Lack of Patience		The President was more ambitious than humanly possible. He did not know his limitations and because he wasn't pacing himself became over extended quite quickly. (BDA 13)

Academic/Administrative Tensions	Unsuccessful negotiation of tension between academic and administrative roles	The President overly engaged the academics in dialogue so when it was time to make a decision, the conversation was so unbalanced that there were no other real alternatives on the table. One Dean could/would take up 85% of our Cabinet meeting and then no decisions would be made as a consequence. They [academics] would just complain, complain, complain. (BDA 4)
		The President chose to place an administrator as head of the Core Curriculum committee after 5 years of faculty discussion and no action. It totally backfired when the Faculty voted down the proposal that was presented to them. I really don't think it was because the plan was bad but because they didn't like the fact that it wasn't headed by a Faculty member. This situation really hurt the students because it seemed like ego's had more to do with this than anything else. (BDA 6)
		We could say what we want about faculty senates, academic senates, whatever you want to call them, faculty counsels. They don't really understand what we do as administrators. Truth of the matter is, they don't. I always say I have done your job. I have been a faculty member. I've earned my tenure and my rank. I have an earned doctorate. I worked my way through the system. How many of you have been an officer of an institution? (BDA 2)