Fall 11-24-2014

The Thoughtful Development of Others: A qualitative study of the impact of developmental relationships on chief academic officers in higher education.

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THE THOUGHTFUL DEVELOPMENT OF OTHERS: A QUALITATIVE STUDY OF

THE IMPACT OF DEVELOPMENTAL RELATIONSHIPS

ON CHIEF ACADEMIC OFFICERS IN HIGHER EDUCATION

by

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A DISSERTATION

Presented to the Faculty of

The Graduate College at the University of Nebraska

In Partial Fulfillment of Requirements

For the Degree of Doctor of Philosophy

Major: Educational Studies

(Educational Leadership & Higher Education)

Under the Supervision of Professor Brent D. Cejda

Lincoln, Nebraska

December, 2014

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Higher education rarely develops the capacity of its leaders in an intentional way (Eckel & Hartley, 2011). "Colleges and universities, unlike many similarly sized corporations, do not view talent development as a strategic priority" (Eckel & Hartley, 2011, p. 29). The complexity of higher education, as well as the increased demands and challenges, require better prepared leaders. Despite this need, there is little research on informal one-on-one leadership development tactics in higher education. To understand how leadership is fostered informally, this study focused on developmental relationships in higher education. Specifically, this study examined the role developmental relationships, and the functions therein, played in career advancement into leadership positions for chief academic officers in higher education.

The study utilized a modified analytic induction qualitative approach using questionnaires and interviews with Chief Academic Officers (CAO) at institutions belonging to the Association of American Universities (AAU). Through the interviews, data were gathered about what happened in the CAOs' developmental relationship experiences, and to what extent the individual developmental relationship functions impacted their career advancement. Through the data collection and analysis the researcher examined how developmental relationships helped promote and prepare

leaders in higher education and identified emergent developmental relationship functions specific to this population. A paramount finding of this study was the significance, effectiveness, and usefulness of role modeling in developmental relationships experienced by the participants. In addition, the findings identified a unique set of functions of developmental relationships experienced by these higher education leaders that are not identical to the developmental relationship functions in business sectors. The new functions specific to the population of higher education leaders represented by the sample were collaboration and problem solving. The importance of peer relationships and the existence of multiple developers were also key findings. Future research across a broader range of higher education leaders and institutions is needed to reinforce the findings of this study.

Dedication

Dedicated with love and gratitude to the most influential developers in my life:

In memory of my sister, my hero, Vicki Claire Sherick Hawkesworth

And, to my devoted parents:

Jack and Diane Sherick

Acknowledgements

Dr. Bryant, a faculty member on my graduate committee, described the acknowledgment pages as "your special communication to special people" (Bryant, 2004, p. 148). I first would like to acknowledge my advisor, Dr. Brent Cejda, for his guidance and direction that facilitated the completion of this degree. I will never forget my first impression of Dr. Cejda - he took me to lunch at Lazlo's Brewery. Nothing seals a working relationship like beer cheese soup! His feedback challenged me at times but I always knew he was ensuring my success at every step in the process. I am grateful for his time and thoroughness in providing feedback on draft after draft of my dissertation. I am especially appreciative of his time as he has endured the transition from faculty member to administrator serving as the Chair of the Department of Educational Administration.

I would like to thank the members of my Dissertation Committee for their diligence in review of my research. Dr. Marilyn Grady served as my first on-campus instructor at UNL. In my first week we had a long discussion regarding my motivation to pursue a PhD which helped me focus and find clarity in my efforts. I am grateful for Dr. Grady's unwavering support and influence on women in educational leadership. Dr. Miles Bryant taught my favorite courses in the department; Cultural Context of Leadership and Administrative Theory. He asked challenging questions and provoked thought through his instructional style and his feedback on my committee. Dr. Bryant's voice was with me along this academic journey through his book, "The Portable Dissertation Advisor." Dr. Gina Matkin and I only had the opportunity to meet face to face once to this point but when we met I felt we were kindred spirits. I thoroughly

enjoyed the course she taught on the Foundations of Leadership. Her approach was infused with passion and compassion which made the course memorable and fun. I am lucky to have such a solid committee of experts and appreciate their support and direction, helping me progress on this academic journey.

I would like to thank my many colleagues at Montana State University for their support and encouragement. Robert Marley not only took a chance by hiring me, he allowed me to flourish and explore with undoubted support. He asked during every annual review about my pursuit of a PhD – prior to embarking on this journey and each year throughout it. Doreen Brown, my research buddy, served as a peer reviewer as well as a confidante for the past 6 years. President Emeritus Geoff Gamble inspired the notion of this study and planted the seed that there are purposeful developers in higher education. My HERS sisters from the 2005 Summer Institute lived the motto "Lift as You Climb" and were instrumental in my pursuit of a doctoral degree in Higher Education.

In addition, I'd like to express my sincere thanks to Leah Norton at AAU and John Vaughn, AAU Executive Vice President and Director of the Chief Academic Officer Constituent Group. Without their endorsement of the project, the study would not have been possible. I appreciate the Chief Academic Officers for taking the time to meet with me and share their experiences. Thank you to the staff members who helped coordinate my visits and welcomed me to their campuses.

I have been blessed by outstanding friends and family who encouraged and supported me in the pursuit of my PhD. Two of my greatest supporters have passed away during the last year; however I believe they are with me every step of this journey. I

know my faithful companion Rosie is wagging her tail with excitement that I am done with my dissertation. She would anxiously wait for a walk after watching me at my computer for countless hours. My special angel and sister, Vicki, believed in me and helped me through some of the toughest days of my dissertation process. When it comes to developmental relationships, Vicki was my developer . . . mentor, coach, encourager, protector and friend. I took a picture in her honor at every campus I visited, knowing she was with me. Making Vic proud has empowered me and I will forever be grateful for her unconditional love, encouragement and support.

I have always admired and looked up to my brother, Mike. He is a role model to me and I am proud of the leader he has always been, but especially in the leadership he exhibits in the work he does currently. Thanks to my sister-in-law Susan, for the fun road trip through Iowa and Missouri. Over 500 miles in one day in a car might be considered torture to some but that day will always rank as one of the best. When I started to make significant strides on this project I was in South Carolina. In October of 2014 I returned there, while wrapping up my final draft. Thank you to my brother-in-law, Scot, for hosting me and putting up with my extended visits –it was fitting for me to make my final edits in your home. My nieces and nephews (Rachel, Jake, Sydney, and Matt) inspire me on a daily basis because of their intelligence, passion and aspirations. I am grateful that each of them has walked with me through this journey. They made the effort to ask about my dissertation progress each time we spoke, which meant a lot to me. Thank you to the Cech family for their encouragement – the notes on calendars, inspirational mugs, and on-going support helped me stay strong. Patti Palagi shared weekly phone calls which have had such impact on my happiness and my perspective. I

appreciate her listening and helping me process as I worked through the challenges of finishing my degree. Thank you to Sheree Watson for driving across the northwest with me and for reading my entire dissertation. Her empathy and consistency has been unmatched – I hope to return the favor as she goes through the process of earning her PhD. Kerry Hanson demonstrated her love and support with two trips to Lincoln, Nebraska. I am grateful to share this experience with each of you!

Words cannot express my gratitude for the engagement, interest, guidance and support I received from my parents throughout this process. They read every draft of this dissertation more than once and then read the entire final product from cover to cover. Their insights, curiosity and genuine interest in leadership enriched my experience and made this dissertation better. They raised each of us to have an appreciation for education and leadership. My passion to serve others stems directly from their influence. I believe that "Together We Can" accomplish anything and endure anything because of Jack and Diane Sherick. Thank you, a thousand times, thank you for continuing to give of yourselves in the development of others . . . especially me.

Erin Cech is my cheerleader, technology specialist, methodological expert, editor (comma inserter), and project funder but most importantly, she is my heart and my inspiration. I am grateful for her patience, guidance, and belief in me. Without a doubt, she is the most dedicated academic and most talented researcher I know. Her daily example of working towards making the world a better, more equal, fairer place to thrive motivates me to be a better person. I would have never been able to accomplish this without her by my side. I am blessed to have her as my life partner. She is, in one word . . . phenomenal.

Thanks to all who helped along the way. If someone tells you it is easy to earn a doctorate, they are not being honest, in my experience. It takes hard work, persistence, a thick skin, patience, dedication, and most of all, incredible support from others. To each of those mentioned above I give my sincere thanks for your contribution to the completion of this research project. My life has been blessed with numerous developers – peers, supervisors, advisors, family members - and my intention is to thoughtfully develop others in return.

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Chapter 1

Introduction

Effective leadership in higher education is a strategic imperative in the 21st century (Hill, 2006). Research on the importance of leadership in higher education has existed for several decades. In his book *The Power of the Presidency* (1984), Fisher citing Kerr (1980), noted: "Of all the problems confronting higher education in the coming years, the greatest will be *leadership*." Fisher stated, "Our future rests on bold, decisive leadership of college and university presidents nationwide" (Fisher, 1984). Although Kerr and Fisher were pointing to the importance of higher education leadership 30 years ago, the issue remains salient. At the beginning of this century, Gmelch (2000) referred to the commissions and executive reports that call for better college and university leadership:

> Around the world scholars and administrators alike speak about a great leadership crisis in higher education. Blue-ribbon commissions and executive reports call for bolder and better college and university leadership. The search for solutions to the leadership dilemma leads us to thousands of leadership studies, most of which are contradictory and inconclusive. (p. 581)

In their review of research on academic leadership, Smith and Hughey identify the need for effective leadership in higher education: "It is imperative that leaders emerge who can successfully negotiate the turbulent times that lie ahead and can reinvent academia so that it retains its relevance in a world which desperately needs what higher education has to offer" (B. L. Smith & Hughey, 2006, p. 162). They continue, "Enrollment fluctuations, rising costs and budgetary restraint, evolving delivery systems, increase litigation and a host of other concerns have also accentuated the need for effective leadership in higher education" (B. L. Smith & Hughey, 2006, p. 159). Smith

and Hughey (2006) also highlight the insufficiency of preparation programs: "Leadership in the academic world is becoming much more complicated than it was, and few preparation programs exist to equip individuals to meet the emerging leadership challenges" (2006, p. 162).

In contrast to industry, higher education invests little in leadership development. For instance, as reported in Forbes magazine, it is estimated that $60 billion is spent annually by corporate America on learning and development programs. Over 20%— about $12 billion—is spent on programs specifically for executives and managers (Zenger, 2012). "American colleges and universities prepare a large portion of the leaders and major participants in the worlds of business, industry, government, and the learned professions but do little to prepare their own faculty members (and eventual administrators) for the world of higher education" (Greenberg, 2006). As Green and McDade (1994) noted, higher education pays little attention to enhancing the ability of administrators and faculty to lead institutions; the priority is low and investment is modest. "Institutions invest little in the development of these valuable human resources, and when times get tough, funds for faculty and administrative development are among the first casualties" (p. 3). Resources are scarce, making it imperative to investigate and understand the most effective current approaches in developing leaders in higher education.

To better understand how leadership is fostered, this study focused on mentoring and developmental relationships in higher education, which are described in more detail in the conceptual framework section below. Research on developmental relationships in business and industry shows improvement in individual and organization effectiveness.

Many studies provide evidence that developmental relationships in business and industry

enhance the personal and professional development of individuals (Chandler, Hall, &

Kram, 2010; D'Abate, Eddy, & Tannenbaum, 2003; Kram & Isabella, 1985; Rock &

Garavan, 2006; Turban, Dougherty, & Lee, 2002). Chandler et al. (2010) refer to "a

significant body of research" (p. 48) as they highlight the benefits of developmental

relationships on learners, developers, and organizations. According to Chandler et al.

(2010), the learner benefits from developmental relationships by experiencing

"heightened personal learning and job satisfaction, increased promotions, and higher

compensation" (p. 48). The authors argue developers gain greater visibility and can

experience broader support for their initiatives by engaging in developmental

relationships. Finally, "organizations can benefit from enhanced organizational

commitment and lower turnover" (Chandler et al., 2010, p. p.48).

There is a void in the literature on how leadership is fostered through

developmental relationships in higher education. A search of the available literature

revealed *no* studies conducted about the impact of developmental relationships on

fostering leadership in higher education. The review of the literature identifies only three

studies on developmental relationships in higher education: The first study focuses on

the impact of developmental relationships on undergraduate females in a chemistry lab

(Downing, Crosby, & Blake-Beard, 2005); the second study focuses on the impact of

developmental relationships on early-career to mid-career faculty members (Kirchmeyer,

2005). The third study is a dissertation which analyzes the mentoring functions in the

ACE fellowship program but does not focus on the broader concept of developmental

relationships (Grotrian-Ryan, 2012). The present study applied the concept of

developmental relationships for career advancement documented in previous literature to the study of higher education leadership development.

Purpose Statement

The purpose of this study was to investigate how developmental relationships help promote and prepare leaders in higher education. Specifically, this study examined the role developmental relationships, and the functions therein, played in career advancement into leadership positions for chief academic officers in higher education. Previous studies (D'Abate et al., 2003; Downing et al., 2005; Eddy, D'Abate, Tannenbaum, Givens-Skeaton, & Robinson, 2006; Fowler & O'Gorman, 2005; Kirchmeyer, 2005; Kram & Isabella, 1985; Lombardozzi & Casey, 2008; Rock & Garavan, 2006; Turban et al., 2002) provided evidence of the importance of developmental relationships; however, the functions of developmental relationships have not been analyzed in the context of higher education administration. This study aimed to identify the most pertinent developmental relationship functions, the most often utilized tactics in developmental relationships between higher education leaders and potential leaders and the impact of those tactics on the career advancement of Chief Academic Officers (CAOs).

Conceptual Framework—Developmental Relationships

Developmental relationships occur when an influential individual with advanced experience and knowledge invests in the career growth of a less experienced individual (Fowler & O'Gorman, 2005; Kram & Isabella, 1985). This investment can be made through behaviors such as mentoring, coaching, networking or sponsoring. In addition, actions such as teaching, counseling, evaluating, listening, advocating, showcasing,

collaborating, empowering, and challenging through developmental relationships are integral to leadership development and career advancement (Chandler et al., 2010; Downing et al., 2005; Kram, 1988; Lombardozzi & Casey, 2008; Rock & Garavan, 2006). For this study, the dyad in the relationship consisted of a developer, or sitting higher education leader, and a learner, or potential higher education leader. The relationship is built on mutual trust as well as respect, admiration and appreciation of competencies and abilities to lead in the higher education setting (Turban et al., 2002).

Kathy Kram's (1988) seminal research studied adult relationships in the work environment, first through interviewing managerial employees at a large public utility company followed by a second study that emphasized peer relationships from a large manufacturing firm. Through her research she clarified the nature of relationships at work that enhance career development. She also defined essential characteristics of developmental relationships (career support and psychosocial support) and suggested ways to build them at work.

Kram (1988) began by focusing on vertical mentoring dyads but discovered that support comes from a set of relationships that include mentoring as well as other developmental relationships (e.g., peer relationships). Many relationships can meet developmental needs (Kram & Isabella, 1985) such as relationships with bosses, peers, and subordinates.

For this study, I focused on developmental relationships in this broader sense, with the understanding that mentoring is the most familiar example of developmental relationships. Researchers have elaborated on types of developmental relationships beyond mentoring because they recognize that individuals draw support from numerous

people who may offer different types and varying levels of career and psychosocial support (Chandler & Kram, 2007). According to Chandler and Kram (2007), the reality of peoples' experience is that they gain mentoring support from a broad range of "developers." A variety of relationships can be developmental (Eddy et al., 2006; M. C. Higgins & Kram, 2001; Kram & Isabella, 1985).

In the literature, researchers use the terms mentoring relationships and developmental relationships interchangeably. Rock and Garavan (2006) point out that developmental relationships are "infinitely variable" (p. 331). "Traditionally, academics have fallen back on the concept of mentoring to describe these relationships" (Rock & Garavan, 2006, p. 331).

In her work on mentoring, Kram (1988) proposed two types of support that explain how developmental relationships aid development; career support and psychosocial support. Quality relationships are characterized by both high amounts of career and psychosocial support. Career support helps the learner gain understanding about the organization and helps prepare them for advancement. On the other hand, psychosocial support raises the learner's sense of competence, clarity of identity, and professional effectiveness (Eddy et al., 2006; Kirchmeyer, 2005; Kram, 1988; Lofton, 2012; Thomas, 1990). The two types of support, also recognized in more recent research (Allen, Eby, O'Brien, & Lentz, 2008; Chandler et al., 2010; Downing et al., 2005), are facilitated through actions. Existing literature on development relationships in industry supports nine functions first identified by Kram (1988). The nine functions are: sponsoring, exposure and visibility, coaching, protecting, stretch assignments, role modeling, acceptance and confirmation, counseling, and friendship (Eddy et al., 2006;

Kram, 1988). Each of these nine functions on their own or in combination with others

can have an impact on an individual's advancement into leadership positions

(Lombardozzi & Casey, 2008). Explanations and examples of the nine functions are

organized in Table 1.

Table 1

Functions and Behaviors of Developmental Relationships

Types of Support (Kram & Isabella, 1985)	Functions of Developmental Relationships (Lombardozzi & Casey, 2008)	Behaviors Exhibited by Developer (D'Abate, Eddy, & Tannebaum, 2003)
Career Support	Sponsoring	Teaching Sharing information Socialization Goal setting
	Exposure & Visibility	Advocating Introducing
	Coaching	Observing Feedback Directing
	Protecting	Sheltering Problem solving
	Stretch Assignments	Practical application Collaborating Helping on assignments
Psychosocial Support	Role Modeling	Modeling
	Acceptance & Confirmation	Supporting Affirming Encouraging Confidence building
	Counseling	Counseling Aiding Calming
	Friendship	Befriending

Source: Adapted from D'Abate et al. (2003), Kram and Isabella (1985), and Lombardozzi and Casey (2008).

In order to investigate developmental relationships in higher education, this study used the list of common descriptive characteristics identified in the "behaviors exhibited" category of the taxonomy established by D'Abate et al. (2003). The list is a comprehensive and well-defined inventory of developmental interactions or exchanges between two people with the goal of personal or professional development, derived from the review of 182 sources from developmental relationship literature (D'Abate et al., 2003). These behaviors carry out the developmental relationship functions identified by Kram (presented in Table 1).

Status of Leadership Development in Higher Education

It is important to identify, encourage, and nurture potential leaders in higher education. The future leadership in higher education is unlikely to emerge in sufficient quantities without *intentional development* (Eckel & Hartley, 2011). They state, "careful attention and effective action can result in higher education better positioned for the future, with savvy and diverse leaders ready to face challenges and take advantages of opportunities" (Eckel & Hartley, 2011, p. 10). Scholars have emphasized the value of fostering leadership at an individual level. According to Birnbaum (1992), encouraging others to lead is one of the ten research-based principles of effective academic leadership. In addition, Kouzes and Posner (2007) identify "modeling the way" as a principle of exemplary leadership. If a leader "models the way" he/she empowers others. Fisher and Koch (1996) address the importance of inspiring administrative staff and refer to the "professional obligation" of university leaders to serve as developers. They state, "When you appoint a new administrator who reports to you, you assume a professional obligation to mentor that individual as appropriate and necessary." This

learner/developer relationship "extends not only to providing instructive orientation and non-intrusive 'how to do it' discussions, but also to helping that individual advance professionally" (Fisher & Koch, 1996, p.111). Effective leaders encourage and motivate their constituents by providing challenges that constitute opportunities for personal growth and development (B. L. Smith & Hughey, 2006).

At the organizational level, leadership development needs to be a strategic institutional priority: "The most powerful factor influencing many leaders' trajectories is personal encouragement by respected mentors to pursue greater, more senior-level positions" (Eckel & Hartley, 2011, p. 27). Emerging leaders must also have practical experiences that prepare them for future positions. "Without the wisdom gained from experience, individuals may have passion but be unable to realize their aspirations" (Eckel & Hartley, 2011, p. 28). Emphasizing the need for intentional action, Eckel and Hartley (2011) write, "Individuals need to be actively encouraged in their own setting and given opportunities to demonstrate their leadership acumen" (p. 29).

A study conducted by Gmelch (2000) of two thousand academic leaders in the United States surveyed between 1990 and 2000, found only 3% had received any type of leadership training or preparation. "Many leaders in higher education are not trained in leadership or have ever been trained to perform administrative duties" (Smothers, Bing, White, Trocchia, & Absher, 2011, p. 305). They have climbed the ranks from faculty member to committee head to department head to dean to provost to president, often learning the decision making processes and other administrative challenges as they are presented. This can be "disconcerting and humbling for those (faculty) accustomed to

consistent professional success and acclaim within their disciplines or classrooms"

(Bolman & Gallos, 2011, p. 191).

"Leadership development is identifying new leaders, providing people with

opportunities to grow and learn, to affirm their beliefs and values, to expand their

understanding of issues and people, and to improve their management skills" (Green &

McDade, 1994, p. 5). While individuals must create opportunities to develop themselves,

institutions must help them do so by effectively managing human resources, by

establishing a climate that encourages participation and innovation, and by actively

promoting leadership development. "If leadership development is to be more than a

random and occasional activity, it must become an institutional commitment, supported

at the highest levels and embraced as part of a culture that it espouses lifelong learning by

its faculty, administrators, and staff" (Green & McDade, 1994, p. 6).

When leadership development does occur it can occur internally or externally to

the institution and can be formal or informal. Examples of external formalized programs

that offer training and experience to those interested in leadership roles in higher

education include the American Council on Education (ACE) Fellows Program,

Educational Leadership Program (ELP), Institutional Leadership Project (ILP), and

Summer Institute for Women in Higher Education Leadership (HERS) (Roberts, 1990).

An example of an internal formal leadership development program occurs when

universities organize "grow your own" leadership or development programs (Green &

McDade, 1994).

The literature also reveals that while existing formal leadership development

programs are often provided for leaders already in a leadership position, programs are

also compacted into a compressed timeframe and offered to only a limited number of participants (Riccio, 2010). Also few training or development opportunities exist for *potential* leaders in higher education. This consequence has resulted in underprepared leaders at several levels in higher education organizations (Birnbaum, 1992; Bolman & Gallos, 2011; Harman, 2002; Kezar, Carducci, & Contreras-McGavin, 2006; Spendlove, 2007), even though several studies have revealed the positive effects of leadership development (Braun et al., 2009; Chibucos & Green, 1989; Conger, 2004; Davies & Davies, 2010; Day, 2001; Hill, 2006; Murphy & Riggio, 2003; Riccio, 2010; Wallin, 2002; Wolverton, Ackerman, & Holt, 2005). Leadership development in higher education is still an under-investigated field of research and application (Braun et al., 2009; Bryman, 2007; Castle & Schutz, 2002). "The development of effective leadership is crucial for performance and success not only in commercial organizations, but also in academia" (Braun et al., 2009, p. 203).

There are very few identified or documented processes for informally preparing higher education leaders, yet most exposure and advanced preparation occurs through these means (Eddy et al., 2006). The process of leadership development can occur informally through daily activities or casual conversations (deJanasz, Sullivan, Whiting, & Biech, 2003; Harvard Business Essentials, 2004). "For faculty and administrators to grow professionally and improve their contributions to the institution, they must have multiple forms of development, including coaching, on-the-job development, and support from supervisors and the organizational structure" (Green & McDade, 1994, p. 228).

Preparing academic leaders requires providing experiences for potential leaders that both test and develop their leadership skills (Hoppe, 2003). Higher education

graduate programs aim to prepare students with the knowledge, skills, and competencies for leadership in higher education institutions and policy institutes (Freeman Jr & Kochan, 2012). In a study on academic pathways to leadership, Freeman and Kochan (2012) reported on the emergence of higher education doctoral programs "specifically focused on preparing individuals for executive leadership" (p. 95). However, Freeman points out, "it is not generally known how they prepare leaders better for higher education in comparison with their disciplinary counterparts" (Freeman Jr, 2012, p. 95). Beyond these efforts, there is little research on informal one-on-one leadership development tactics in higher education.

Research Questions

This study was guided by the following grand tour question: How did the participants in this study describe a developmental relationship in a higher education setting and, further, how did the participants describe the role of the developmental relationship in their career advancement?

Research questions this study aimed to answer are:

1. How did the participants in this study describe experiences in a developmental relationship in a higher education setting?

2. How did the participants in this study describe the role that a developmental relationship played in advancing their careers in higher education institutions?

Research Methodology

According to Merriam (2002), "qualitative research attempts to understand and make sense of phenomena from the participant's perspective" (Merriam, 2002, p. 6). Maxwell (2005) outlines a central goal of qualitative research: to understand "the meaning, for participants in the study, of the events, situations, experiences, and actions

they are involved with or engage in" (p. 22). As a researcher, I wanted to determine how participants described their developmental relationships in higher education and how these relationships helped prepare them to be academic leaders. I sought to understand developmental relationships in higher education leadership through the perspectives of Chief Academic Officers (CAOs).

The basis of the research was a modified analytic induction qualitative approach using questionnaires and interviews with Chief Academic Officers (CAO) at institutions belonging to the Association of American Universities (AAU). According to Bogden and Biklen (1998), analytic induction is employed when some specific problem, question, or issue becomes the focus of the research. This procedure is used extensively in open-ended interviewing. The sampling method of an analytic induction approach is purposeful and the rationale for choosing particular cases or subjects is that they are believed to facilitate the expansion of the phenomenon (Bogdan & Biklen, 1998). The phenomenon in this case was developmental relationships in higher education leadership.

I used the following four steps of modified analytic induction summarized by Robinson (1951, p. 813):

1. Early in the research you develop a rough definition and explanation of the particular phenomenon.
2. You hold the definition and explanation up to the data as they are collected.
3. You modify the definition and/or explanation as you encounter new cases that do not fit the definition and explanation formulated.
4. You redefine the phenomenon and reformulate the explanation until a universal relationship is established.

Following the outline by Robinson (1951), I began with a rough concept of developmental relationships and related functions based on existing literature. One of the strengths of analytic induction is that it allows for the discovery of new themes not

expected by or accounted for in the original framework (Gilgun, 2005). I came to this study with an identified process for career advancement through developmental relationships that arose out of research on business enterprises. This study applied that concept to higher education career advancement to examine how developmental relationships helped promote and prepare leaders in higher education and identified emergent developmental relationship functions specific to this population.

Accordingly, I used the following purposeful sampling procedure to identify participants. The population that received the questionnaire was the Chief Academic Officers (CAO) Constituent Group of the Association of American Universities (AAU). The AAU is an organization consisting of 62 public and private research universities (60 in the United States and 2 in Canada) which focuses on issues such as funding, policy and graduate and undergraduate education (https//www.aau.edu, 2013).

I identified potential interview respondents from this surveyed population. As stated above, purposeful sampling is used in analytic induction methodology and the rationale for choosing particular cases or subjects is because they are believed to facilitate the expansion of the concept (Bogdan & Biklen, 1998). This project aimed to study the role developmental relationships played in career advancement for higher education leaders, the sample selection focused on participants who have experienced a developmental relationship and believed it to have been beneficial to their advancement. Accordingly, interview participants were selected based on two criteria as determined by the questionnaire: first, they experienced at least one of the developmental relationship functions delineated on the questionnaire. Second, in order to be considered for inclusion in this study, participants had to affirm that their experience with the developmental

relationship function(s) was beneficial to their career advancement. In the instance that a large proportion of questionnaire respondents experience one or more functions and categorize the experience as beneficial, I narrowed the sample by a maximum variation sampling approach that sought to reflect the diversity of the sample by gender, years in position, private and public universities, and geographically dispersed institutions.

One assumption could be that individuals who experience the greatest number of functions were impacted to the greatest extent. Rather, my research perspective was that more functions do not necessarily mean greater impact: experience with even one developmental relationship function can deeply impact respondents' career advancement. We can learn a great deal about informal processes of leadership development by studying academic leaders whose career advancement benefited from a meaningful developmental relationship, no matter the number of different functions they encountered.

Once the respondents provided permission, qualitative semi-structured interviews were conducted. Through the interviews, data were gathered about job experience and leadership trajectory as well as formal and informal leadership development experiences that aided in their preparation to be academic leaders. Second, I asked what happened in the CAOs' developmental relationship experiences, and to what extent the individual functions impacted their career advancement. Lastly, open-ended questions allowed the participants to discuss additional strategies or actions that were not identified through the original framework for developmental relationships in existing literature. The interviews took place in person at their respective campus locations. The number of interviews conducted depended on the number of potential subjects fitting the criteria. My intent

was to interview 20 participants, however, the number of interviews was determined by the redundancy of the data; when no new functions were emerging through more data collection and the information gathered was redundant, the goal of the study was reached (Bogdan & Biklen, 1998).

Data analysis and data collection occurred iteratively. Using interview transcripts as well as reflective memos generated during data collection, I analyzed the variety of developmental relationship functions and common themes that emerged from the experiences described by the CAOs. Data were collected and analyzed to compare the developmental relationship functions to those from previous studies in industry. As new functions and explanations of developmental relationships emerged in the data, I modified the definition (functions). Through the data collection and analysis I considered whether the current concept of developmental relationships in literature on career advancement in business organizations was relevant to higher education organizations; whether developmental relationships helped promote and prepare leaders in higher education. I also identified emergent developmental relationship functions specific to higher education leadership.

Definitions

For the purpose of clarification, the following terms are defined for this study:

Acceptance-and-confirmation—the ongoing support and respect that a developer portrays for a learner to strengthen their self-confidence and self-image (Kram, 1983; Noe, 1988).

Career advancement—benefits of mentorship for the learner such as sponsoring, exposure-and-visibility, coaching, protection, and stretch assignments – all of which

frequently have a positive long-term impact upon career trajectory (Kram, 1988). For this study, career advancement in higher education is equivalent to advancement into a leadership position, specifically Chief Academic Officer.

Career functions—those "aspects of the relationship that primarily enhance career advancement" (Kram, 1983, p. 614). Functions include sponsoring, exposure and visibility, coaching, protecting, and providing learning opportunities through challenging work assignments (Eddy et al., 2006; Kirchmeyer, 2005; Kram, 1988).

Chief Academic Officer—an individual who has administrative responsibility for all institutional academic affairs including supervision of staff and faculty assigned to the instructional divisions.

Coaching—a management technique that is based on knowledge about how and under what conditions employees improve and grow on specific skills that managers need to practice, develop and incorporate into their management style (Rock & Garavan, 2006).

Counseling—the helpful and confidential nature of the relationship. The mentor acts as a sounding board by demonstrating listening, trust, and rapport with the learner (Kram, 1988).

Developer—an influential person with advanced experience and knowledge who provides development to another (Fowler & O'Gorman, 2005; M. C. Higgins & Kram, 2001). The generic term adopted to describe the role commonly referred to as master, mentor or tutor (D'Abate et al., 2003).

Developmental relationships—formal or informal relationships where an individual takes an active interest in and initiates actions to advance the career

development of another (Kram & Isabella, 1985). A relationship with an influential individual with advanced experience and knowledge, who is committed to providing upward mobility and support to a career (Fowler & O'Gorman, 2005).

Exposure-and-visibility—doors being opened or the connections that are made to support the learner's career advancement with opportunities to demonstrate performance (Kram, 1983; Noe, 1988).

Formal leadership development—formalized programs that offer leadership training and experience. Programs can be provided at the national level, the regional level or at institutions through "grow-your-own" leadership programs. Graduate education programs in Higher Education Administration or Educational Leadership are also considered a means of formal leadership development in this study.

Friendship—the mutual caring that extends beyond the daily work environment (Kram & Isabella, 1985; Lombardozzi & Casey, 2008).

Higher education leadership—Those positions of academic administration that have broad institutional impact and are unique to the higher education system such as presidents, provosts, vice presidents/provost, deans and department heads (Weingartner, 1999).

Informal leadership development—leadership training and experience that is not confined to formal programs. This type of development can occur through day to day conversations, action learning opportunities, on-the-job learning, mentoring, networking, coaching, role modeling, sponsoring, or other developmental relationship functions.

Leadership development—a training and education intervention aimed at improving the competencies of managers and executives of an organization (Green & McDade, 1994).

Learner—the party within the developmental relationship possessing the lesser skills and experience, ultimately learning from the developer.

Networking—introducing the learner to others who can provide assistance or further teaching regarding practice (Lombardozzi & Casey, 2008).

Protection—the support a mentor provides in difficult situations, shielding the learner from potentially damaging situations (Kram, 1983; Noe, 1988).

Psychosocial functions—"those aspects of the relationship that primarily enhance sense of competence, clarity of identity, and effectiveness in the managerial role" (Kram, 1983, p. 614). Functions include role modeling, acceptance and confirmation, counseling, and friendship (Eddy et al., 2006; Kram, 1988).

Role model—a senior person who inspires others, someone with whom one identifies emotionally and whom one wishes to emulate in some way. An individual looks up to and admires the role model (Downing et al., 2005).

Sponsoring—giving instrumental help such as sharing information with a junior person, giving practical advice, and showcasing the junior person (Downing et al., 2005). Sponsoring is direct, proactive intervention toward increased visibility or protection (Rock & Garavan, 2006).

Stretch assignments—assignments that stretch the learner's knowledge and skills in order to obtain competence in the profession (Hoppe, 2003; Kram, 1988; Noe, Greenberger, & Wang, 2002).

Assumptions, Delimitations, and Limitations

     Assumptions.

1. Leadership skills can be enhanced through developmental relationships.

2. Developmental relationships have a positive impact on career advancement for Chief Academic Officers in higher education leadership.

3. Many chief academic officers have been prepared to lead by a developer in higher education.

     Delimitations. The scope of this study was narrowed by the following delimitations:

1. This study population was confined to the CAO constituent group of AAU.

2. This study was limited to the data collection available at the time the study was conducted and to the members of the population willing to participate.

3. Relationships have many factors, including but not limited to, frequency of contact, longevity of relationship, proximity of participants, etc. This study was narrowed to the impact of the developmental relationship on personal and professional development.

     Limitations.

1. Each participant within this study self-selected to participate. While this is a limitation, the purposeful sampling utilized for the study was appropriate for the modified analytic induction method (Bogdan & Biklen, 1998). Creswell (2009) commented that successful qualitative inquiry begins with the selection of appropriate study participants who can aid in the answering of the research question at hand.

2. Sample size was small. The study population was limited to willing participants who meet the criteria from the 62 institutions represented in the Association of American Universities.

3. The data collection methods faced limitations centered on the construction and interpretation of the questionnaire and interview questions; and in most cases the problem is about ambiguous questions (Creswell, 2009). There are also common limitations of the interview method related to researcher's biases and reactivity.

Significance of the Study

This study aimed to investigate the experiences and perceptions of only a small sample of CAOs and therefore was not representative of all higher education leaders. However, there are concepts and strategies to foster leadership development informally that might be extrapolated and applied to a broader audience. Higher education scholars, faculty in higher education graduate programs and higher education leaders will potentially find this study of interest.

First, significant studies on leader development in higher education have not analyzed the purposeful actions of current leaders and how leadership is fostered specifically through developmental relationships. This study advanced the topic of leadership by studying functions of developmental relationships. This study identified specific actions effective leaders can take to promote leadership. While the impact of developmental relationships has been examined in other contexts, the impact on higher education leadership had not previously been investigated.

Second, university presidents, provosts, chief academic officers, and student affairs leaders can all benefit from a greater understanding of how to promote leadership through developmental relationships. The findings suggest guidelines or models for future leaders and for developing leaders in higher education. For current leaders, the decision of investing in the promotion of leadership through developmental relationships was supported by the findings of this study. The importance and impact of the investment in the development of leaders in higher education through developmental relationships were supported and exemplified by this study.

Conclusion

This study aimed to identify the most effective functions of developmental relationships in promoting higher education leadership. The problem addressed in this investigation is that higher education scholars and institutions need a better understanding of the processes by which higher education leadership is fostered through developmental relationships. There is a need for better understanding of how to identify, encourage and prepare leaders in higher education. On a broad scale, better-prepared leaders are needed to minimize leadership turnover due to poor performance and to replace retiring administrators. The complexity of the organization of higher education, as well as the increased demands and challenges, require better-prepared leaders. What are the purposeful strategies employed by higher education leaders through developmental relationships to cultivate future leaders? The purpose of this modified analytic induction qualitative study was to investigate how developmental relationships helped promote and prepare leaders in higher education. Specifically, this study examined the role

developmental relationships, and the functions therein, played in career advancement into

leadership positions for chief academic officers in higher education.

Chapter 2

Literature Review

In this chapter I will frame the current study within existing literature, emphasizing the void in existing research on developmental relationships in higher education leadership as well as the importance of cultivating leadership in higher education, leadership development and developmental relationship functions. This chapter includes headings that organize the literature reviewed into subcategories that include: Higher education leadership (complexity, faculty, rise to leadership, effective leadership, importance of relationships, creating a culture for development); Leadership development in higher education (formal programs and informal efforts); and Developmental relationships (benefits, dyads, types, learning). Each of the three major subcategory sections begins with a "section overview" to outline the content covered in that section. The chapter begins with a description of the search strategies I utilized.

Literature Search Strategies

An extensive amount of literature exists on leadership in higher education. Many of the published articles, dissertations and theses analyze leadership as it relates to students or the leadership development of undergraduate students. A search of ProQuest with the key terms "leader in higher education" resulted in over 7,500 articles in the past seven years. Through the Digital Commons search engine at University of Nebraska Lincoln, "higher education leadership" resulted in 1862 hits. A search within these results limited to the keyword of "leadership" produced 34 results in the past 10 years. When the search was narrowed to keywords "higher education administration" 12 theses or dissertations were garnered. The most active years in the past ten in respect to the

number of theses and dissertations written on higher education leadership were 2009 and 2010.

A search of ProQuest with the key term "developmental relationships" resulted in 87 publications in the past 10 years. The term "mentoring functions" resulted in 704 articles in the past 10 years including 230 within the discipline of education and 75 within educational administration and supervision. Within the 704 mentoring functions articles, searching key words of leadership, higher education and educational leadership yielded 32, 16, and 4 publications respectively. Through the Digital Commons search engine at University of Nebraska Lincoln, "developmental relationships" resulted in 8 dissertations, 2 within the subject realm of education, while "mentoring functions" yielded 7 results. The most active year in respect to the number of theses and dissertations written on developmental relationships or mentoring functions was 2012.

The researcher primarily searched electronically for periodicals, journal articles and dissertations addressing higher education leadership, leadership development or developmental relationships. The electronic databases included: Academic Search Complete, Chronicle of Higher Education, Digital Commons, Emerald, ERIC, EBSCOhost, JSTOR, ProQuest Dissertations & Theses, and Springerlink. The main descriptors used to search for material related to developing effective leaders in higher education were: academic leadership, higher education administration, higher education leadership, leadership development in higher education, developmental relationships and mentoring functions. The majority of the literature reviewed was from the past ten years. Several books were also used in the literature review. The references within other publications were useful in discovering more sources that were relevant to this study.

Higher Education Leadership

     Section overview. This section highlights the challenges and demands in higher education emphasizing the need for better prepared leaders. Second, the professional identity of faculty is described as well as the dynamics involved between administrators (leaders) and faculty (followers and potential leaders). Literature on the common career paths of higher education leaders lends to the point that there is a lack of training for administrators. Third, literature on effective leadership in higher education affirms the importance of encouraging others, modeling the way, and showing genuine interest in the needs of others. Previous studies support the concept that relationships built on trust and strong communication are vital to higher education leadership. Finally, the literature reviewed in this section outlines the importance of creating a culture for development and capitalizing on the already existing environment of learning afforded by academic institutions.

     Complexity and challenges. A common thread throughout the literature was the complexity of higher education and its multidimensionality (Birnbaum, 1992; Bolman & Gallos, 2011; Filan & Seagren, 2003; Kezar & Lester, 2011; Mateso, 2010; Z. A. Smith & Wolverton, 2010). Because of the unique set of leadership challenges, it is critical to have better prepared leaders. "Higher education has a unique combination of diverse mission, diversion interests, competing theologies, multiple power centers, weak authority, distinct discipline-based cultures, and scarce resources" (Bolman & Gallos, 2011, p. 87). Governance of an institution requires the interaction of many groups, and each group has one or more leaders. In an environment with "greater participation, shared

influence, conflicting constituents, and assorted other complexities" (Birnbaum, 1992, p. xi), leadership in higher education can be complicated.

Leaders in higher education are accountable to many different constituents, and most of them have different demands and expectations (Filan & Seagren, 2003; Nevarez & Keyes, 2007; B. L. Smith & Hughey, 2006). External pressures stem from governing boards, alumni, parents, donors, communities, and accrediting agencies. Internally, higher education leaders are required to balance the needs of other administrators, the faculty, and the students. "Higher education administrators juggle multiple roles in a myriad of expectations from these diverse constituents in a world of conflicting cultures, pressures, and priorities. This can make it difficult for academic leaders to maintain their balance and focus" (Bolman & Gallos, 2011, p. 143).

The demands have increased with the competitive market, budget declines, and higher expectations from all constituents (B. L. Smith & Hughey, 2006). "Academic leaders live daily with the pinch of shrinking budgets, diminishing public confidence, intense competition for students, changing technology, changing student markets, and dramatic shifts in the quadrant of landscape with the growth of online learning and for-profit providers" (Bolman & Gallos, 2011, p. 157). Recruiting and retaining highly talented faculty and students has become a critical challenge in higher education. Once recruited or hired, serving the needs of these individuals adds another layer of responsibility. "Academic leadership brings challenges and even heartaches, particularly in an era of political controversy, public doubts, technological changes, demographic shifts, mission drift (Kezar, Chambers, Burkhardt, & Associates, 2005), and financial crisis" (Bolman & Gallos, 2011, p. xii).

 Birnbaum (1992) describes a good academic leader as "one who has been able to balance these conflicting demands acceptably to these three critical constituents [boards, faculty, and administrations]" (p. 57). He continues,

> A president who has the approval of trustees, faculty, and administrative colleagues has satisfied the basic interests of superiors (trustees) and subordinates (other administrators), as well as the interest of those who are engaged in the productive activity of the institution and who are in many ways outside its formal hierarchical structure (the faculty). (Birnbaum, 1992, p. 59)

In their review of the research on academic leadership, Smith and Hughey (2006) identify the need for effective leadership in higher education: "It is imperative that leaders emerge who can successfully negotiate the turbulent times that lie ahead and can reinvent academia so that it retains its relevance in a world which desperately needs what higher education has to offer" (p. 162). They continue, "Enrollment fluctuations, rising costs and budgetary restraint, evolving delivery systems, increase litigation and a host of other concerns have also accentuated the need for effective leadership in higher education" (B. L. Smith & Hughey, 2006, p. 159). Smith and Hughey (2006) also highlight the insufficiency of preparation programs: "Leadership in the academic world is becoming much more complicated than it was, and few preparation programs exist to equip individuals to meet the emerging leadership challenges" (2006, p. 162).

Faculty. It is important to discuss the dynamics of the faculty because they not only constitute followers in higher education leadership, but also are potential leaders. Faculty are an integral facet of the higher education organization, representing highly-educated individuals who are specialists in their academic field (Nevarez & Keyes, 2007). Astin and Astin (2000) note that faculty member's strong "disciplinary allegiance" can lead to "institutional fragmentation and division" (p. 44). "Their

professional identity and sense of satisfaction from work are derived principally from their professional expertise and accomplishments" (Hill, 2006, p. 27). As Hill (2006) reports, faculty members value autonomy and operate in an environment with little supervision yet maintain a powerful voice in institutional decisions. "Leaders must balance the often-competing interests of these faculty against those of other constituents, including students, trustees, donors, government representatives, and community members" (Z. A. Smith & Wolverton, 2010, p. 61). In higher education, faculty are usually "articulate, enthusiastic, and intelligent people whose training, socialization, and disposition leads them to believe in the importance of what their institution does" (Birnbaum, 1992, p. 119). Birnbaum noted there are few rewards for faculty participation in institutional governance, and on some campuses, those accepting leadership positions are actually disadvantaged (Birnbaum, 1992).

Academic leaders are often caught between the conflicting interests of faculty members and administration (B. L. Smith & Hughey, 2006). At times administration can be viewed by faculty as an entity that works against what they (faculty) are trying to accomplish (Astin & Astin, 2000). There are fundamental issues of faculty mistrust of administrative authority (Astin & Astin, 2000; Bolman & Gallos, 2011). "The role conflicts involved in balancing creativity and autonomy with bureaucracy likely contribute to the reticence to assume academic leadership roles" (Hoppe, 2003, p. 3). Some faculty who move into leadership roles may find it difficult to make decisions because of loyalties to their faculty colleagues (Hoppe, 2003).

Many leaders in higher education are not trained in leadership nor have ever been trained to perform administrative activities (Smothers et al., 2011). They have climbed

the ranks from faculty member to committee head to department head to dean to provost to president (Hoppe, 2003; Nevarez & Keyes, 2007). This progression comes with increased responsibilities at each level. Historians, political scientists, chemists and engineers find themselves in unintended positions of leadership because they have the longest tenure in the department or because all other colleagues have "taken their turn" as department head (Hoppe, 2003; Nevarez & Keyes, 2007). "Tenure-track faculty whose scholarly work is in another discipline and who have moved to administrative positions find they have not been prepared for the range of responsibilities they face in higher education leadership" (Nevarez & Keyes, 2007, p. 84). An environment of reluctant leadership is fostered. "There are the many accidental leaders from whom an administrative career just seems to happen" (Bolman & Gallos, 2011, p. xi).

A challenge with academic leaders is their lack of administration training prior to serving in a leadership role. Bolman and Gallos (2011) report on a study that found that out of 2,000 academic leaders in the United States surveyed, only 3% had received any type of leadership training or preparation (p. 8). Higher education leaders often learn the decision making process or other administrative challenges as they are presented, "on-the-job training" (Nevarez & Keyes, 2007, p. 83). This can be "disconcerting and humbling for those (faculty) accustomed to consistent professional success and a claim within their disciplines or classrooms" (Bolman & Gallos, 2011, p. 191). "Experience, training, and developmental limitations leave too many leaders with a limited range of perspectives for making sense of their work" (Bolman & Gallos, 2011, p. 13).

Rise to leadership. The typical career path for college presidents and upper division leaders starts with a faculty position (Cejda, McKenney, & Burley, 2001; Cohen

& March, 1974; Hoppe, 2003; Nevarez & Keyes, 2007). In their work on career paths, Cohen and March (1974) identified the following five rungs to a career ladder for the presidency of a higher education institution: (a) faculty member, (b) unit chair, (c) dean, (d) provost or vice president for academic affairs, and (e) president. Most campus presidents have led faculties as the chief academic officer (provost) prior to becoming presidents. Not all career paths resemble this trajectory; however, it is the most common represented in the literature (Cejda et al., 2001; Cohen & March, 1974; Hoppe, 2003). Bolman and Gallos (2011) emphasize the alternative roads to careers in higher education administration such as leaders in student affairs, advancement, and business who apply their extensive training in these other fields to higher education administration (p. xi).

Birnbaum (1992) highlights the different ways to rise to leadership roles and contrasted the formal appointments with the informal roles.

> In higher education, selection of leaders by persons having the legal authority to do so (for example, the appointment of a trustee by a state governor), by direct constituent preference (for example, the election of a faculty Senate chair by the faculty), and by representative groups (for example, selection of a Dean by faculty search committee) are all ways in which, depending on circumstances, leadership may be legitimately conferred on those filling leadership roles. (Birnbaum, 1992, p. 17)

In contrast Birnbaum suggests "leaders may arise informally because of their personalities and skills" (p. 17).

Effective leadership in higher education. It is important to identify, encourage, and nurture potential leaders in higher education. According to Birnbaum (1992), encouraging others to lead is one of the ten research-based principles of effective academic leadership. In addition, Kouzes and Posner (2007) identify "modeling the way" as a principle of exemplary leadership. If a leader "models the way" he/she empowers

others. Fisher and Koch (1996) addressed the importance of inspiring administrative

staff and refer to the "professional obligation" of university leaders to serve as mentors.

They state,

> When you appoint a new administrator who reports to you, you assume a
> professional obligation to mentor that individual as appropriate and necessary.
> This learner/mentor relationship extends not only to providing instructive
> orientation and non-intrusive 'how to do it' discussions, but also to helping that
> individual advance professionally. (Fisher & Koch, 1996, p.111)

Many studies emphasize the importance of leaders encouraging professional development

(Birnbaum, 1992; Green & McDade, 1994; Hoppe, 2003; Kouzes & Posner, 2007; B. L.

Smith & Hughey, 2006; Z. A. Smith & Wolverton, 2010). Effective leaders encourage

and motivate their followers by providing challenges that constitute opportunities for

personal growth and development (Kouzes & Posner, 2007; B. L. Smith & Hughey,

2006)

Kouzes and Posner (2003) emphasize, "Learning takes time and conscious

attention." This study is focused on the conscious effort of developers to encourage

others to lead. As Hill (2006) indicates, individuals that are deliberate in identifying and

investing in the next generation of leadership will be able to achieve and sustain success

(, p. 28).

Bolman and Gallos (2011) identify the following four actions of successful

academic leaders:

1. Create campus arrangements and reporting relationships that offer clarity and
   facilitate work.
2. Create caring and productive campus environments that channel talent and
   encourage cooperation.
3. Respect differences, manage them productively, and respond ethically and
   responsibly to the needs of multiple constituencies.

4. Infuse every day efforts with energy and soul. (Bolman & Gallos, 2011, p. 11)

Most relevant to this study are actions 1-3; the creation of relationships and encouraging environment as well as responding to the needs of constituents.

In an effort to identify characteristics and behaviors of executive leadership in higher education, Smith and Wolverton (2010) conducted a study of former American Council of Education (ACE) fellows. A finding from their study was that effective leaders are unselfish and support the leadership of others (Z. A. Smith & Wolverton, 2010) which is aligned with previous research by Birnbaum (1992) and Bensimon and Neumann (1993). They also found that the leaders are lifelong learners who encouraged professional development and training of staff (Birnbaum, 1992; Green & McDade, 1994; Hoppe, 2003; Z. A. Smith & Wolverton, 2010).

A leader who is invested in serving the needs of others puts others and the organization before their own needs. Robert Greenleaf (1973) argued that the essence of leadership is service and that the chief responsibility of leaders is to serve the best interests of their constituents. He wrote, "The best test of leadership is: do those served grow as persons; do they, while being served, become healthier, wiser, freer, more autonomous, more likely themselves to become servants?" (Greenleaf, 1973, p. 7). Bolman and Gallos (2011) agree that academic leaders cannot go very far without bringing people along.

Importance of relationships. Relationships play a key role in the development of both leadership capabilities and competency development (Lombardozzi & Casey, 2008; Rock & Garavan, 2006). Kouzes and Posner (2003) postulate, "When leadership is a relationship founded on trust and confidence, people take risks, make changes, and keep

organizations and movements alive. Through that relationship, leaders turn their

constituents into leaders themselves" (p. 9).

Much of the literature focuses on the importance of trust in leadership (Bolman &

Gallos, 2011; Bryman, 2007; Elham, Abu Daud, Ismi Arif, Bahaman Bin Abu, &

Jamilah, 2011; Kouzes & Posner, 2007; McDaniel, 2002; Rock & Garavan, 2006).

"Research consistently shows no leadership quality more important to constituents than a

perception that leaders tell the truth and keep their promises" (Kouzes & Posner, 2007).

Leaders build relationships on trust and show genuine interest in individuals – not only as

components of the organization but also as actual people who have goals, potential, and

desires.

The relationships in effective leadership are centered on open communication

which contributes to credibility and trust. Strong communication skills are often

emphasized in the competencies of effective leaders, but specifically the importance of

listening skills (Birnbaum, 1992; Bryman, 2007; Elham et al., 2011; Kouzes & Posner,

2007). Good listeners are able to create the reciprocity of leadership and understanding

what constituents need. "Innovation comes more from listening than from telling"

(Kouzes & Posner, 2003, p.6). Enabling others to act and fostering collaboration can

help empower others to lead. "Strategies, tactics, skills, and techniques are empty

without an understanding of the fundamental human aspirations that connect leaders to

constituents" (Kouzes & Posner, 2003, p. 10). Leadership is not a zero-sum game, but a

process of reciprocal influence in which power increases as it is shared, as Birnbaum

emphasizes, "Good leaders beget more good leaders" (1992, p. 122). Birnbaum (1992)

reiterates that good administrators "come to their positions with useful competencies,

integrity, faith in their colleagues, and a firm belief that by listening carefully and working together they can all do well" (p. 196).

Through their analysis of leadership for over more than 20 years, Kouzes and Posner (2003) have identified the five practices of exemplary leadership. While all of the practices are important, "model the way" is the leadership practice most relevant to this study. "In order to gain commitment and achieve the highest standards, leaders must be models of the behavior they expect of others" (Kouzes & Posner, 2003, p. 4). Actions that communicate genuine care, interest, respect and appreciation have an impact on relationships (Bolman & Gallos, 2011). This practice of exemplary leaders emphasizes the importance of building mutual trust and working on genuine, productive working relationships.

A strategy of effective leaders in higher education is to invest in relationships with more powerful players in their institution, "pursuing goals of partnership, open communication, and credibility" (Bolman & Gallos, 2011, p. 187). "In the culture of the academy, where resources are scarce and relationships are vital for opening doors, the ability to understand, influence, and work closely with your boss and other senior players is one of the most important tasks in administrative work" (Bolman & Gallos, 2011, p. 178). According to Birnbaum (1992) the quality of leadership is reflected through mutual influence. "Leaders increase their effectiveness when their behavior is grounded both in the values of their followers and in transcendental principles such as the development of human potential" (Birnbaum, 1992, p. 195).

Creating a culture for development. As an organization of educators, the culture of learning is innate to higher education institutions. Leaders can help foster an

environment where people feel comfortable and strive to develop new skills. "Academic

institutions have an advantage over many other types of organizations in that the

members generally start out with a shared commitment to learning and personal

(professional) development" (Kouzes & Posner, 2003, p. 45). Bolman and Gallos (2011)

wrote

> Academic institutions are inhabited by people and are designed to foster human
> creativity and development, which means that all of the mysteries of the psyche,
> human groups, learning, personal professional growth, and human relationships
> are central to the everyday work of academic administrators. (p. 1)

"The work that we do – and the vital teaching, research, and outreach that it facilitates –

transforms wise, organizations, industries, communities, and nations. Colleges and

universities are in the business of creating the future every day" (Bolman & Gallos, 2011,

p. 221).

According to Hill (2006), "The most critical and difficult step in developing

leaders is to foster a culture conducive to learning to lead" (p. 28). Creating an open,

non-threatening climate where people can learn and develop, not being afraid to admit

that there are areas where they can learn, is essential (Kouzes & Posner, 2003; Nevarez &

Keyes, 2007).

> Campus leaders can sustain or help the development of multiple leadership by
> encouraging and rewarding participation in institutional processes, collecting and
> disseminating data of interest to constituencies, providing forms for constituencies
> to talk together, and promoting a campus climate of openness. (Birnbaum, 1992,
> p. 187)

Leadership Development

Section overview. The second major section reviews the literature on leadership

development in higher education. An overview of the literature highlights that leadership

development has positive effects but is under-investigated in higher education. The

literature emphasizes the lack of investment from higher education compared to development efforts in corporations. Formal leadership development programs in higher education are listed and graduate programs in higher education leadership and administration are also considered as formal means of preparation for higher education leaders. Finally, this section discusses informal efforts of leadership development represented in the literature such as mentoring, stretch assignments, coaching and role modeling. The informal efforts of developing leaders are especially important to the current study.

Overview of leadership development in higher education. Leadership development in higher education is still an under-investigated field of research and application (Avolio, Avey, & Quisenberry, 2010; Braun et al., 2009; Bryman, 2007; Castle & Schutz, 2002). "The development of effective leadership is crucial for performance and success not only in commercial organizations, but also in academia" (Braun et al., 2009, p. 203). Studies have shown the positive effects of leadership development on a variety of organizational variables such as followers' satisfaction, commitment, performance, and advancement (Avolio et al., 2010; Braun et al., 2009; Chibucos & Green, 1989; Conger, 2004; Day, 2001; Hill, 2006; Nevarez & Keyes, 2007; Riccio, 2010). "Organizations and individuals can directly influence the quality and the quantity of their leadership" (Conger, 2004, p. 136).

Identifying, nurturing, and supporting potential leaders are critical components in maintaining a pipeline for continuity for leaders in higher education administration. "Higher education administrators that prepare for the future will have an identification strategy and development plan that not only provides for the next generation of leaders

but also ensures that they have the experiences and skills necessary for success" (Hoppe, 2003, p. 10). As in any process, from the initial entry into the pipeline of academic leadership to the highest levels of vice president, provost, or even president, future leaders should be made fully aware of the responsibilities and accountability required to be an effective leader (Hoppe, 2003).

The success of an organization is connected to the adequacy of its leadership pipeline, especially talent identification and internal leadership development (Mateso, 2010). If an organization wants to maintain lasting improvement and organizational vitality, the practices of attracting, grooming internally, retaining talent, and growing leaders from within should be embedded in the strategies and actions of its leaders (Hill, 2006; Mateso, 2010).

Leadership development can be defined as "identifying new leaders, providing people with opportunities to grow and learn, to affirm their beliefs and values, to expand their understanding of issues and people, and to improve their management skills" (Green & McDade, 1994, p. 5). By emphasizing efforts for developing individuals, Day (2001) defines leader development as a "purposeful investment in human capital" that typically focuses on the "individual-based knowledge, skills, and abilities" of (future) leaders (p. 584). While individuals must create opportunities to develop themselves, institutional leaders must help them do so by effectively managing human resources, by establishing a climate that encourages participation and innovation, and by actively promoting leadership development. "If leadership development is to be more than a random and occasional activity, it must become an institutional commitment, supported at the highest

levels and embraced as part of a culture that espouses lifelong learning by its faculty, administrators, and staff" (Green & McDade, 1994, p. 6).

In addressing the future of leadership in higher education, Eckel and Hartley (2011) argue that leadership is unlikely to emerge in sufficient quantities without *intentional development*. They state, "careful attention and effective action can result in higher education better positioned for the future, with savvy and diverse leaders ready to face challenges and take advantages of opportunities" (Eckel & Hartley, 2011, p. 10).

Although there is a need for purposeful leadership development, higher education rarely develops the capacity of its leaders in an intentional way (Eckel & Hartley, 2011). "Colleges and universities, unlike many similarly sized corporations, do not view talent development as a strategic priority. Other sectors take a much more strategic and explicit approach to talent development" (Eckel & Hartley, 2011, p. 29). Eckel and Hartley maintain that many other types of organizations develop sophisticated human resource systems to track and develop talent, focusing on identifying the needed knowledge and experiences in an intentional way, ensuring that emerging leaders gain those qualities. "While the higher education and corporate context differ from each other in key ways such as traditions of internal hiring, the number of managers, the type of work, and organizational culture, higher education nevertheless might glean important lessons from high-performing corporations regarding talent development" (Eckel & Hartley, 2011, p. 29).

Higher education pays little attention to enhancing the ability of administrators and faculty to lead institutions; the priority is low and investment is modest (Green & McDade, 1994).

> American colleges and universities prepare a large portion of the leaders and major participants in the worlds of business, industry, government, and the learned professions but do little to prepare their own faculty members (and eventual administrators) for the world of higher education. (Greenberg, 2006)

"Institutions invest little in the development of these valuable human resources, and when times get tough, funds for faculty and administrative development are among the first casualties" (Green & McDade, 1994, p. 3). Avolio et al. (2010) reiterate, "Organizations are more willing to invest in leadership development when sufficient 'extra' funds are available . . . too often a downturn in the economy signals a delay or discontinuance of training and development" (p. 643). Resources are scarce, making it more imperative to investigate and understand what current approaches are working best in developing leaders in higher education.

Leadership development efforts are most effective when they are customized to serve individual needs of the emerging leader and when they occur in the natural work setting (Avolio, 2010; Conger, 2004; Lester, Hannah, Harms, Vogelgesang, & Avolio, 2011). Training has a greater impact on development if it is customized around the specific leadership needs of the audience receiving the training and if program content addresses the organization's real-life challenges using formats such as "action learning" (Conger, 2004, p. 137). Lester et al. (2011) reinforce the notion of personalized, focused training through mentoring by stating, "Because a mentor can connect to the individual needs, abilities and aspirations of the learner, a mentor has more positive impact on leader efficacy development than a more generalized ready-made leader training program" (p. 414). They refer to the applicable knowledge mentoring provides because the "actual work context is the focus" (Lester et al., 2011, p. 410). Specifically, Conger

(2004) emphasizes that jobs, bosses, hardships, and special projects are considered the most useful experiences for leadership development.

The significance of development occurring within the institution was exemplified in a recent study of women Chief Academic Officers (CAO) at Community Colleges (Cejda, 2006). In the study, participants identified professional development activities they perceived as being important to their career advancement. A number of professional development experiences internal to the institution were important to their advancement to the CAO position (Cejda, 2006).

> Serving on task forces, committees, and commissions, and accepting additional responsibilities are internal activities that provide the opportunity for the participant to gain administrative-like experience and demonstrate leadership skills and also may serve as a 'testing ground' for the institution to evaluate administrative candidates. (Cejda, 2006, p. 174)

Formal programs for leadership development. The development of leaders in higher education can occur internally or externally to the institution. The process of leader development can also be formal or informal. There are formalized programs that offer training and experience to those in leadership roles in higher education, such as the American Council on Education (ACE) Fellows Program, Educational Leadership Program (ELP), Harvard's Institute for Educational Management (IEM), Institutional Leadership Project (ILP), National Institute for Leadership Development, Summer Institute for Women in Higher Education Leadership (HERS) (Roberts, 1990). In addition, Nevarez and Keyes (2007) point to regional or national professional societies that offer seminars on education leadership such as "the Council for the Support of Education (CASE), the American Council on Education (ACE), the Hispanic Association of Colleges and Universities (HACU) and the National Association of Student Personnel

Administrators (NASPA), to name a few" (p. 84). Beyond these national and regional

formalized leadership development programs, some universities have internally

organized a "grow your own" leadership program (Luna, 2012). The literature reveals

that while existing formal leadership development programs are often provided for

leaders who are already in a leadership position, those programs are compacted into a

compressed timeframe as well as being offered to only a limited number of participants

(Riccio, 2010).

Another source of formal development is graduate education programs in higher

education leadership and administration (Nevarez & Keyes, 2007). Higher education

graduate programs aim to prepare students with the knowledge, skills, and competencies

for leadership in higher education institutions and policy institutes (Freeman Jr &

Kochan, 2012). In a study on academic pathways to leadership, Freeman and Kochan

(2012) reported on the emergence of higher education doctoral programs "specifically

focused on preparing individuals for executive leadership" (p. 95). However, Freeman

points out, "it is not generally known how they prepare leaders better for higher

education in comparison with their disciplinary counterparts" (Freeman Jr, 2012).

Educational leadership graduate programs have been under scrutiny the past

several years. In 2006, Levine completed a 4-year study that involved a national survey

and 28 site visits to investigate the education of school administrators. While the study

was focused primarily on the training of K-12 leaders, some educational leadership

graduate programs include the preparation for higher education leaders. Levine

recommends that educational training programs need revamping because of lack of

consistency in curriculum, low admission and graduation standards and weak research in

educational administration (Levine, 2006). Since the findings of the Levine study were reported, 2 higher education agencies have established standards according to Freeman and Kochan (2012).

> The Council for the Advancement of Standards in Higher Education (CAS) adopted a set of student affairs master's level preparation standards. In addition, in 2010, the Association for the Study of Higher Education's Council for the Advancement of Higher Education Programs adopted a set of guidelines for Higher Education Administration and Leadership Preparation Programs at the master's degree level. However, there are no guidelines or standards that address higher education leadership doctoral programs. (Freeman Jr & Kochan, 2012, p. 95)

Despite efforts of formalized leadership development and graduate education programs, Riccio (2010) points out that few training or development opportunities exist for *potential* leaders in higher education. This consequence has resulted in underprepared leaders at several levels in higher education organizations (Birnbaum, 1992; Bolman & Gallos, 2011; Harman, 2002; Kezar et al., 2006; Spendlove, 2007), even though several studies emphasize the positive effects of leadership development in higher education (Braun et al., 2009; Chibucos & Green, 1989; Conger, 2004; Davies & Davies, 2010; Day, 2001; Hill, 2006; Murphy & Riggio, 2003; Riccio, 2010; Wallin, 2002; Wolverton et al., 2005).

Informal efforts of leadership development. In contrast, informal leadership development efforts can exist over longer periods of time compared to formalized programs, are focused on individuals' needs, and are accessible to emerging leaders without having to leave the institution. The process of leadership development can occur informally through daily activities or casual conversations (deJanasz et al., 2003; Harvard Business Essentials, 2004). Day-to-day interactions that fortify skills and expand knowledge are important to development (Harvard Business Essentials, 2004). "Informal

conversations with other seasoned professionals, may assist in making decisions about work/family balance, midlife renewal, career changes, updating skills, and retirement options" (deJanasz et al., 2003, p. 83). Informal efforts of leadership development represented in the literature that will be relevant to this study include mentoring, coaching, stretch assignments, role modeling, networking and sponsoring.

Earlier in this chapter the importance of relationships in higher education leadership was discussed. That point is particularly valid for informal leadership development. Avolio and Gardner (2005) describe authentic leadership development as "ongoing processes whereby leaders and followers gain self-awareness and establish open, transparent, trusting and genuine relationships" (p. 322). The relationship is essential because it allows learners to feel more encouraged and safe to explore their leadership which increases their development compared to someone who is not in a developmental relationship (Lester et al., 2011)

Part of informal leadership development involves capitalizing on opportunities that occur on the job, which Avolio (2010) refers to as "natural learning events" (p. 205). According to Avolio, "more and more leadership development evidence suggests that using natural events at work to trigger and sustain development is a core element of authentic leadership development" (Avolio, 2010, p. 205). According to Hoppe (2003), preparing academic leaders requires providing experiences that both test and develop their leadership skills. "Putting aspiring administrators in positions where they must demonstrate their willingness to make decisions is a good testing ground" (Hoppe, 2003, p. 8). These opportunities help individuals learn about building and leading teams, teach them how to be more strategic in their thinking, and help them to develop influence and

communications skills. Emerging leaders must have practical experiences that develop

their skills and prepare them for future positions (Eckel & Hartley, 2011).

Mentoring is an important avenue for informal professional development

(deJanasz et al., 2003; Green & McDade, 1994; Lester et al., 2011; Nevarez & Keyes,

2007). According to Nevarez and Keyes (2007), "Mentorship plays a strong role in skill

development for leaders" (p. 88). Mentoring is the offering of advice, information or

guidance by a person with useful experience, skills, or expertise for another individual's

personal and professional development (Harvard Business Essentials, 2004). Braun et al.

(2009) strongly recommend leadership educators share their present practical experience

and empirically based knowledge with each other in order to facilitate leadership

development in higher education. A mentor opens doors to learning opportunities and

"exposes the learner to new things: skills, work experiences, people and positions"

(Harvard Business Essentials, 2004, p. 86). "Mentoring is often touted as being

responsible for developing new business leaders, retaining employees, putting high-

potential individuals in the fast career track, promoting diversity, and improving

leadership and managerial skills" (deJanasz et al., 2003, p. 92).

Consistent with the importance of mentoring for informal leadership

development, many managers credit key professional achievements to the guidance of a

mentor (deJanasz et al., 2003). "Past research supports such anecdotal evidence,

reporting the traditional one-on-one mentoring has been an integral component of learner

advancement, compensation, and satisfaction within traditional organizations" (p. 78).

deJanasz et al. (2003) emphasize that in addition to these career related benefits, "learners

receive support that enhances their sense of personal identity, role clarity, and

interpersonal competence" (p. 78). According to Lester et al. (2011), a critical

component in leadership development is leader efficacy, which can be effectively

developed in mentoring relationships. In her study of leadership preparation strategies in

higher education, Luna (2012) found that every administrator who participated in her

study explained some type of mentoring as a leadership development opportunity and

each participant "perceived mentoring as essential for high-potential employees (those

individuals who would eventually advance to the next leadership level)."

There are several practical skills and advantages a learner receives through a

positive developmental relationship (deJanasz et al., 2003; Green & McDade, 1994;

Lester et al., 2011; Lombardozzi & Casey, 2008). Through the relationship there is an

acquisition of task-specific skills and job relevant knowledge (Kirchmeyer, 2005). A

learner develops a sense of confidence and competence when the developer serves as a

sponsor or advocate, "showing the learner the ropes and explaining the system" of the

organization (Green & McDade, 1994, p. 216). The learner gains strategies for practice

and is shown how to navigate organizational structures by the developer (Lofton, 2012;

Lombardozzi & Casey, 2008). Not only does the learner understand the system better,

he/she receives beneficial career counseling (Green & McDade, 1994). deJanasz et al.

(2003) note that learners learn, understand and internalize the organization's culture when

a developer sets the example and "provides counseling, encouragement, and emotional

support to facilitate the building of networks" (p. 82). Learners improve and learn from

their mistakes as they receive feedback when developers who act as coaches, point out

mistakes and suggest improvements (Green & McDade, 1994). deJanasz et al. (2003)

describe how the self-efficacy and abilities of learners are enhanced by developers who provide protection, stretch assignments, and visibility.

An important subset of informal leadership development is coaching. Coaching is an interactive process through which developers aim to develop learner capabilities through collaboration and feedback (Harvard Business Essentials, 2004). Coaching is generally accomplished through observation, discussion, active coaching, and follow-up (Harvard Business Essentials, 2004). According to Kram (1988), relevant positive and negative feedback is given by the developer to improve the learner's performance and potential. Coaching can help learners to develop their strengths and new skills by imparting knowledge and preparing learners to take on larger roles which increase the likelihood of advancement (Harvard Business Essentials, 2004).

Developers who coach, raise the bar by gradually offering training to build skills that help learners advance (Kouzes & Posner, 2003). "Any skill, like leadership, can be strengthened, honed, and enhanced, given the motivation and desire, through practice and feedback" (p. 97), and with good coaching. "If you have someone in your life who believes in you, and who constantly reinforces that belief through their interaction with you, you are strongly influenced by that support" (Kouzes & Posner, 2003, p. 82). Bolman and Gallos (2011) add, "Like good coaches, they (developers) worked to identify the skills and capabilities that others bring and enable them to develop and use those capacities to the best of their ability" (p. 100).

In addition to coaching, another function of informal leadership development is brokering stretch assignments. The informal development of potential leaders occurs on campuses where the administration has created a learning environment which engages

future leaders in stretch goals or assignments outside the realm of their ordinary

assignments that can shed light on the leadership process (Hill, 2006; Kouzes & Posner,

2003). These learning experiences give people work somewhat beyond their current

capabilities and responsibilities.

> Assignments that offer some autonomy so that an individual has the opportunity
> to decide what to do (set an agenda) and how to do it (mobilize a network of
> people to get it done) are important preparation for his or her first leadership
> position. (Hill, 2006, p. 28)

Leaders can also learn through critical incidents that usually occur at a time of stress or

challenge (Kouzes & Posner, 2003). Kezar and Lester (2011) describe how during

stretch assignments or challenges such as critical incidents individuals show personal

commitment beyond their normal duties and show passion to help create a change.

Another aspect of informal leadership development that is beneficial is when the

developer serves as a role model (Lester et al., 2011). A learner sees the role model as

their own "possible self," believing that they too can develop toward and achieve similar

performance (Lester et al., 2011). Lester et al. (2011) explain that "the learner

cognitively models and learns aspects of successful leadership performance" when

developers act as role models, "walking learners through prior or future leadership

actions" (p. 414). As a role model, the developer strives to encourage the learner "to

move into unfamiliar territory and models skills and behaviors that have worked" for the

developer (Lombardozzi & Casey, 2008, p. 347).

The opportunity of networking that can be afforded to learners helps contribute to

the development of the emerging leader. The learner gains access to information and

resources through networking (Rock & Garavan, 2006). The value of networking

accomplished through developmental relationships has been noted by Rock and Garavan

(2006), who identified the importance of the developer in their ability to offer visibility and potential access to networks for the learner. "Achieving access to other social networks through developmental relationships and augmenting one's developmental network will likely lead to greater chances of increased visibility and career opportunities" (Rock & Garavan, 2006, p. 338).

The final informal leadership development tactic covered in this literature review that can be accomplished through developmental relationships is sponsoring. The developer sponsors the learner by "acting on his or her behalf, and creating opportunities for challenging roles and new responsibilities" (Rock & Garavan, 2006, p. 343). Rock and Garavan (2006) describe sponsoring as a "direct, proactive intervention toward increased visibility or protection by the mentor" (p. 340). Sponsoring involves exposure within the organization and the profession (Lofton, 2012) and refers to the opportunities that are created for the learner to demonstrate competence and learning, such as nominating the learner for lateral moves and/or promotions (Kram, 1988; Kram & Isabella, 1985).

Emphasizing the need for intentional action, Eckel and Hartley (2011) write, "Individuals need to be actively encouraged in their own setting and given opportunities to demonstrate their leadership acumen" (p. 29). "The most powerful factor influencing many leaders' trajectories is personal encouragement by respected mentors to pursue greater, more senior-level positions" (Eckel & Hartley, 2011, p. 27). "Without the wisdom gained from experience, individuals may have passion but be unable to realize their aspirations" (Eckel & Hartley, 2011, p. 28). Nevarez and Keyes (2007) state, "leaders need nurturing and reinforcement to instill the confidence to continue to grow.

Personal and professional growth are part of the reason individuals are motivated to move into the demanding role of higher education leadership" (p. 83). "For faculty and administrators to grow professionally and improve their contributions to the institution they must have multiple forms of development, including coaching, on-the-job development, and support for supervisors and the organizational structure"(Green & McDade, 1994, p. 228). The majority of informal leadership development efforts described in this section focused on developmental relationships and the different functions such as mentoring, coaching, stretch assignments, role modeling, networking and sponsoring.

Developmental Relationships

Section overview. The third and final section of this literature review focuses on developmental relationships. This section will first provide a definition of developmental relationships and then different roles of individuals involved in the relationship as identified in the literature are outlined. Next the two prominent types of support articulated in the literature, psychosocial and career support, are explained, as well as the developmental relationship functions that have been identified through previous research. The benefits of developmental relationships are then discussed followed by a comparison of traditional dyadic relationships versus emerging literature on relationship constellations or networks of multiple developers. Previous studies on developmental relationships that provide typologies and classifications are summarized. Finally, the literature regarding learning through developmental relationships is reviewed.

Overview of developmental relationships. Supportive developmental relationships make major contributions to organizational and individual success (Allen et

al., 2008; Chandler et al., 2010; Fowler & O'Gorman, 2005; Kram, 1988; Lombardozzi &

Casey, 2008; Rock & Garavan, 2006). A developmental relationship occurs when one

person takes an interest in and initiates actions to advance the career development of

another (M. C. Higgins & Kram, 2001; Kram, 1988; Kram & Isabella, 1985). The person

who takes the interest can be called a leader, mentor, expert, developer, sponsor, role

model, or adviser and is usually advanced in experience and knowledge in higher

education administration. The other person can be considered an emerging leader,

learner, protégé, or advisee; it is important for the success of the relationship that this

person perceives the interaction as useful and valuable (Eddy et al., 2006; Rock &

Garavan, 2006). Each individual identifies with the other and the relationship is usually

facilitated by interpersonal comfort levels (Turban et al., 2002). There is also a perception

of competence between both individuals (Turban et al., 2002). Rock and Garavan (2006)

noted, "The relationship will be based on strong mutual trust with the developer having a

significant amount of experience to offer the learner" (p. 348).

> In justifying the use of the terms developmental relationship Kram explains,
>
> It became apparent that the word *mentor* had a variety of connotations, and that
> from a research point of view it would be best not to use it. This decision allowed
> the more general concept of developmental relationships to become the focus of
> the inquiry. (Kram, 1988, p. 4)

For the purpose of this study, the person who takes an interest in another is referred to as

the developer and the person who is the benefactor of the developmental relationship is

called the learner.

As in most successful relationships, a developmental relationship is a two-way

street and there are actions that are driven by each individual. The developer often can

contribute by role modeling, acceptance and confirmation, encouraging, empowering,

critiquing, teaching, training, advising, coaching, and supporting; providing stretch assignments, networking, and opportunities of exposure and visibility; storytelling, showcasing, and protecting (Lombardozzi & Casey, 2008). The developer's actions are focused on the learner's needs in a traditional dyadic mentoring relationship (M. C. Higgins & Kram, 2001). Relevant past achievements and the developer's own experiences are shared to help educate the learner (Rock & Garavan, 2006). The developer empathizes with the learner and serves as a contact within the social system. The developer reinforces the ability, reputation and organizational fit of the learner (Kirchmeyer, 2005). The role of the developer is "to help clarify and enhance decision-making by offering wisdom, advice, and communicating stories about highly relevant past achievements and experiences" (Rock & Garavan, 2006, p. 348). The developer provides clarity and develops confidence in the learner to forge ahead and take a leadership position (Rock & Garavan, 2006).

On the other hand, in order for the developmental relationship to be successful, the learner must contribute a desire to learn, trust, communicate, observe, and ask questions (Lombardozzi & Casey, 2008). An important implication of previous research is that learners actively shape their relationship with developers and must take the initiative to create their own development opportunities (deJanasz et al., 2003; Harvard Business Essentials, 2004; Hezlett & Gibson, 2005). An openness to learning, a commitment to building practical skills, and an ongoing quest for learning opportunities must be exemplified by the learner (Lombardozzi & Casey, 2008). There is heightened personal learning, job satisfaction, and advancement when the learner engages fully in the relationship (Chandler et al., 2010).

Types of support and developmental relationship functions. In her work on mentoring, Kram (1988) proposed two types of support that explain how relationships aid development; career support and psychosocial support. The two types of support are recognized in more recent research on developmental relationships (Allen et al., 2008; Chandler et al., 2010; Downing et al., 2005). Career support helps the learner gain understanding about the organization and helps prepare them for advancement. Types of career support include sponsoring, exposure and visibility, coaching, protecting, and providing learning opportunities through challenging work assignments (Eddy et al., 2006; Kirchmeyer, 2005; Kram, 1988). On the other hand, psychosocial support raises the learner's sense of competence, clarity of identity, and professional effectiveness (Eddy et al., 2006; Kirchmeyer, 2005; Kram, 1988; Lofton, 2012; Thomas, 1990). Types of psychosocial support include role modeling, acceptance and confirmation, counseling, and friendship (Eddy et al., 2006; Kram, 1988).

For career support, a learner may seek guidance from a developer regarding "which assignments to take to reach a certain level within the organization, the best way to progress along a specific career path, or the key people to network with to advance his or her career" (Eddy et al., 2006, p. 65). Eddy et al. provide the following examples of psychosocial support: "Coping with stress or job pressure, balancing work and family demands, preparing for or adjusting to a new geographical location, coping with a difficult boss or colleague, or simply providing encouragement or friendship" (Eddy et al., 2006, p. 65).

Both career support and psychosocial support play a critical role in the development of the learner. Kirchmeyer (2005) effectively describes how the different

types of support can work together. "Career support, such as sponsoring the protégé [learner] to take on added responsibility and providing challenging assignments, and psychosocial support of acceptance and confirmation that encourages risk taking and experimentation, are important to performing" (p. 641). In further explaining how the two types of support work together Kirchmeyer states, "Career support, such as exposure and visibility allow the protégé [learner] to learn about the organization, meet contacts, and build a power base, and psychosocial support involving role modeling and counseling help him or her learn appropriate social behavior" (Kirchmeyer, 2005, p. 642).

In recognizing that developmental relationships vary in emotional intensity, Kram (1988) proposed that psychosocial functions were best performed by relationships characterized by intimacy and a strong interpersonal bond. In contrast, Kirchmeyer (2005) argued that task-specific skills and access to job-relevant knowledge may be acquired adequately without the developer and learner being emotionally close.

Existing literature on development relationships in industry supports nine functions first identified by Kram (1988). The nine functions are: sponsoring, exposure and visibility, coaching, protecting, providing learning opportunities through challenging work, role modeling, acceptance and confirmation, counseling, and friendship (Eddy et al., 2006; Kram, 1988). Each function by themselves or in combination with others can have an impact on an individual's advancement into leadership positions (Lombardozzi & Casey, 2008). In their research (summarized on pp. 34-36), Lombardozzi and Casey (2008) noted, "Teaching (including directing and goal-setting), collaborating (including problem-solving and helping on assignments), and networking [could be added] as additional functions not found in earlier studies" (p. 299).

Benefits of developmental relationships. Organizations use developmental relationships to improve individual and organizational effectiveness (Fowler & O'Gorman, 2005; Kram, 1988). Learners can experience heightened personal learning and job satisfaction, increased promotions, and higher compensation. Developers can experience greater visibility within an organization and broader support for their initiatives by engaging in developmental relationships. Organizations can benefit from enhanced organizational commitment and lower turnover (Chandler et al., 2010, p. 48). "Ongoing development plays an important role in ensuring strong leadership talent" (Rock & Garavan, 2006, p. 330).

A meta-analysis of existing empirical research on the career benefits associated with mentoring examined career outcomes for learners (Allen, Eby, Poteet, Lentz, & Lima, 2004). The researchers compared mentored versus non-mentored groups. The results of 43 mentoring studies found mentoring to be associated with objective and subjective measures of career success (Allen et al., 2004), including enhanced abilities, acquisition of task-specific skills, job relevant knowledge, as well as access to resources. All of these benefits can lead to greater productivity, promotions and raises (Kirchmeyer, 2005).

Specific to my study, Rock and Garavan (2006) highlight the benefit for leaders impacted by developmental relationships. They focus on five dimensions of developmental relationships and propose a typology from their review of the emerging literature. Rock and Garavan propose four types of developmental relationships: organizational navigator, sponsor of development, grandparent, and friend. They state, "Developmental relationships have the potential to guide leaders into situations that call

for persistence, tolerance, and interpersonal objectivity" (Rock & Garavan, 2006, p. 337).

The developmental relationship may be valuable in providing clarity and developing

confidence to forge ahead to pursue a leadership position.

Dyads verses constellations and developmental networks. Many studies on

developmental relationships discuss the impact of exposure to various viewpoints and

experiences, therefore suggesting the need for multiple developers throughout a career

depending on developmental needs at the time (Chandler et al., 2010; M. C. Higgins &

Kram, 2001; Kirchmeyer, 2005; Lofton, 2012; Rock & Garavan, 2006). Kram's (1988)

original research proposed that individuals receive support through mentoring and rely

upon not just one but multiple individuals for developmental support in their careers— a

phenomenon she calls "relationship constellations." In this concept, development

assistance from many people at any one point in time, including senior colleagues, peers,

family, and community members, is important to development. "The developmental

network consists of those relationships the participant names at a particular point in time

as being important to his or her career development; they are simultaneously held

relationships, as opposed to a sequence of developmental relationships" (Higgins &

Kram, 2001, p. 268).

Higgins and Kram (2001) compared the traditional mentoring relationship with

the developmental network perspective. Traditionally, mentoring relationships are

organizational, hierarchical and composed of single dyadic relationships while

developmental networks contain multilevel and multiple dyadic relationships (p. 268).

The functions served by traditional mentoring relationships focused on organization and

job related functions whereas the functions of developmental networks were more person

related, focused on careers of the individuals involved which included mutuality and

reciprocity (M. C. Higgins & Kram, 2001). The final distinction emphasized by Higgins

and Kram was that traditional mentoring is provided in sequence of relationships

throughout one's career and the developmental network perspective highlighted

mentoring that occurs simultaneously by multiple relationships (p. 268).

Types of developmental interactions (typologies and classifications for

research). D'Abate et al. (2003) studied the different forms of interactions between the

developer and learner in a developmental relationship and developed a model to

summarize the current understanding of developmental interaction constructs. They

identified 13 types of developmental interactions: action learning, apprenticeship,

coaching, distance mentoring, executive coaching, formal/structured mentoring, group

mentoring, informal/unstructured mentoring, multiple mentor/developers, peer coaching,

peer mentoring, traditional/classic mentoring, and tutoring (p. 362). They generated a list

of 23 common descriptive characteristics that experts used in reference to developmental

interaction and created a taxonomy with 6 categories. The categories are (D'Abate et al.,

2003, p. 362):

1. participant demographics,
2. interaction characteristics,
3. organizational distance/direction,
4. purpose of interaction,
5. degree of structure, and
6. behaviors exhibited.

In order to investigate developmental relationships in higher education, this study

used the list of common descriptive characteristics identified in the "behaviors exhibited"

category of the taxonomy established by D'Abate et al. (2003). The list is a

comprehensive and well-defined inventory of developmental interactions or exchanges

between two people with the goal of personal or professional development, derived from the review of 182 sources from developmental relationship literature (D'Abate et al., 2003). The developer may exhibit learning-related, emotional support-related, or career progression-related behaviors in the course of an interaction (D'Abate et al., 2003)

The study of developmental relationships can involve analysis of multiple factors that contribute to the impact of interactions between two people. Rock and Garavan (2006) identified five dimensions within which developmental relationships can be conceptualized. Those dimensions are relationship type, network effect, object of learning, time span of outcomes, and developer style (p. 340). Higgins and Kram (2001) grouped these factors into three overarching categories; environment factors, individual factors and moderating factors. Work environment factors such as workforce composition, technology availability, e-mail use, industry, and task; individual factors such as personality, demographics, perceived need for development, and past experiences with development; and moderating factors such as interaction style, position or power of the person giving development, orientation toward development, and emotional competence can impact development (M. C. Higgins & Kram, 2001).

Eddy et al. (2006) used learner perceptions of interaction value as the conceptualization of effectiveness in their study in order to identify key characteristics of effective and ineffective developmental interactions. "An interaction is deemed effective when the advisee [learner] perceives that it was useful, valuable, and satisfied a need" (Eddy et al., 2006, p. 62). They used three factors suggested by prior theory and research that may contribute to the effectiveness of developmental interactions: personal, relationship, and communication factors (Eddy et al., 2006). The researchers identified

four personal factors—demographics, developer style, developer focus, developer expertise—that contribute to effectiveness of the interaction. According to Eddy et al. (2006), the relationship factors were – initiation of relationship, choice of participation, frequency and duration, time known, and source of relationship. Finally, the communication factors included location and primary mode (Eddy et al., 2006, p. 63). "The study confirmed the importance of the perceived expertise of the adviser [developer], the value of multiple interactions, and the benefit of focusing on the advisee's [learner's] rather than the adviser's [developer's] needs" (Eddy et al., 2006, p. 74).

According to Chandler et al. (2010), some individuals are more relationally savvy, meaning they are more adept than others to establish and cultivate developmental relationships that may be showcased in such environments. The study introduced a concept called relational savvy, which is defined as the participant's adeptness at initiating and cultivating developmental relationships. "Organizations should implement practices that enhance employees' relational savvy – their adeptness with developmental relationships – so that employees are empowered to build their own developmental networks" (Chandler et al., 2010, p. 48). In analyzing the behavior of "savvys" the research team identified that savvys want expert counsel, create opportunities to have development episodes – both inside and outside an organization from diverse sources – by asking for advice, feedback, information, or support (Chandler et al., 2010). In describing savvy learners, Chandler et al. (2010) highlighted people who are well prepared for any interaction that could lead to developmental support, and exhibit competence and commitment to their developers. "Savvys recognize that it is important

to follow up with the people who help them, to let people know how their advice has been helpful, to keep them abreast of what has happened as a result of their advice, or to just be in touch" (Chandler et al., 2010, p.50). Finally, in their research Chandler et al. (2010) found that people with relational savvy possess social skills that help them interact with people in a meaningful way, such as listening actively to others, showing empathy, and being enjoyable to interact with.

   Learning through developmental relationships. According to Higgins and Kram (2001) those with stronger developmental relationships will have more personal learning. This is primarily due to the psychosocial functions that interactions such as role modeling, counseling and friendship have on the learner (Kram, 1988). The Lombardozzi and Casey (2008) report discussed a model for learning through relationships based on the research that analyzed the impact of developmental relationships on the learning for new graduates entering the workforce. Several recommendations are presented in the Lombardozzi and Casey (2008) report for practice. Most relevant for the current study is the need for managers to understand the benefits of informal relationships. The report discusses the importance of the learner taking responsibility in knowing, acknowledging, and seeking opportunities for their own development.

   Their study viewed the relationship from the learner's perspective and identified relational learning methods used to develop practice competencies for new hires. "Most developmental relationship theory is formulated from the perspective of the developer and may leave out important learning activities that are driven by the learners" (Lombardozzi & Casey, 2008, p. 311). The study uncovered new ways that developers

support learners in building skills and knowledge through the learner's eyes (Lofton, 2012). Lombardozzi and Casey state, "The process of learning through relationships for these participants consisted of an iterative interplay between learner-directed activities, developer-directed activities, and learner action and cognitive processing" (2008, p. 306).

According to Lombardozzi and Casey (2008), developer-directed teaching activities included teaching, formal training, advising, critiquing, networking and encouraging (p. 303). Learner-directed activities in interaction with others included observing, asking questions, discussing, accessing and using resources, and making notes (p. 304). In aligning the findings of their study with functions of developmental relationships found in current research models, Lombardozzi and Casey confirmed seven of the nine functions as learning methods for the new hires (p. 308). Career advice and brokering assignments were not cited as learning methods by the learners (recent graduates) in the study. The researchers pointed out that previous theories referenced giving feedback, but in their study, "critiquing" was more descriptive of what the participants experienced. They also differentiated the role of counseling by developers in their study as more specific than general counsel around considerations (p. 309).

In summarizing the impact of developmental relationships and the process of learning for the new graduates, Lombardozzi and Casey emphasized, "A critically important aspect of the catalyst for learning was the learners' openness to it – their commitment to building practice skill and their ongoing quests for learning opportunities" (2008, p. 311). Learners play an important role in seeking out the knowledge and skills they need and initiate learning. They also reiterated that learning organizations support integrated thinking and continuous improvement, knowledge

dissemination and sharing, adaptability, participation, strategic learning, enabling

structures, and a culture of learning. "The learning culture component focuses on a

culture of questioning, feedback, support, and structures of learning" (Lombardozzi &

Casey, 2008, p. 339). They encourage organizations to recognize the importance of

informal learning activities in development. Lombardozzi and Casey recommend

"exposure to the many facets of practice (for observation), open interaction among peers

(for questioning, observing, and discussing), and access to resources (especially

appropriate electronic resources)" (p. 313).

Table 2

Summary of Literature on Developmental Relationships

Study/Research	Type of Sample	Key Idea (Concept) or Variables (Empirical)	Findings & Contribution
Kram & Isabella (1985)	Biographical interviews with 25 relationship pairs	Mentoring alternatives; role of peers in career development	Identifies types of peer relations, functions provided, and shows the unique manner they support psychosocial and career development.
Kram (1988)	Managers at utility company	Career Functions/ 4 phases of mentoring	Clarified nature of relationships that enhance career dev. Defines essential characteristics of developmental relationships.
Higgins & Kram (2001)	Conceptual	Typology of developmental networks	Propose a framework illustrating factors that shape developmental network structures and propositions focusing on the developmental consequences for different types of networks.

Study/Research	Type of Sample	Key Idea (Concept) or Variables (Empirical)	Findings & Contribution
Turban, Dougherty, & Lee (2002)	Doctoral student-faculty adviser dyad	Gender, race and perceived similarity in developmental relationships	Duration of the relationship moderated the effects of gender similarity and perceived similarity on mentoring received.
D'Abate, Eddy, & Tannebaum (2003)	182 Sources reviewed from developmental interaction literature	Need for construct clarification (provides schema to explore the commonalities of descriptions)	23 characteristics into 6 categories Model of developmental interaction constructs
Chandler & Kram (2005)	Conceptual	Key idea: Protégés' developmental stage predicts network type.	Applied an adult development perspective to networks; posited that adult development stage predicts individuals' network type.
Downing, Crosby, & Blake-Beard (2005)	Women science majors	3 types of guides – mentor, sponsor, role model	Mentors most influential Importance of male guides
Fowler & O'Gorman (2005)	6 organizations, mentors/mentee male & female	Developed instrument for assessing mentoring	39 items/Rate extent of Functions 8 distinct functions of mentoring
Kirchmeyer (2005)	Quantitative and qualitative; study of 143 academics early career to midcareer. This research study identified both work and non-work developers.	Key variables: Mentors, other developers, outside developers (professional colleagues in other organizations), promotions, salary, performance, emotionally close developers	In early career, mentors and other developers were both positively associated with promotion and salary. In midcareer, the presence of outside developers was associated with performance, which was then associated with promotion. In addition, having an emotionally close developer was positively associated with salary.

Study/Research	Type of Sample	Key Idea (Concept) or Variables (Empirical)	Findings & Contribution
Rock & Garavan (2006)	Conceptual uses the Briscoe & Hall (2005) Protean Career Attitudes Scales to understand the nature of the relationship of career attitude with develop relationships of protégés	Key idea: Reconceptualize and propose four developmental relationship types. organizational navigation, sponsor of development, Grandparent, Friend	Proposed four developmental relationship types and identified implications of their typology for research and practice.
Eddy, D'Abate, & Tannebaum (2006)	81 working age adults, various industries	Informal learning at work. Beyond mentoring- effective/ ineffective developmental interactions	Several personal and relational factors influence developmental interaction effectiveness.
Higgins (2007)	Conceptual study provides developmental seeking behaviors of protégés.	Key idea: Perceived needs for development, organizational and industry context, network type	Used a needs-based approach to developmental networks. Individuals' appropriate network type was contingent on their developmental needs.
Higgins, Chandler, & Kram (2007)	Conceptual	Key ideas: Developmental initiation as mediator between individual differences and developmental relationships	Suggested that developmental initiation (i.e., information seeking, help seeking, feedback seeking) is "likely to lead to situations in which developmental relationships begin."
Lombardozzi & Casey (2008)	New grads entering workforce	Process of learning practice skill	Learning through relationships/developer directed v. learner directed. Model for process of learning through relationships.
Chandler, Hall, & Kram (2010)	Conceptual	Key idea: Relative relational savvy predicts size and diversity of network.	Relationally savvy protégés tend to have large, fairly diverse networks. Understand the relationship of the protégé's self-directed management.

Table 2 incorporates information from research to illustrate some of the developmental relationship research that has been conducted since Kram (1988). Adapted from Lofton (2012).

Chapter Summary

This chapter began with an overview of the search strategies utilized to find literature and previous studies regarding higher education leadership, leadership development and developmental relationships relevant to this study. The review of literature was organized into three major sections; higher education leadership, leadership development in higher education and developmental relationships.

The higher education leadership section highlighted some challenges faced by academic leaders and emphasized the need for better-prepared leaders in higher education. The importance of encouraging others, modeling the way, and showing genuine interest in the needs of others was affirmed by the literature on effective leadership in higher education. Previous studies supported that relationships built on trust and strong communication are vital and a culture for development, capitalizing on the already existing environment of learning afforded by academic institutions were crucial in higher education leadership.

In the next section in this chapter, the literature on leadership development in higher education was reviewed; highlighting that leadership development had positive effects but was under-investigated in higher education. The lack of investment from higher education compared to development efforts in corporations was highlighted in the literature. Formal leadership development programs in higher education and informal efforts of leadership development represented in the literature were discussed.

The final section of this literature review focused on developmental relationships. Literature explaining the two types of support, psychosocial and career, was reviewed, as well as the functions of developmental relationships that have been identified through

previous research. The benefits of developmental relationships and emerging literature on networks of multiple developers were highlighted. Previous studies on developmental relationships that provided typologies and classifications were summarized, in addition to the literature regarding learning through developmental relationships. As the conceptual framework, the literature discussing developmental relationships was paramount to this study and therefore previous research has been summarized in Table 2.

The literature review reinforced the need for an investigation of how developmental relationships helped promote and prepare leaders in higher education. Specifically, there is a void in existing research on developmental relationships addressing the education sector. Also, previous literature highlighted the need for cultivating leadership in higher education, therefore adding to the importance of this study.

Chapter 3

Methodology

This study examined the role developmental relationships, and the functions therein, played in career advancement into leadership positions for Chief Academic Officers (CAOs) in higher education. This study was guided by the following grand tour question: How did the participants in this study describe a developmental relationship in a higher education setting and, further, how did the participants describe the role of the developmental relationship in their career advancement?

Research questions this study aimed to answer were:

1. How did the participants in this study describe experiences in a developmental relationship in a higher education setting?

2. How did the participants in this study describe the role that a developmental relationship played in advancing their careers in higher education institutions?

This chapter details the research design used in the study as well as the specific steps involved in participant selection, data collection, and analysis procedures. The chapter also identifies the procedures utilized in verification, the role of the researcher in conducting the study and ethical considerations.

Research Design Overview

This study incorporated a qualitative research design. According to Merriam (2002), "qualitative research attempts to understand and make sense of phenomena from the participant's perspective." Maxwell (2005) outlines a central goal of qualitative research: to understand "the meaning, for participants in the study, of the events, situations, experiences, and actions they are involved with or engage in" (p. 22). As a researcher, I was interested in how participants made sense of developmental

relationships in higher education and how these relationships have helped prepare them to be academic leaders. I sought to understand developmental relationships in higher education leadership through the perspectives of Chief Academic Officers (CAOs).

To answer the study's research questions, I used a qualitative approach. The qualitative approach allowed for representation of participants' views regarding their experiences in leadership preparation through developmental relationships and how they learned to lead by a developer in higher education leadership. A qualitative study was warranted because there has been a limited amount of research related to the impact of developmental relationships in higher education leadership (Creswell, 2014). A qualitative approach enabled a better understanding of the developmental relationships and tactics used in developing leaders.

Creswell (1994) defines a qualitative study as "an inquiry process of understanding a social or human problem, based on building a complex, holistic picture, formed with words, reporting detailed views of informants, and conducted in a natural setting" (pp. 1-2). The following excerpt highlights Creswell's (2007) expanded description of qualitative research:

> Qualitative research begins with assumptions, a worldview, the possible use of a theoretical lens, and the study of research problems inquiring into the meaning individuals or groups ascribe to a social or human problem. To study this problem, qualitative researchers use an emerging qualitative approach to inquiry, the collection of data in a natural setting sensitive to the people and places under study, and data analysis that is inductive and establishes patterns or themes. The final written report or presentation includes the voices of participants, the reflexivity of the researcher, and a complex description and interpretation of the problem, and it extends the literature or signals a call for action. (p. 37)

An alternative articulation of the rationale behind the use of qualitative methods can be found in the work of Merriam on case study research in education. The following list includes six assumptions Merriam (1988) identifies:

1. Qualitative researchers are concerned primarily with process, rather than outcomes or products.
2. Qualitative researchers are interested in meaning – how people make sense of their lives, experiences, and their structures of the world.
3. The qualitative researcher is the primary instrument for data collection and analysis. Data are mediated through this human instrument, rather than through inventories, questionnaires, or machines.
4. Qualitative research involves fieldwork. The researcher physically goes to the people, setting, site, or institution to observe or record behaviors in its natural setting.
5. Qualitative research is descriptive in that the researcher is interested in process, meaning, and understanding gained through words or pictures.
6. The process of qualitative research is inductive in that the researcher builds abstractions, concepts, hypotheses, and theories from details. (pp. 19-20)

The way a researcher approaches the purpose of the study, the research questions, and the methods for collecting and analyzing data contributes to the effectiveness and success of the research study. Creswell (Creswell, 1994, 2007) provides a list of reasons a researcher may choose to use qualitative research methodology over quantitative methods, including when the researcher's intent is one or more of the following:

- Explore a problem
- Study a group or population
- Identify variables that can be measured
- Gain a *complex*, detailed understanding of the issue
- Hear silenced voices
- Empower individuals to share their stories
- Minimize power relationships between the researcher and the participants
- Understand the contexts or settings in which participants address a problem or issue
- Develop theories
- Amend theories

A qualitative approach was appropriate for this study because I was interested in how academic leaders experienced developmental relationships in higher education. Because I was interested in experiences, it was important to hear respondents' narratives in their own voices and to learn from them what factors were important in their advancement into a leadership position. Ultimately, the goal was to define the concept of developmental relationships in higher education in order to facilitate the promotion and preparation of leaders.

Bogdan and Biklen (1998) stated that to effectively address a problem, all possibilities involved must be investigated. Since the factors of developmental relationships in higher education are unclear and may be unknown, a qualitative research design was utilized to understand the phenomenon of developmental relationships in higher education leadership. Through qualitative design, I was able to obtain information from each individual's perspective concerning his or her experience with developers and how developmental relationships contributed to him or her becoming a Chief Academic Officer.

Modified analytic induction approach. The specific qualitative methodology used in this study was modified analytic induction. According to Bogden and Biklen (1998), analytic induction is employed when some specific problem, question, or issue becomes the focus of the research. This method is an approach often used in collecting and analyzing information to understand a phenomenon that can be continually tested as new data are collected. This procedure is used extensively in open-ended interviewing to cover all possible phenomena pertaining to a specific subject. The method of sampling in an analytic induction approach is purposeful sampling and the rationale for choosing

particular cases or subjects is that they are believed to facilitate the expansion of the

phenomenon (Bogdan & Biklen, 1998). In this case, the phenomenon was developmental

relationships in higher education leadership.

I used the following four steps of modified analytic induction summarized by

Robinson (1951, p. 813):

1. Early in the research you develop a rough definition and explanation of the particular phenomenon.
2. You hold the definition and explanation up to the data as they are collected.
3. You modify the definition and/or explanation as you encounter new cases that do not fit the definition and explanation formulated.
4. You redefine the phenomenon and reformulate the explanation until a universal relationship is established.

Following the outline by Robinson (1951), I began with a rough definition of

developmental relationships and related functions based on existing literature. A strength

of analytic induction is that it allows for the discovery of new themes not expected by or

accounted for in the original framework (Gilgun, 2005). I came into this study with an

identified process for career advancement through developmental relationships that arose

out of research on business enterprises. This study applied that concept to higher

education career advancement to examine how developmental relationships helped

promote and prepare leaders in higher education and to identify emergent functions

specific to this population.

In a modified analytic induction approach, research questions can be adjusted to

allow the researcher the opportunity to modify the protocol to better explore the situation.

This allows the researcher the flexibility of modifying the process at any stage of the

study to better define the phenomenon under consideration (Bogdan & Biklen, 1998;

Gilgun, 2005). As new cases were presented and analysis became more encompassing,

the phenomenon of developmental relationships in higher education leadership became more refined (Bogdan & Biklen, 1998). Because Bogdan and Biklen recognize that the traditional approach to analytic induction is not practical for most researchers to complete in the time they have, their modified approach allows for the possibility that researchers will instead choose to limit their study by "tightly defining" the population the phenomenon is encompassing (Bogdan & Biklen, 2007).

The process of modified analytic induction was used in this study since it aligns with the purpose of the study and the data collection process used. Following guidelines of modified analytic induction discussed by Bogdan and Biklen (1998), I began with the concept of developmental relationships for career advancement which has been supported through research in businesses and industry. Modifications were made as themes and functions arose out of data coding and analysis.

The Role of the Researcher

My prior research studies involving higher education leadership include a narrative study about a university president; a mixed methods study investigating cultural impressions of ethical leadership at a Tribal College; and an assessment report on Developing Excellence in Academic Leadership, a home-grown leadership development program. I served as a higher education administrator for 15 years. The majority of my experience was in the position of Assistant Dean of the College of Engineering at a mid-size land grant, public institution. I earned a Masters of Education in Adult and Higher Education with an emphasis on Higher Education Leadership. My thesis investigated alumni engagement in the institution, comparing alumni who were members of Greek organizations to alumni who were non-members. I have taught two courses in a Higher

Education Administration graduate program; "Organization and Administration" and "College Students." I am passionate about higher education and about leadership. I have benefited from mentoring in the higher education environment and personally have been positively impacted by developmental relationships. I believe in empowering others, pride myself in my coaching style of leadership, and have a desire to help better prepare leaders in higher education. I am fascinated that university faculty, most likely experts in fields other than leadership or higher education, become administrators and serve the institution in a broader way.

Participants

I used the following purposeful sampling procedure to identify participants. Subjects were chosen who could expand the parameters of developmental relationships in an attempt to broaden the scope and better define developmental relationships in higher education leadership. The population that received the questionnaire was the Chief Academic Officers (CAO) Constituent Group of the Association of American Universities (AAU). The AAU is an organization consisting of 62 public and private research universities (60 in the United States and 2 in Canada) which focuses on issues such as funding, policy and graduate and undergraduate education (https//www.aau.edu, 2013).

As with many qualitative studies, the sample size was rather small (Bogdan & Biklen, 2007) due to the in-depth analysis required for data collection. This particular group was chosen as the sample for two reasons. First, AAU represents both public and private institutions. Collecting data from academic leaders at both public and private institutions enriched this study and allowed the findings to apply to a broad group of

higher education leaders. Second, the sample focused on CAOs. The position of Chief

Academic Officer is crucial to this study because a faculty's progression to a leadership

position beyond a department head or dean often indicates a desire to serve beyond their

academic discipline, more centrally as a higher education administrator (Carroll, 1991;

Filan & Seagren, 2003; Freeman Jr & Kochan, 2012; Hoppe, 2003; Luna, 2012; Nevarez

& Keyes, 2007; Wolverton et al., 2005).

Sampling Method

It is important to consider how decisions were made in regards to recruiting and

selecting participants. Creswell (1994) makes it clear that "the idea of qualitative

research is to purposefully select informants . . . that will best answer the research

question" (p. 148). This study engaged willing participants from a cohort of AAU Chief

Academic Officers. The individuals asked to fill out the basic questionnaire were

purposefully selected: administrators who are chief academic officers that could assist the

researcher in addressing the research questions (Creswell, 2009). The purpose of the

study was described to each administrator and they were asked to complete a confidential

electronic questionnaire. The electronic questionnaire asked about basic demographics

(e.g., gender, race/ethnicity) and academic leadership experiences (e.g., years in current

position, previous positions) as well as asking participants if someone has positively

influenced him or her to get involved in academic leadership (e.g., existence of

developers, extensiveness of developmental relationship functions).

Potential interview respondents were identified from this questionnaire

population. As stated above, purposeful sampling is used in analytic induction

methodology and the rationale for choosing particular cases or subjects is because they

are believed to facilitate the expansion of the phenomenon (Bogdan & Biklen, 1998). Accordingly, interview participants were selected based on two criteria: first, they have experienced at least one behavior out of the developmental relationship functions delineated on the questionnaire. Second, in order to be considered for inclusion in this study, participants had to affirm that their experience with the developmental relationship function(s) was beneficial to their career advancement. In the instance that a large proportion of questionnaire respondents experience one or more functions and categorize the experience as beneficial, I narrowed the sample by a maximum variation sampling approach that sought to reflect the diversity of the sample by gender, years in position, private and public universities, and geographically dispersed institutions.

One assumption might have been that individuals who experience the greatest number of developmental functions will have been impacted to the greatest extent by the relationship. In contrast, my research perspective was that more functions do not necessarily imply greater impact: experience with even one function can deeply impact respondents' career advancement. We can learn a great deal about informal processes of leadership development by studying academic leaders whose career advancement benefited from a meaningful developmental relationship, no matter the number of different functions they encountered. Because this project aimed to study the role developmental relationships play in career advancement for higher education leaders, the sample selection focused on participants who have experienced a developmental relationship and believe it to have been beneficial to their advancement.

Sample

A total of 21 interviews were conducted. In-person interviews were conducted with 19 CAOs at their respective campuses in their offices. Two interview participants were not available during the campus visits due to sudden changes in their schedules; therefore, those 2 individuals were interviewed over the phone. I was still able to meet staff members and tour the offices and experience the campuses of these 2 participants, as I had done with the others.

There were 4 women and 17 men interviewed. Seven private institutions were represented and 14 of the CAOs were from public institutions. Two CAOs were in the position as interim and 2 of the interview participants had been selected as a CAO at different institutions, changing jobs within a month of the interviews. Nine participants have been serving in this position for 3-5 years, 7 for 1-2 years, and 3 participants have been the CAO for more than 6 years. The majority (11) of the interview participants had served as a Dean just prior to the Provost position while 5 were Vice Provosts, 2 were Director of institutes, as well as 1 Professor, 1 Division chair, and one President. Twelve of the participants have been promoted from within the same institution. Nine Chief Academic Officers came to their current institution to serve in that capacity and only one came from a leadership position at a non-AAU institution just prior to her/his current position.

Data Collection Procedures

For the purpose of this study, I developed a questionnaire and an interview protocol drawing from the literature and previous studies. A review of the current literature revealed no existing instruments to investigate developmental relationships in

higher education leadership. The instruments were piloted to former CAOs or higher education administrators at an equivalent leadership level (e.g., Vice President). I involved five pilot participants who were administered the proposed questionnaire and interviewed in order to provide constructive feedback about the format and the questions. This ensured each question was understandable and that the information provided by respondents was relevant to the research questions.

Each of the pilot participants reinforced that the topic of the study was worthwhile and important to investigate. They believed it was good to stay away from the term "mentor," and emphasized that there is definitely more than one developer who influenced them throughout their career advancement, so I needed to account for this in the questionnaire. For example, all five of the individuals struggled with the wording of the question regarding behaviors exhibited by developers because in all of their cases they had multiple developers who each had exhibited different behaviors to different extents in the relationships. Therefore, when rating the extent to which behaviors were represented in their developmental relationships, the pilot participants recommended I rephrase the question to instruct respondents to reflect on the most impactful developer so respondents didn't provide an "average" of the behaviors exhibited by more than one developer.

Another change in the questionnaire that was implemented because of input by the pilot study participants was the question which asked respondents to rank the impact of the behaviors. Four of the five pilot participants found the original wording of this question confusing, so clarification was needed to instruct respondents that only three

boxes total would be checked. All five of the pilot participants noted the questionnaire length was not too long, easy to complete, and questions were straight-forward.

In regards to the interview protocol, the pilot participants recommended keeping the questions simple; they felt it was more complex than it needed to be. Because of this feedback, I eliminated the original questions that broke down each function of developmental relationships and instead asked a general question about what happened in the relationships. This modification encouraged participants to tell stories rather than mechanically respond to a preconceived notion that was presented and it allowed for more authentic answers. There was some concern expressed about whether AAU CAOs would participate in the study, however the pilot participants believed that endorsement from AAU was essential and also suggested that CAOs might be more likely to engage in the study if participants were allowed to see the results of the study. Therefore, I offered to share results of the study and mentioned that the results would be presented to the Chief Academic Officer Constituent Group at the annual meeting (per conversation with the coordinator of this group).

Merriam (2002) notes that qualitative researchers can ensure consistency and dependability by using peer examination as well as an audit trail. An audit trail "describes in detail how data were collected, how categories derived, and how decisions were made throughout the inquiry" (Merriam, 2002, p. 27). Beginning with the pilot study, I kept a research journal to record memos as I engaged in the data collection process and reported reflections, modifications and decisions as I encountered them.

Prior to beginning the data collection process, I submitted the required documents to University of Nebraska Lincoln's Institutional Review Board (IRB) for approval to

conduct research with human subjects (see Appendix A for IRB approval and materials). The participants of this study entered the research process voluntarily, with knowledge of the nature of the study and its relevance to them. Participants that consented to an interview were provided with a written promise of confidentiality and informed that a participant number was used to protect their identities.

Once approval was granted, the basic questionnaire was electronically disseminated, with the aid of the AAU, to all members of the CAO Constituent Group in order to gather basic demographic information such as gender, race/ethnicity, current institution, years in current position, previous position and institution prior to current position. The basic questionnaire also asked participants about their experience such as the factors that contributed to their taking a leadership role in higher education, whether they had someone who helped in career advancement in higher education administration and to what extent the specific developmental relationship functions were utilized in their advancement (see Appendix B for the on-line questionnaire).

After assembling data collected from the questionnaires, participants selected for the sample group using the procedure described earlier in this chapter were contacted to schedule an interview. Before each interview, participants were contacted via their administrative assistants electronically to confirm the scheduled dates and times. A consent form was provided to participants to gain their permission in advance of the interview. Follow-up electronic communication was conducted when necessary to gather further clarification of responses.

Once permission was obtained from the participants, qualitative semi-structured interviews were conducted. Through the interviews, data were gathered about what

happened in the CAOs' developmental relationship experiences, and to what extent the individual functions impacted their career advancement. Lastly, open-ended questions allowed the participants to discuss additional strategies or actions absent from the framework for developmental relationships in existing literature. The interviews took place in person at their respective campus locations. Interviews were audio recorded and I took notes during the interviews. This allowed me to transcribe the interview verbatim as well as complete post interview reflections to monitor the status of collected data. One hour was requested for the interviewing of each CAO. The number of interviews conducted depended on the number of potential subjects. My intent was to interview 20 participants, however, the number of interviews was determined by the redundancy of the data, thus meeting the goal of the research project (Bogdan & Biklen, 1998).

After the interviews were transcribed, electronic communication was conducted to allow subjects to review their responses and verify their accuracy. Field notes were compiled during and after the interview. These notes allowed me to document what I visually and acoustically observed while collecting and reflecting on the gathered data (Bogdan & Biklen, 2007). This process also allowed me to note what I experienced and noted during the data collection process.

Appendix C shows the interview protocol. At the conclusion of the interview, I offered to answer any questions. I then informed participants that I would be sending them the transcript of our interview electronically so they could check the accuracy and provide feedback. To maintain consistency within the data collection process, I conducted all of the interviews.

Data Analysis Procedures

Data analysis and data collection occurred iteratively. Using interview transcripts as well as reflective memos and field notes generated during data collection, I immersed myself in the data and analyzed the variety of developmental relationship functions and common themes that emerged from the experiences described by the CAOs. There were several efforts of sorting, coding, categorizing, and comparing during the analysis process. Data were collected and analyzed to compare the findings to those from previous studies on developmental relationships. As new functions and explanations of developmental relationships emerged in the data, I modified the definition, or functions. Through the data collection and analysis, I considered whether the current definition of developmental relationships in literature on career advancement in business organizations was relevant to higher education organizations. Chapter 5 discusses the newly identified functions of developmental relationships in higher education leadership suggested as additions to the existing framework by the findings of this study.

In accordance with the modified analytic induction method (Bogdan & Biklen, 1998; Gilgun, 2005; Robinson, 1951), interview data were analyzed inductively to identify the recurring patterns and common themes that cut across the interview transcripts. Once each of the interviews had been transcribed I read through the narratives several times to get a sense of the data and identified common experiences. I conducted a thorough review of the data, identifying developmental relationship functions and phrases that were common throughout each of the interviews, using the qualitative software manager ATLAS.ti. I examined the data for key themes. The process of coding included assigning categories, concepts or "codes" to segments of information

(Bogdan & Biklen, 1998). In addition to codes that emerged from the data analysis, the nine existing functions of developmental relationships presented in previous literature served as initial codes. Developmental relationship functions and phrases associated with those functions were identified and codes were assigned to segments of information and quotes (Bogdan & Biklen, 1998). The qualitative analysis from the interviews involved open coding into categories present in the literature on developmental relationship functions as well as along themes from the interview guide. Specific coding categories that related to or explained developmental relationship functions were classified and prioritized. During a second pass, codes associated with each research question were assigned. Those codes helped categorize the quotes and develop themes related to each research question. The language of the participants and descriptions of their experiences guided the development of final code and category labels. Creswell (2009) stated, "The traditional approach in the social sciences is to allow the codes to emerge during the data analysis" (p. 186). The process outlined above follows Creswell's (2007) steps in the qualitative analysis which include: (a) preliminary exploration of the data by reading through the transcripts and writing memos; (b) coding the data by categorizing the text; (c) using codes to develop themes by aggregating similar codes together; and (d) connecting and interrelating themes.

The research analyzed the impact of developmental relationships on fostering higher education leadership. The intent of the data collection and analysis was to build upon the literature review and to determine which behaviors or practices resulted in successful outcomes of leadership development in higher education. The first few interviews provided the base data for the development of a beginning working hypotheses

on developmental relationships. Each subsequent interview was coded, analyzed and compared to the original framework presented in previous literature. Two codes; collaboration and problem solving, emerged from the data during the second stage coding. In reading through the query data during the second stage coding, corrections and recoding were executed. The process was iterative and cyclical rather than linear (Friese, 2012, p. p.108). A final read through of all the data was conducted while keeping in mind the research questions and assigning appropriate codes to quotes that supported the answers to those questions. When continued interviewing failed to reveal new functions of developmental relationships in higher education leadership, the interviewing process was concluded with the developmental relationship model as perceived by the research participants (Bogdan & Biklen, 1998). As described in the description of validation procedures, two peer debriefers conducted a review of the transcripts, and the coding. Both peer debriefers concurred with the coding and the themes that emerged in the data analysis at each stage of the analysis (see coding guide in Appendix D).

The interviews were accompanied by field notes regarding the respondents' body language, expressions, and appearance to add depth and richness to the data (Merriam, 2002). During my research, I documented and reflected on my experience. I wrote a post card from each campus at the end of every interview to capture my thoughts at the time. This informal journaling included reflective and descriptive information about the participants, their offices and the campuses as research settings. At each research site I took pictures of the campus. When possible, I would take pictures of the offices of the participants. I would take pictures that I believed captured insight to the campus culture

or the emphasis on leadership. These photographs have served as reference points and helped refresh my memory during the data analysis.

During the interviews I was observant in the offices of the CAOs, paying special attention to the leadership cues such as books, or awards, or quotations about leadership present in their offices. I noted if there were photographs or other personal items on display. These observations helped me get a feel for their individual styles and interests. Field notes were reviewed during the transcription and coding processes. The text of the transcripts was reviewed and analyzed independently prior to being compared to the additional compiled transcripts in an effort to note trends and data while a descriptive model using modified analytic induction was developed. As data were collected from participants, the phenomenon of this study was modified to contain a typology of functions in developmental relationships in higher education leadership. This phenomenon was modified during the process of analysis (Bogdan & Biklen, 2007).

A good qualitative paper as described by Bogdan and Biklen is "well documented with description taken from the data to illustrate and substantiate the assertions made" (1998, p. 196). In reporting the findings, data representation in Chapter 4 occurs through tables as well as narrative summaries intertwining quotations from participants (Bogdan & Biklen, 1998). The data were organized by the research questions and the conceptual framework of developmental relationships and the functions therein. Chapter 4 includes a sample of significant statements related to each theme providing a rich, descriptive account of the findings (Merriam, 2002, pp. 6-7). The findings from the participants were combined to create a representative concept of developmental relationships in higher education based on the individuals in this study.

Validation Procedures

Creswell (2009) provides eight validation strategies that are frequently used by qualitative researchers, including:

- prolonged engagement and persistent observation in the field;
- triangulation;
- peer review or debriefing;
- negative case analysis;
- clarifying researcher bias from the outset of the study;
- member checking;
- providing rich, thick description to allow readers to make decisions regarding transferability; and
- external audits.

Creswell (2014) encourages qualitative researchers to use multiple validation strategies in any given study. In addition to piloting, peer review was used in the development of the survey instrument and interview protocol as well as throughout the entire study process. I also clarified researcher bias from the outset of the study, provided rich, thick descriptions, and utilized member checking to verify my results. I triangulated the results by looking at the research data multiple ways, comparing the interview data with observations and field notes, as well as the results provided by the questionnaire. This triangulation allowed me to get a better sense of the data.

Clarifying researcher bias was accomplished as I include my own experiences and assumptions that might influence this study and my interpretations in the Role of the Researcher section (Chapter 3) and the Assumptions section (Chapter 1). In a qualitative study, a goal is to provide rich, thick descriptions of what was experienced and how it was experienced contextually, utilizing direct quotes from the participants. As a result, I include thick, rich descriptions in Chapter 4, as well as other sections focused on the

setting and participants. This attention to detail allows readers to determine in what ways

the study, and my conclusions are applicable in their own settings.

Another validation technique was the use of member checking while collecting

and analyzing the data. After transcription, I emailed the participants to ensure my

representation of their thoughts was accurate or if there was anything they would like

edited, added, or omitted. The main concerns surfacing during the member checking

regarded third party information discussed in the interviews and a concern about how

confidentiality would be upheld in the presentation of the data. I reassured the

participants who expressed concern that they were reviewing the transcripts, the raw data

collected in the interview, but in the final report format any identifiers would be

eliminated. Sending just the quotes or excerpts I planned to incorporate in the final report

would have been more efficient than sending the entire transcript. Through the analysis

process I cleaned the data so any identifier was removed from the quotes.

As a final validation of this study, two peer debriefers reviewed the transcripts

and concurred with the coding and the themes that emerged in the data analysis at each

stage of the analysis. The peer reviewers were qualified individuals for this study; one a

Sociology professor and practiced qualitative researcher, the other earned a doctorate

degree in Higher Education Leadership and has conducted qualitative research involving

interviews. Each conducted a review which included cross-checking of interview

questions and themes, including coding a random sample of transcript data.

Ethical Considerations

A number of steps were taken to ensure the research was conducted ethically.

First of all, IRB approval was sought through the University of Nebraska. Additionally,

each participant signed an informed consent form, after having an opportunity to go over the purpose of the study, and having the opportunity to ask any questions or express any concerns before signing. The consent form covered the purpose and the requirements of the study, while also making it clear that participation was voluntary. Additionally, steps were taken to maintain confidentiality and protect the identity of the participants. In order to accomplish this, participants were assigned numbers used for transcription and in the reporting of results.

As a qualitative researcher, I wanted to convey detailed, accurate accounts of what happened in the developmental relationships experienced by the academic leaders who participated in this study. However, protecting the identity of participants was not only important because it was specified in IRB protocol but also because several participants expressed concern about maintaining their confidentiality prior to the interview as well as during the member checking process as they reviewed the transcripts from their interview. Confidentiality was pledged in order to ensure participants could talk about their experiences openly, without fear of disclosure of sensitive information regarding them or third-party individuals involved in the developmental relationships with the academic leaders.

Because there are only 62 institutions affiliated with the AAU and there is only one Chief Academic Officer at each of the institutions, the demographic characteristics and specific career histories of individuals might make them identifiable in the report of the findings. Providing specific information to these individuals, such as their gender, academic discipline, previous position or how long they have been in their position might lead to deductive disclosure (Sieber, 1992) and expose their identities. Since the purpose

of this research was not intended to identify differences by gender, academic discipline, or previous position the risk of a confidentiality breach was greater than the benefit of presenting specific demographic information of each participant. Baez (2002) refers to the goal of complete confidentiality for every research participant as the "convention of confidentiality," which is upheld as a means to protect the privacy of all persons, to build trust and rapport with study participants, and to maintain ethical standards and the integrity of the research process (Baez, 2002). In this study, the convention of confidentiality proved to be important in building trust and rapport with the participants and maintaining the integrity of the research process.

Chapter Summary

The use of qualitative research methods, specifically the modified analytic induction model, was crucial for the development and implementation of this research project. It allowed me to thoroughly explore the concept of developmental relationships in higher education leadership as perceived by the interviewees from personal experiences. While the previously researched developmental relationship functions comprise a framework for research, allowing participants to describe the structure and functions of their relationships in their own words can confirm, and potentially update and expand, the functions of developmental relationships most effective in the advancement of higher education leaders. As new cases were encountered, the phenomenon of developmental relationships in higher education leadership was modified. The best method to explore the phenomenon of developmental relationships from an individual perspective was through the use of qualitative methods and procedures.

Chapter 4

Report of Findings

This study aimed to identify the most effective functions of developmental relationships in promoting higher education leadership with Chief Academic Officers (CAO) at institutions belonging to the Association of American Universities (AAU). The purpose of this modified analytic induction qualitative study was to investigate how developmental relationships helped promote and prepare leaders in higher education. Specifically, this study examined the role developmental relationships, and the functions therein, played in career advancement into leadership positions for chief academic officers. The study used an on-line questionnaire to identify participants willing to be interviewed, gather demographic information, and assess respondents' experiences in developmental relationships. Through the interviews, data were gathered about what happened in the CAOs' leadership development and in their developmental relationship experiences. In addition to how the participants described their relationships with developers, I sought to understand how participants benefited from the relationships—to what extent the developmental relationship functions impacted their career advancement. Through data collection and analysis, I examined how developmental relationships helped promote and prepare these higher education leaders and identified emergent functions specific to this population.

The study was guided by the following primary research questions which shape this chapter:

1. How did the participants in this study describe experiences in developmental relationships in a higher education setting?

2. How did the participants in this study describe the role that developmental relationships played in advancing their careers in higher education institutions?

A qualitative research approach was appropriate for answering these questions because it allowed for the representation of participants' views regarding their experiences in leadership development and relationships in higher education. The interviews were important to capture participants' narratives about experiences that were significant in their advancement into academic leadership positions. A total of 40 individuals responded to the questionnaire and follow-up interviews were conducted with 21 individuals (33.9% of the total AAU CAO population) who volunteered for the interview portion of the study.

On-line Questionnaire

The on-line questionnaire was sent to 62 Chief Academic Officers at AAU institutions. The main purpose of the questionnaire was to identify individuals to participate in the face-to-face interviews. Aggregated data on demographic information gathered through the on-line questionnaire is displayed in Appendix E. Forty-one individuals opened the questionnaire, with 40 agreeing to participate in the study. There were 2 incomplete questionnaires that were excluded from the study. Therefore, 38 individuals (61.3% response rate) completed the questionnaire and 37 out of the 38 (97%) of the respondents indicated there was a person (or persons) in higher education who helped them develop as a leader in academia, fitting the criteria for experiencing a developmental relationship.

After identifying 37 respondents who had experienced a developmental relationship in higher education, I was interested to know what behaviors were exhibited by their developers in those relationships. Respondents used a Likert scale to describe to what extent (not at all-1, somewhat-2, moderately-3, great extent-4, and very great extent-5) each behavior was characteristic of their interactions with their most impactful developer. The list of 22 behaviors was derived from the review of 182 sources from developmental relationship literature (D'Abate et al., 2003) and served as an inventory of developmental interactions or exchanges between two people with the goal of personal or professional development.

Table 3 contains the list of the 22 behaviors and the results of how questionnaire respondents rated to what extent each behavior was characteristic of their interactions with their most impactful developer.

Table 4 contains the list of the MOST characteristic behaviors in ranked order of the average Likert scale rating. Participants identified the behavior of "demonstrated skills/setting an example" and "advocated for me" as most characteristic of their interactions with a developer.

Table 5 contains the list of the LEAST characteristic behaviors in ranked order of the average Likert scale rating. Participants identified the three behaviors exhibited the least in their developmental relationships with the most impactful developer were "provided instruction/teaching," "observed for development purposes," and "reduced anxiety/stress."

Every questionnaire respondent identified five behaviors as being exhibited at least to some extent in interactions with developers. Those behaviors were

"demonstrated skills/set an example," "shared practical experience," "collaboration,"

"provided direction," and "provided feedback."

Table 3

AAU CAOs' Ratings of Behaviors in Developmental Relationships

Likert scale	Not at all 1	Somewhat 2	Moderately 3	Great Extent 4	Very Great Extent 5
A. Worked with me in a collaborative manner.	0	3	7	15	9
B. Provided direction to me.	0	3	9	14	8
C. Helped me establish and track goals.	4	8	12	9	1
D. Helped me navigate assignment-related tasks and offered support.	3	9	11	9	2
E. Demonstrated skills, setting an example for me of appropriate behaviors in certain situations.	0	2	4	12	16
F. Observed me in a work setting for development purposes.	7	8	12	3	3
G. Worked with me to examine and resolve a particular problem (e.g., challenging my thinking and helping me consider varying perspectives).	1	7	9	15	2
H. Provided me the opportunity to learn by doing through stretch assignments or challenging work that extended my skills.	3	5	3	15	8
I. Provided feedback or constructive criticism.	0	6	11	12	5
J. Shared with me practical experience, technical knowledge and insights.	0	4	5	14	11

Likert scale	Not at all 1	Somewhat 2	Moderately 3	Great Extent 4	Very Great Extent 5
K. Provided instruction or teaching to build my expertise. skills or knowledge.	9	11	9	3	2
L. Provided positive reinforcement to me (e.g., indicating acceptance and confirmation).	3	1	6	14	10
M. Gave me emotional support.	1	8	9	9	7
N. Was a friend to me, in addition to our working relationship.	3	6	7	9	9
O. Reduced my anxiety or stress.	6	11	10	3	4
P. Enhanced my confidence and self-esteem.	1	5	6	16	6
Q. Provided counseling, advice or guidance to me.	1	6	7	14	6
R. Encouraged and motivated me.	1	3	6	16	8
S. Supported me personally.	1	7	7	11	8
T. Advocated for me.	1	1	4	17	11
U. Provided opportunities for me to network, increase visibility, and gain exposure to others.	1	4	11	7	11
V. Helped socialize or orient me to higher education leadership.	3	4	7	7	13

Table 4

Most Exhibited Behaviors of CAOs' Developmental Relationships

Behaviors Characteristics of Interactions with Developer	Average Rating
E. Demonstrated skills, setting an example for me of appropriate behaviors in certain situations.	4.24
T. Advocated for me.	4.06
J. Shared with me practical experience, technical knowledge and insights.	3.94
A. Worked with me in a collaborative manner.	3.88
R. Encouraged and motivated me.	3.79
L. Provided positive reinforcement (e.g., acceptance and confirmation).	3.79
B. Provided direction to me.	3.79

Table 5

Least Exhibited Behaviors of CAOs' Developmental Relationships

Behaviors Characteristics of Interactions with Developer	Average Rating
K. Provided instruction or teaching to build my expertise, skills or knowledge.	2.35
F. Observed me in a work setting for development purposes.	2.61
O. Reduced my anxiety or stress.	2.65
C. Helped establish and track goals.	2.85
D. Helped me navigate assignment-related tasks and offered support.	2.94

On the questionnaire the respondents were also asked to rank the *three most useful* behaviors characteristic of interactions with their developers. This is different than the most exhibited behaviors in Table 4 because it measures perceived effectiveness of the behavior in the relationship rather than the extent or frequency of the exhibited

behavior. Asking the most useful behaviors was a way to establish what respondents believed to be beneficial from the relationship in terms of the actions of their developers and behaviors associated with developmental relationships. "Demonstrated skills/setting an example" (role modeling) ranked as the most useful with "stretch assignments and the opportunity to learn by doing" the second most useful. Respondents ranked "advocated for me" and "provided opportunities for me to network, increase visibility, and gain exposure to others" (exposure and visibility) as the third most useful behaviors.

Five behaviors were not perceived to be as useful in developmental relationships among the participants of this study: "helped me navigate assignment-related tasks and offered support;" "reduced my anxiety and stress;" "provided direction for me;" "observed me in a work setting for development purposes;" and, "provided instruction or teaching to build my expertise, skills or knowledge."

In an open-ended question, respondents were asked to list any other actions or experiences through relationships with others in higher education that have aided in their leadership development. There were three behaviors suggested by the respondents to be added to the 22 behaviors presented on the questionnaire. The proposed behaviors that helped in their leadership development were:

- Negative examples of deans, vice provosts, vice presidents and presidents' management styles have been helpful in knowing what to avoid.
- Provided the ability to disagree, at times intensely, without fear of reprisal. This promoted better idea sharing and problem solving strategies.
- Frequent interaction with senior administration and other faculty (faculty senate).

At the end of the questionnaire it was explained that the next phase of the study involved conducting interviews to gather more nuanced, in-depth information about

leadership development experiences and to understand how leadership is fostered through relationships in higher education. Respondents were asked to provide contact information if they were willing to participate with the understanding that providing information did not mean committing to an interview, it just gave permission to be contacted if selected to participate in an interview.

Interviews

Of the 37 individuals who had experienced a developmental relationship, 24 provided their contact information to be considered to participate in interview phase of the study. Three respondents who fulfilled the criteria of experiencing a developmental relationship and were willing to be interviewed were not included in the second phase of the study because there was difficulty scheduling face-to-face meetings due to travel schedules and timing of the interviews. Therefore, the sample for this study consisted of 21 individuals who completed the on-line questionnaire, experienced a developmental relationship and participated in an interview.

Most interviews lasted around 45 minutes in length. Two interviews were interrupted by urgent needs of the president and a phone call. A third interview was completed outside during an evacuation after the fire alarm interrupted our discussion. In all of the cases of interruptions the interview promptly proceeded after the CAO dealt with the disruption.

The general tone of the interviews was casual and every participant had a welcoming demeanor, willing to share their experiences and stories. In every case, the face to face interviews were conducted in a sitting area or at a conference table in the CAOs' offices – none of the 19 in-person interview participants sat at their desk during

our exchange. The first question was designed as a narrative of their job experiences and leadership trajectory, which allowed the participant to become comfortable and discuss familiar experiences at the beginning of the interview.

All of the interview participants experienced at least one, and often several, developmental relationships with developers in higher education. At different stages in their leadership progression there were different people who influenced them. For example, as department chairs they were most often influenced by deans; as deans they were most often influenced by provosts. Most notably, however, relationships with peers or colleagues at every level were mentioned as important or beneficial throughout the interviews.

The next two sections of Chapter 4 report the findings of the study organized by the research questions. The themes that emerged associated with each question and quotes from participants that support the themes are presented.

Findings

Research question #1: How did the participants in this study describe experiences in developmental relationships in a higher education setting?

> *There are two kinds of people. The one kind, when they make it to the top they reach back on the ladder to help the next person up. The other kind pulls the ladder up behind them.* (P7)

The concept of developmental relationships served as the conceptual framework for this study. Developmental relationships occur when an influential individual helps in the career growth of a less experienced individual (Fowler & O'Gorman, 2005). Existing literature on developmental relationships in industry supports nine functions first identified by Kram (1988). The nine functions are explained in Table 1 in Chapter 1.

For the purpose of this study, the participants' descriptions of their experiences in developmental relationships in higher education were organized into categories defined by the functions of developmental relationships and are reported below.

Table 6 presents the psychosocial functions, the number of participants who referred to these functions to describe what happened in their development, and groundedness. Groundedness refers to how many times a code is used, how relevant it is in the data (Friese, 2012). The column labeled "groundedness" represents the number of links to quotations in the transcripts. Psychosocial functions of developmental relationships are "those aspects of the relationship that primarily enhance sense of competence, clarity of identity, and effectiveness in the managerial role" (Kram, 1983, p. 614).

Table 6

Psychosocial Functions of CAO Development Relationships

Psychosocial Function	# Participants	Groundedness
Acceptance and Confirmation	20	90
Role Modeling	21	89
Counseling	20	77
Friendship	12	28

Table 7 presents the career functions, the number of participants who referred to these functions to describe what happened in their development, and groundedness. Career functions of developmental relationships are "aspects of the relationship that primarily enhance career advancement" (Kram, 1983, p. 614).

Table 7

Career Functions of CAO Developmental Relationships

Career Function	# Participants	Groundedness
Sponsoring	20	82
Exposure and Visibility	14	53
Collaboration	16	45
Stretch Assignments	14	36
Coaching	13	30
Protection	14	26
Problem Solving	11	23

While collaboration and problem solving have been identified in previous studies as critical behaviors exhibited by developers, they were not identified as *functions of developmental relationships* in the past. Kram clarified that, "functions are the essential characteristics that differentiate developmental relationships from other work relationships" (1988, p. 22). Because those two actions were so prominent in this study, they emerged as functions relevant to this specific population representing higher education leaders. "Collaboration," which was a behavior most closely associated with the functions of "Sponsoring" and "Protecting," was split out as its own function. Similarly, "Problem Solving," which had been a behavior associated with the functions of "Protection" and "Counseling" in previous literature, was split out as well. Thus, there are seven career functions presented in Table 7 instead of the 5 functions that originally existed in previous literature.

The following subsections give examples of the functions of developmental relationships in higher education as described by the participants in this study. The quotes and descriptions provide data that aid in answering research question #1.

Acceptance and confirmation. Twenty participants noted positive reinforcement, encouragement, and empowerment to engage in a leadership position as they explained what happened in their developmental relationships. The confidence building and encouragement that came from people saying, "You'd be good at this" made a difference for several participants to take on leadership roles. Many spoke about the importance of support from peers at all levels but especially in graduate school or as a junior faculty member. Another source of support and affirmation was in the networks with colleagues in similar positions both at their institution and at other institutions. Supportive environments – such as being open, spending time with the individuals and allowing for freedom to try new things were also cited as important in their leadership development. Key terms used to identify this code included supporting, affirming, encouraging, confidence building, trust, and making time.

Emphasizing the importance of acceptance and confirmation from colleagues, one participant stated:

> I got positive reinforcement. People would come up and slap me on the back and tell me to keep up the good work. The thing that meant the most to me was having people occasionally come to me and say, I don't agree with what you did with x or I am not happy with how you handled y but I respect and admire what you do. (P7)

Another participant reflected on the impact of a developer who encouraged involvement in academic leadership:

> He has helped me by allowing me to learn by doing and learning by making mistakes - by getting involved with me and strategizing about various things . . .

asking my advice and giving me advice. He has really been the one who has pulled me into [academic leadership] and has helped me, given me opportunities and responsibilities along with the positive reinforcement. (P15)

Role modeling. All 21 participants stressed the significance of when a developer would demonstrate skills, set an example for appropriate behavior in certain situations or model how to act as an effective academic leader. This is congruent with the results of the on-line questionnaire where role modeling was identified as the behavior exhibited to the greatest extent by developers in interactions with the respondents. The function of role modeling was also ranked as the most useful behavior in higher education developmental relationships according to the questionnaire responses. Just over half of the interview participants made reference to bad examples or the modeling of how not to act or what not to do, which will be discussed later in Chapter 4.

One participant recounted the impression role models made early in his/her graduate education experience:

I was blessed with the opportunity to be in one of the very best graduate programs in my field and I had extraordinary professors who took very seriously their role as supervisors and as mentors to model for me what they did in their work as scholars and as teachers, as colleagues. (P7)

Another participant described the strategy of finding someone, a role model, to aspire to be like and lead like, and observe them:

How they deal with issues, how they portray themselves, how they project themselves and say who they are and how they lead and just watch them. You know, watch them, listen to them, how they deal with questions, how they deal with discussing difficult issues. (P10)

This participant attributed relationships and examples those relationships provide in terms of how to act, as integral to leadership development:

Any progress I have made as a leader or ways to be a more effective leader largely come from examples of people I respect that are proven academic leaders-

there are several people that I have been privileged to know. I watched some of them and the way that they led which I found particularly useful and try to incorporate that into my own leadership. (P24)

Counseling. Twenty participants made reference to guidance they received and advice a developer had provided at some point in their leadership progression in addition to "helping them" by giving counsel or listening. Consultation with peers and colleagues emerged repeatedly as participants discussed the importance of having a sounding board in many of their experiences. Key terms used in coding included aiding, helping, listening, advising, and sounding board.

One participant pointed out the greatest developers over the years have been dedicated staff members:

> I worked with smart people who didn't stand on authority and were really open to talking about what needs to be done next or what to pay attention to. It was a combination of me being receptive to being coached and listening to those held responsible for my performing well, in part, as well as their experience and expertise. I rely on them and trust in them. I feel like I am really blessed by having great staff. (P25)

In thinking about influential developers, a participant recalled a story about a specific opportunity to do some things with a donor that was outside of the norm. In talking with the President at the time, they discussed that there was some chance that the strategy might fail. The following advice has stayed with this academic leader over the years:

> He said something that I have quoted often since which was "there are two ways to fail . . . one is to try and do something really great and not be able to complete it but along the way you are likely to do something pretty good. The worst way to fail is to try to do something just okay and succeed." For me it was a very useful insight because it essentially gave me permission to try to do this other thing which ended up working out great. (P13)

Sponsoring. Twenty participants described sponsoring elements in their developmental relationships. Sponsoring involves a developer creating opportunities for the learner to demonstrate competence, as well as providing access to knowledge, inside information and resources (Downing et al., 2005). Gaining an understanding of "how things work" was noted as a frequent response of participants in this study. Key terms used in coding the act of sponsoring included teaching, sharing information, socialization, goal setting, communication, and navigation.

This participant reflected on ways a senior faculty member helped increase a research agenda and served as a developer through sponsoring:

> And then he did stuff like – he had been funded to do some work for NASA. He had been funded by them for a long, long time. He would take me to NASA and say, "you can help us with this project." He took me twice down there to discuss projects and I knew they were discussing the possibility of more funding. The third time he took me down there he said, "you know I have been thinking and what you all want to do is more of what [participant] does than me so I am going to hand over the project and I'm going to leave." (P14)

The importance of navigating an organization and understanding higher education leadership was experienced by this participant through sponsoring from a developer:

> So, he would also then talk to me about the challenges of central administration and [helped me] figure out how to navigate and get things done…If you want to get an answer to allow you to do x where do you go? That's a crucial skill. (P19)

Exposure and visibility. Fourteen participants included advocating, opening doors or helping make connections as they described their developmental relationship experiences. This was the other function identified on the on-line questionnaire as a behavior (advocating) exhibited to the greatest extent by developers according to respondents. Many participants had been encouraged to apply for leadership positions along the way or directly asked to serve in a leadership role because someone advocated

for their involvement. Advocating, introducing, and networking were key terms used in

identifying the exposure and visibility functions in the interview transcripts.

Prior to becoming a CAO, this participant was a dean who identified the provost

at the time as a developer who helped provide networking opportunities:

> I thought he did a great job with sort of helping me meet people, networking, things like that. So, I think all that is important too. Sort of in a way that was overly exaggerated, but when the time was right and individuals, you know—he would have people visiting the colleges that were individuals that he felt were important and he'd make sure I had time in my schedule to meet with them because they were important. (P10)

Another participant elaborated on how a developer made an impression of how

essential networks are in higher education outside of one's discipline or one's campus:

> [A developer] would introduce me to the networks, they would open doors for me. She was real good about helping me and others . . . and nominating us for committees. Those networks have helped me have a status and standing beyond just the local university administration. I think her mentoring on why and how – even when you are busy – you need to be in these bigger networks outside of your campus, outside your discipline or specialty area. It has positioned me on networks and visibility on committees nationally that mostly helped me and my sanity, but it also meant that they couldn't disregard me here at [my institution]. (P14)
>
> When asked about the national prominence and reputation of one participant's

developer, the participant stated that he/she had absolutely benefited by connections

forged through their affiliation.

> The depth of his experience in academic administration is—extraordinary. There's not a name in higher education among the leaders that, you know, that don't know [him]. He's had deep connections with industry. He has deep connections with the nation's sophisticated academic donors. . . . The depth of his experience is extraordinary. (P22)

Collaboration. Sixteen participants referred to collaboration, the opportunity to

work closely with developers, as an important aspect to their relationships. Developers

worked with the learners and the engagement in the collaboration was mutual.

Developers gave time and attention to the CAOs and valued input according to the

participants in this study.

Early in her/his career one participant learned the significance of collaboration in

academic decision making:

> I would hang out with other assistant professors and we would form work groups
> and collaborate. We found that worked very well in academic decision making
> where there's a lot of authority that can be exercised over curriculum issues and
> that sort of stuff. (P25)

This participant discussed collaboration and building consensus experienced

through involvement on committees:

> I think that the key to academic leadership is being able to—once in a while
> everybody has to continue to ask the right questions to lead the people in the right
> direction . . . where you can reach a consensus acknowledging that in reaching
> consensus, not everybody is going to be for it and not everybody is going to be
> against it and understanding how and when a decision is reached as a result of
> given consensus. (P12)

Similarly, this participant detailed the influence and learning that occurred

through collaboration with team members who had different skill sets:

> I had a close relationship with an advisory team that I put together. It included
> my CFO of the hospital, my business manager for the departments and research
> institutes, and then the people I had in charge of education, research and clinical
> care. This became a place where we worked together cohesively for the whole
> and I was constantly learning from these people who had skill sets that I didn't
> have. (P8)

Another participant accentuated collaboration as being "absolutely key" to how to

functionally run central administration functionally so that the colleges can work with

administration instead of around it.

> To develop a really collaborative relationship with shared governance [with
> faculty]and frankly, they help you do your job better and legitimate all these
> decisions you make and stream line decisions that you make and you become
> great colleagues. (P11)

Stretch assignments. Fourteen participants indicated that "opportunities" were presented to them, which lead to broader perspectives and more responsibilities. Serving on university-wide committees or getting involved in faculty senate were cornerstone stretch assignments for several CAOs. This code originally included the term collaboration in the categorization because participants described developers helping with the assignments. However, after initial analysis, it was apparent that stretch assignments and practical application was different from collaboration, so an additional code was created.

As a department chair, one participant worked closely with colleagues and the dean at the time to manage a major building renovation. This served as a great example of a stretch assignment in the leadership development of this individual:

> I mean, there were no set policies on how these things got done. Nobody has had experience with that on how to do that [move into new building]. I learned a lot about how to get a big department mobilized, moved and think about the plans for the future and then to work with the university, which is a complex organization in itself. (P9)

Committee work with "weighty charges" at all levels allowed this participant to get a different lens on the institution and on people:

> Being given opportunities at the departmental level, at the college level and then at the university level to serve on and ultimately lead committees that had fairly weighty charges was—was really important. . . . Well, I think what has made me the person that I am in this role is a series of fortunate events - a long series of a lot of fortunate events, some of them bigger than others. The co-chair of the work and family task force at [an institution] was a big one. That was a huge amount of work that was ultimately extraordinarily, very rewarding. (P12)

Similarly, for this participant, experiences on committees and special task forces were stretch assignments that aided in leadership development.

> I had no job description, really, in the first place. Secondly, they were typically chairing committees that got me very close look at some aspects of the university.

The summer program, for example, at that time we were just going into expanding our summer session from being a self-funded program to actually getting some state money. [Another stretch assignment was] the faculty and staff housing, where I got very much involved in the whole projects . . . in capital projects, budget work. (P15)

Finally, this participant highlighted the importance of cross-campus exposure and

learning:

That is one of the keys that I have come to experientially in regards to mentoring. It doesn't necessarily come from the nearest unit – it's a lot of this cross-campus or task forces where most of the learning goes on. (P25)

Coaching. Thirteen participants cited developers providing feedback in regards

to skills or capabilities to improve performance or potential. There was only 1 example

of formal executive coaching discussed in the 21 interviews. All other mentions of

coaching were done by a mentor, developer, or boss who worked within the respondents'

same organization or institution. Key terms associated with this code included observing,

feedback, and direction.

When asked to relay a transformative influence that helped in leadership

development, this participant described a coaching experience involving the university

president during an annual performance review:

He said, "You know, I've been watching you this year in meetings and so forth. When you are hearing what strikes you as what you think is just about the worst idea you have ever heard, it would probably be best if you didn't say, 'that's the worst idea that I have ever heard'. What you might want to say is – I hadn't thought of that before, let me give it some consideration and I'll get back to you. The reason I am telling you this is that you are not wrong – when you hear something and think it is a bad idea you usually have it right. First of all, you are in a senior position now, and you can devastate people even when you don't mean to do that – you are the boss and they are going to be upset. Number two, how you do something is just as important as what you do - how you convey bad news to people is what they will remember, it's not the bad news." (P7)

This participant relayed the significance of being coached by colleagues in

handling difficult situations:

> You know coaching people in their job; or when things didn't go the right way without it being the end of the world every time and learning how to have a constructive, compassionate conversation early. I've had dozens of colleagues, who I've said so help me do this, and somewhere they give me some advice and they say, "Well you can try this way or you really don't want to this, you want to do it that way." What amounts to mentors without it ever being quite that formalized. They're just good colleagues who you take bits and pieces from to make things work for you. (P11)

Labeled as a "trouble person consultant," one participant referred to a coach

brought in by a developer to help handle some issues this individual was experiencing:

> He began to work with me on some of my issues. I wouldn't say he resolved them but he made me aware of them so that as I progressed I knew what I needed to work on in my trouble areas. So he gave me some self-awareness and [my developer] definitely facilitated that. (P17)

In the context of speaking about opportunities to get more responsibilities and

opportunities to showcase strong performance, this participant reported how developers

provided coaching in a constructive way, in addition to protection and encouragement:

> [Developers have provided me] encouragement, getting additional responsibilities, pointing out things in a constructive way when you took a misstep or you are going to go down a path and they say, "Here's some things you may want to think about, you know. Be sure you consider this, this and this as you're moving ahead on that. Think about these things." (P21)

Friendship. Twelve participants referred to the importance of trust and friendship

in their developmental relationships, caring about each other, and offering emotional

support as well as the amount of time spent together. The function of friendship often

times surfaced as they explained their current relationships with developers who

influenced them in the past. For example, participants referred to staying in touch with

those people in a friendly way, their families socializing together or remaining close over

time.

One participant talked about forming genuine friendships and cultivating a level of sharing in working with developers closely.

> Basically forming genuine friendships being genuine it's that simple. It's just being genuine. Being sincere is another way. Not being insincere about stuff. (P11)

Describing the developmental relationship, this participant remembered a developer as a role model as well as a friend.

> So there was the part of it where she was the role model – the person you could look to and say she is someone I want to be like – she is someone I admire, she is someone who shows me it can be done. So there is that part . . . and then there is the more personal part about us being good friends and our [spouses] being friends. The ways in which that relationship grows over the course of 25 years – the friend who gives you a pep talk when things aren't going so well or come to town to celebrate your daughter's graduation from high school and things like that. (P20)

This participant emphasized that one developer was considered more of a peer because they were around the same age but also because their families socialized together. They spent a lot of time together inside and outside of the work environment.

> So we were coming together every day at noon and our families socialized together and his daughter babysat my daughter and that was much more really a peer relationship and friend – we were together a lot. I'll say scheming and I don't mean that in a negative way but just thinking about how we can build this program, and he was very strategic at that and good at the kind of politics. (P23)

> ***Protection.*** Fourteen participants told a story about being protected or sheltered from a negative experience in subtle, less obvious ways, however some of them did not realize what their developer was doing until after the fact.

> So that is one of the biggest parts of what the people who helped develop me did . . . I didn't always know it at the time but that is what they were doing. They were telling me practically . . . like this is why you want to be two-thirds time and this is why you want to volunteer for this committee. (P14)

In relaying a story regarding a search that did not result in the way the faculty, departments and colleges were satisfied with, one CAO recounted how peers protected her/him in the process:

> I think also I respect a lot of the people who were really working hard to get this guy out. These weren't just troublemakers, these were people I truly respected because they—they wanted the best for the college. And, you know, they were good enough to keep me out of it, quite honestly. I think in retrospect, I think I knew why, because they didn't want my fingerprints over anything that was — you know, paving the way for me in any way and I didn't want to be a part of that. (P10)

Participants mentioned incidences when they were given advice or when their developers would help them avoid a potential misstep but didn't always use the term "protection." The quotes below give two examples of protection in developmental relationships. The first one described a developer giving enough oversight to protect the participant from failure:

> That was quite useful in floating ideas by him or having him comment on things that I was trying to accomplish. He was not constraining me but rather providing political oversight so I didn't run off the tracks too much. (P19)

Second, this participant recollected how a developer supported and ensured success by providing protection from other colleagues who were not onboard with an individual's leadership initially.

> She protected me in that position because a lot of people didn't want me – even though I had gotten the grant, they didn't want me to stay in that role. She really made sure that I had what I had set up to do and I was on my way to do it. She provided me a lot of cover and strong emotional support. She is a momma bear protecting youngsters starting up but once you are established she is less effective . . . you don't need her as much. (P17)

Problem solving. Eleven participants referred to problem solving as they described the developmental relationships with their developers. In the initial coding, problem solving was included in the same code as protection. The behavior was separate

from the essence of protection and emerged as an essential function, so a new code was

derived for problem solving. Key terms associated with this code were working together

for solutions, broader perspective and global analysis of things.

> [Developer helped me by] helping me think through how to solve problems. So, you know, you wouldn't want to work for someone who expects the solution to be given to them and they decide yes or no. Nor would I want to work for someone who just wants to solve the problem themselves. So, it's somewhere in the middle of those examples. (P9)

Highlighting the importance of communication in problem solving, this

participant valued weekly meetings and opportunities to talk through situations.

> With all the folks from whom I learned a lot, we would have weekly meetings where I would bring an agenda of the issues I was working on and I would ask— you know, I would say, well here's the situation, here's what I think, what do you think? We would talk through the—the different aspects of the problem. So, just really an open communication line for asking questions. (P22)

In describing a developmental relationship with a current supervisor, a university

president, this participant was influenced by the ability of the developer to find a solution

and learned how to analyze problems.

> He is probably the most effective problem solver that I have ever known. Watching him come up with solutions to problems is very impressive, on the one hand, but on the other hand he shows you how you can come up with solutions on your own. I think through my interactions with [developer] and watching him solve problems – whether it is major problems of the strategic nature for the university or more of an individual, a very personal problem – he is very, very creative about finding *a* solution. Maybe not the absolute optimum solution but he always finds a solution even when it seems like there isn't one. That is impressive to watch how he does that. That's something important I learned from him – how to analyze problems and develop strategies based on very rational analysis. (P24)

Research Question #2: How did the participants in this study describe the role

that developmental relationships played in advancing their careers in higher education

institutions?

Along my path, if I didn't have mentors or developers at certain points helping me along the way, I wouldn't have taken the path I did . . . I wouldn't be the Provost today. (P26)

The relationships help you as you develop your leadership . . . relationships and examples those relationships give you in terms of how to act. To me that is the only way to train a leader, through examples of people they are familiar with and have a deep relationship with. (P24)

When talking about developmental relationships not only did participants mention functions or behaviors exhibited by developers, there were phrases or themes that emerged in the data describing the perceived benefits of the relationships. Participants relayed transformative and influential experiences, which played a role in the CAO's development as a leader and advancement to that position. Throughout the interviews it was apparent that the participants in this study had learned and benefited from developmental relationships in various ways. This section highlights the main themes that emerged when analyzing the data pertaining to the second research question – how participants described the role that developmental relationships played in the advancement and development of the chief academic officers. The effects of the developmental relationships are organized into six themes that emerged from the interview data: learned how things work, provided with opportunities, gained a broader perspective, learned from bad examples of leadership, increased understanding of communication in decision making, and recognized the importance of the success of others.

Learned how things work. Fourteen of the participants mentioned the benefit of "learning how things work" through their developmental relationships. They spoke about gaining a greater understanding about academic leadership. The opportunity to learn the

ropes when the stakes weren't too high as their leadership responsibilities progressed was

important. The developmental relationships provided supportive environments that

enabled the enhancement of skills like facilitation, teamwork, and collaboration. The

progressive nature of gaining valuable experience at each step and each experience

building on responsibilities of the previous job was noted by participants. A quarter of

the participants referred to the importance of incremental experience as they learned how

leadership in higher education works.

Participant 26 emphasized the advantage of spending a lot of time with a

developer:

> So, basically, he let me know how things work. So then, once I learned how
> things worked, then I could work within the system or work the system,
> depending on your point of view. I was very, very fortunate to have really good
> mentorship. (P26)

Highlighting the significance of good mentors along the way, this participant learned the

job at each step:

> It's about knowing how things work. You know, just knowing what the factors
> are that drive the behavior of faculty and academic leadership is—is about 80% of
> doing the job. Sometimes I will have to jump in and make a decision in an area in
> which I am not as experienced and that's where the guidance and having this
> incremental pathway where you learn [to ask the right questions] and make sure
> that you remember all the right lessons from all these things. (P22)

Speaking about the direct influence from the university President, Participant 7 reflected:

> I learned that HOW you do things is often more important as WHAT you do.
> You want to do things with a certain consideration, civility and thoughtfulness,
> yet a certain savvy and understanding. (P7)

Crediting the experience as an Associate Dean as what helped her/him get on "this

pathway," Participant 19 developed leadership skills and was influenced by the Dean as a

developer:

Seeing how he was comfortable with delegating responsibility and allowing me to have an independent oversight where I didn't have to route everything through him – that was very important in my own development but also in my understanding of how to give people responsibility and let them run with it. (P19)

Provided with opportunities. Thirteen participants spoke about the importance of recognizing and taking advantage of opportunities that were given to them through developmental relationships to participate in leadership activities. By performing well and doing a good job, participants were given more opportunities.

Emphasizing the impact of service roles "from the beginning" as a faculty member, Participant 20 noted:

You are thrust into service roles from the beginning. Whether it be serving on search committees and doing graduate admissions – whatever. I think what happens is that people who are good at those things – meaning they get the job done, people like working with them, they accomplish things in a timely fashion – are asked to do more. (P20)

Participant 21 explained how opportunities were presented for developing leadership skills incrementally, over time:

If you do a good job and you're lucky, someone's going to notice it and they're going to give you chances. And if you take advantage of those chances and you produce a good product, whatever that product is, you're going to be given more chances, more opportunities and you're going to find people who want to help. (P21)

Another participant used the term "incremental" recalling being given opportunities that increased responsibilities at each stage:

I think the thing that best prepared me was the cumulative weight of all the experience. You know, the experiences of, you know, faculty recruitment and grad student hiring and graduate education and assessment of PhD programs and, you know, cumulative experience is the best preparation for increased leadership because really, what being a Provost is, you own everything. So, all the problems or all the need for leadership, all comes—you know, it all comes back to—you've got research and teaching and scholarship and outreach and admissions and you've got to have a hand in fundraising in all these different pieces. (P22)

Participant 12 declared an awareness of the importance of mentorship on a continual

basis:

> The most important sort of happenings were that they were people who paid
> attention, took the time to see that I had the potential to contribute to these roles
> and then had the trust to give me the opportunity. . . . So, being given those
> opportunities for leadership in committees, within the university environment,
> that alone gave me a lot of experience in terms of how to reach out and pull in as
> many different ideas and opinions as you can even if some of them are
> diametrically opposed to your own perspectives and really realize that is key.
> (P12)

Participant 19 cited being open to opportunities as crucial in the process of development:

> I am not actively looking for every opportunity but when they present themselves
> and it's the right time for you and for the institution, it works out. That's how I
> have gotten where I am. (P19)

> ***Broader perspective.*** Nine participants reflected on the importance of gaining a

broader perspective through developmental relationships and the opportunities that arose

from those relationships, as well as how that aided in their advancement and

understanding of academic leadership. One CAO recalled a transformative experience

when serving as a department chair and an influential developer invited the participant to

the college advisory council meeting.

> It was unlike any other kind of meetings I had ever been at. The way he ran it –
> which was partly his personality, partly the people he had put on the advisory
> committee - CEOs of successful companies . . . some of them only a few years
> older than me, and some younger - and then his experience in that business arena.
> As I said, unlike any other kind of civil engineering meetings I had ever
> experienced. That was real eye-opening. It gave me a view of a more expansive
> role of what an academic leader could talk about, what they can do, things that
> might be unrealistic but would get discussion going. (P9)

> Another transformative experience for one participant was during the

deliberations on a campus level promotion and tenure committee. After reviewing a

dossier from a faculty member in a different college, the participant had formed an

opinion that ended up being drastically different than colleagues from the humanities

background. Much discussion ensued and all parties showed mutual respect as they

listened to each other and tried to explain different perspectives.

> So, I think that was probably a really important moment for me because I realized,
> it really is important to listen to what people have to say, to ask the right questions
> and then to really think in the context of all of their opinions,—what the path
> forward is. You come to realize that there is a breadth of perspective out there
> that you weren't even aware of that needs to be considered and so, inclusiveness
> in all of these deliberations and conversations is critically important. . . . Just all
> of those experiences and every one of them getting a different lens on the
> institution and a different lens on people, you know. We are a very creative
> environment. (P12)

In describing how a developer served as a role model and helped one participant

navigate higher education as an organization, Participant 17 explained being engaged in

strategic conversations on broader topics beyond the purview of her/his position.

> He taught me to think about sort of like the chess game . . . the many
> consequences of the actions one takes in your own leadership roles. . . . So I think
> he had that kind of big picture concept that when I started the job of VPR I hadn't
> really learned that because as a Center Director there is a great seat of personal
> power. You run your center, you do it, and you are accountable for it. The higher
> level administration that I am in now is relationship-based. Usually relationships
> can cost you a lot more long term . . . it's a lot more political. (P17)

Reflecting on the different relationships throughout her/his leadership progression, a

participant highlighted the importance of having interaction with somebody who had

more experience and could put issues in a broader context.

> You know, what has been valuable to me is to have a sounding board and the
> issues get bigger and [there are] higher stakes as you move up the ranks. So, the
> capacity to have interaction and a sounding board with somebody who is more
> senior and more experienced [is important]. I think it's the same at each level, but
> you just need somebody who's more senior and more experienced and can put—
> for me—it was how we put the issues I was thinking about in a broader context
> and then that context just gets bigger and broader with each promotion. (P22)

Learning from bad examples. Eleven of the interview participants mentioned the

importance of learning from bad examples of leadership. Many commented about

observing other people both when they do things well but also learning by their example

when they do things in a way that is not admirable. Other participants distinguished

between doing things wrong or inappropriately versus just handling a situation differently

than they would. Influence by role models, positively or negatively, was an important

skill to help participants develop into leaders. Role models were useful for modeling

ways in which respondents wanted to conduct themselves but also, in some cases, ways

to make sure not to conduct themselves.

> There's also the negative mentorship. You are learning a negative example, too.
> It is also finding who the failures are and identifying what it is you DON'T want
> to do and learn from other people's mistakes. (P7)

Speaking about how attention gets drawn towards trying to protect what is working at an

institution from what is not working, Participant 8 said:

> Very often you spend a lot of your time trying to fight back against what you see
> is damaging the institution. They become incredibly apparent and important goals
> because you have to focus on what gets in the way of success. (P8)

Participant 25 observed Deans, Vice Provosts, Executive Vice Chancellors (Provosts) and

Chancellors. Some were great examples and some were poor examples but both types

were helpful:

> Some folks in those roles have the ability to make people feel included and heard
> and valued. Some people in those roles are afraid to make decisions and want
> everyone to like them too much. (P25)

One of the most influential developers for Participant 27 was a Dean when she/he was

serving as an Associate Dean, her/his first higher education administration leadership

experience. The Dean had influence not only in positive ways, but also in negative ways:

In many ways, he was very influential in positive ways, but also in not so positive ways. Sometimes you say, I'll never do that, you know, but nonetheless, that's important. (P27)

Communication about decisions. Nine participants benefited from

developmental relationships by learning the significance of communication, especially

when making decisions. The importance of taking time to explain circumstances or

rationale made a difference in their development and understanding of academic

leadership. In addition, listening to faculty and engaging others to help them understand

the tradeoffs and to signal that they have been heard in the process was important. Many

developers modeled this behavior and purposefully shared information so learners could

gain an understanding in the decision-making and problem-solving processes.

Participants noted those experiences as direct benefits from their developmental

relationships.

To help "the curmudgeons" understand that decisions were not made in a

"complete vacuum," Participant 11 commented:

> You can let people know that it's not going their way, the right way and the wrong way. One can be gracious in saying no so you don't have to be nasty in your decisions. I learned to engage those [difficult] people and talk to them and say alright so here's how it really is. I understand where you're coming from I'm not changing my decision but here's how it really works. Here's the full context of why this decision was made. . . . It is absolutely key to how you run central administration functionally so that the colleagues can really do their job well and are working with you instead of around you. That way, you can become a real hero because you can show them some very clever ways to bend and get creative with the rules. You become their guide through the rules as opposed to the person that says yes or no to the rules. (P11)

Realizing that much of what she/he does on a daily basis has been informed by an

amalgamation of experiences, Participant 12 reflected:

> Acknowledging and embracing that there are many opinions that are different from your own and that creates a richness that is unsurpassed and that at the end

of the day, there is mutual respect and civility in the way the ultimate decision is reached -before it's reached, at the time it's reached and after it is reached, these are all really important things. (P12)

A benefit of developmental relationships for Participant 18 was learning how to communicate with professors, allowing for input and buy-in:

Everything is about communication and going back and forth. Shared governance with the faculty requires back and forth. People need to see you as approachable. . . . So you listen and understand their needs. When you look at leadership in academia that is what it boils down to in the end . . . how you work with extremely intelligent people who think they have all the answers even before you say anything. (P18)

Underscoring that it is essential in a leadership position to not be insular Participant 26 stressed:

When you're making decisions, if you don't have a sense of how people will react to it, that's not a good thing. So, you have to actively get out there and meet folks and figure out how they're thinking or how they view the world. (P26)

Success of others. Nine of the participants made reference to empowering others and helping facilitate people's individual success in leading a lab, a department, a college, a center, a division, or a university. The last question of the interview, participants were asked an open–ended question about any other thoughts they had regarding fostering leadership in higher education. The benefit of developmental relationships in their leadership experience and advancement was appreciated to the extent that participants were determined to pay it forward and serve in that capacity to others; the "thoughtful development of others."

At the end of the day that is everybody's legacy . . . who are the people that you helped make a difference. If you asked me what my top 10 publications have been, I couldn't tell you. If you asked me who were my top ten students, I'd have no problem telling you that and what they have done and how they made the world a better place . . . I have about 10 years in career life left. What I really want to look for in 10 years is who are the people that I touched at [this

institution] and what difference did it make and what did they go on to do after I am long gone. (P13)

Articulating that it is essential to get enjoyment out of facilitating the success of others,

Participant 7 posited:

> If you don't get any enjoyment out of watching somebody else flourish because you facilitated an outcome . . . you don't want to be dean or provost or even president . . . I think that is true about effective leadership in any organization . . . if you are going to be a leader in a complex human organization like a university or a college it's got to be a really good day when you see one of your faculty elected to the American Academy . . . you've got to get a lot out of that. (P7)

Participant 18 highlighted that in academia "we are trained to think for ourselves" but it is important in a leadership role to think about the success of others.

> If you don't learn to think about others around you and bringing them together then you are not ready for a leadership role. . . . To be able to serve, you have to listen to their needs and to what they believe will enable them to be successful as human beings and as faculty. (P18)

Participant 12 focused attention on giving opportunities, providing advice and serving as a role model while fostering leadership through developmental relationships:

> Now that I'm a Provost, I hope the Deans look at me, and either in an individual case when they come to me for advice or I see an opportunity to put them in a chair of an important search committee—that I'm giving them opportunities and hopefully just by observing the way I handle difficult situations and experiences. (P12)

Participant 19 cautioned that while trying to promote leadership opportunities to others, leaders need to temper venting about momentary stresses that come with the job.

> You have to be thoughtful about development of others. It is important to show people the softer skills and that you care - that you will listen. If you show people you are having aggravation all of the time in this position it tells people that it isn't doable. These jobs are challenging but they are the best jobs in the world . . . exciting, dynamic, and the opportunity to do good for others. (P19)

Chapter Summary

In Chapter 4 the findings from data collection and analyses of this study were reported. I presented themes and quotes aligned with answering each of the research questions of this study. Participants' experiences in developmental relationships in higher education were recounted using their own voices through quotes from interview transcriptions.

The most effective functions of developmental relationships in promoting higher education leadership, according to the participants in this study, were role modeling, acceptance and confirmation, sponsoring, and counseling. The new functions specific to the population of higher education leaders represented by the sample were collaboration and problem solving. According to the participants the most useful behaviors exhibited by developers in their relationships were role modeling, stretch assignments, advocating, and increasing visibility by providing networks.

There were two additional findings of this study in regards to the first research question. As participants described what happened in their developmental relationships experiences they referred to the importance of peers at all levels in their leadership progression and career development. Secondly, participants referred to support provided by multiple developers along their career paths to the Chief Academic Officer position.

In answering the second research question – the role that developmental relationships played in their career advancement – six themes emerged from participants' descriptions. The benefits of developmental relationships were associated with the following themes: learned how things work, provided with opportunities, gained a broader perspective, learned (what not to do) from bad examples of leadership, increased

understanding of communication in decision-making processes and gained an

appreciation of the importance of the promotion of success in others.

In Chapter 5, I will explain how the findings answer the research questions. The

conceptual framework of developmental relationships as represented in previous

literature will be discussed in relationship to the findings of the current study.

Implications for practice, recommendations for future research and conclusions of the

study will also be discussed.

Chapter 5

Conclusions and Recommendations

This study explored developmental relationships experienced by Chief Academic Officers at AAU institutions. Findings from this study, derived through process coding, were presented in Chapter 4. This chapter begins with a discussion of the findings in relation to the two research subquestions. These findings are then compared to previous developmental relationship research from the Literature Review, including the theoretical framework of Developmental Relationships (Kram, 1988; Lombardozzi & Casey, 2008). The sections that follow present implications for practice, recommendations for future research, and conclusions of the study.

Answering the Research Questions

Research question #1. The first question of this study asked how the participants described experiences in developmental relationships in the higher education setting. I wanted to understand what happened in the relationships, specifically, what the developers did, from the perspectives of the learners. Using the conceptual framework of the functions of developmental relationships that exist in the literature, I wanted to identify the most useful or most effective functions of developmental relationships in the higher education setting. I was also interested in finding emergent functions that were not represented in previous studies that might be unique to this population. Another investigative point of research question number one was to identify who serves as developers in higher education and if participants engaged in multiple developmental relationships.

Most effective function of developmental relationships in higher education leadership: Role modeling. The most effective function of developmental relationships in higher education identified by the participants in this study was role modeling; demonstrating skills, being an example of how to behave in certain situations. As Lester et al. (2011) described, the learning sees the role model as their own "possible self" believing they can achieve similar successful leadership performance. Respondents to the on-line questionnaire identified role modeling as the behavior that was exhibited to the greatest extent in the developmental relationship with their most impactful developer. They also ranked role modeling as the most useful behavior characteristic of interactions with their developers. The results of the on-line questionnaire were corroborated by the interview process. Not only was role modeling indicated more than anything else on the questionnaire as the most useful behavior, role modeling was identified in all 21 interviews as a function the CAOs experienced in their higher education leadership journeys. Thus, a paramount finding of this study was the significance, effectiveness and usefulness of role modeling in developmental relationships in higher education leadership, according to the participants.

Emergent functions of developmental relationships in higher education leadership. The academic leaders who participated in this study described what happened in their developmental relationships using similar language to employees in the business sector, shown in existing literature, recounting experiences, which included behaviors and functions of developmental relationships presented in the literature with some exceptions. The differences I found between previous studies on developmental relationships in the business industry and the developmental relationships experienced in

higher education by the study participants were the behaviors associated with collaboration and problem solving. These two behaviors were prominent in the majority of descriptions from the higher education participants. As participants described their developmental relationship experiences, they spoke about working with their developers, discussing critical issues, and proposing solutions. They iterated that the engagement was mutual and believed the exposure to problem solving experiences aided in their advancement. Participants also referred to observing how developers attacked problems and strategized to find solutions. Developers worked collaboratively with the CAOs, giving them attention and valuing their input.

Least significant functions of developmental relationships in higher education leadership. Participants in this study did not report that their developmental relationships involved reducing stress/anxiety. None of the interview participants mentioned this behavior in describing their developmental relationships and "reduced my anxiety or stress" was not considered one of the three most useful functions by anybody on the on-line questionnaire.

Another behavior that was seldom mentioned in the interviews and did not rate high on the questionnaire was "providing instruction or teaching to build expertise, skills, or knowledge." This was very surprising considering the context of this study was higher education where instruction is at the core of the organization. This result may be attributed to semantics and how the concept was relayed in the questionnaire. As participants reflected on their developmental relationship experiences, they may not have understood the behaviors as deliberate, in contrast to the implied intentionality of the question prompt of "providing instruction." For example, participants elaborated on

learning many things through their developmental relationships; however, they used phrases such as "provided direction," "taught me," or "showed me." Each of those phrases could be considered instruction but the participants did not themselves equate those actions with the term instruction.

Frequent functions of developmental relationships in higher education leadership. Identified by the on-line questionnaire and supported by the interview data, there were five behaviors that were present in every description of developmental relationships in higher education experienced by the participants in this study. Those behaviors fall into four different functions of developmental relationships, including role modeling, sponsoring, collaboration, and coaching. The prominence of the function of role modeling has already been discussed. Through the other functions, participants reported being better prepared because of collaboration; developers working collaboratively and providing direction. Participants stated feeling more knowledgeable when developers shared practical experiences, a behavior associated with the function of sponsoring. The rising leaders developed competency in higher education leadership with feedback, through coaching, from their developers and became more confident in their leadership ability through those functions.

In the interview data there were three functions used by all but one of the 21 participants to describe developmental relationships in higher education: Acceptance and confirmation, sponsoring, and counseling. In addition to role modeling, these are 3 functions discussed most often by the interview participants. This indicates the critical role of encouraging rising leaders and providing on-going support as well as serving as a sounding board played in the developmental relationships. Many participants referred to

the ability to engage in discussion, share thoughts and brainstorm ideas or solutions with their developers.

Developers in higher education leadership. The final goals of the first research question were to investigate who served as developers in higher education and if participants engaged in multiple developmental relationships. A code for who was acting as the developer emerged during the data analysis. It became apparent that at different levels, different people become developers. For example, some participants spoke of their first developers as their graduate school advisers who taught them about scholarship and research. As junior faculty, many participants noted the importance of peers who influenced their development. In each step of their leadership progression, the next higher-ranking position served as developers (i.e., department heads for faculty, deans for department heads, provost for deans, presidents for provosts).

Importance of peers in developmental relationships in higher education leadership. In addition, the emergence of peers as developers was noteworthy. Seventeen of the 21 (81%) interview participants referred to peers during the description of their developmental relationships, with many mentioning peers multiple times. The influence was highlighted in the young formative years of development as a graduate student or junior faculty member as well as at the highest levels of leadership. Behaviors such as support, sounding board, and problem solving were recalled as the participants spoke about peers. Trust lies at the root of relationships (Bolman & Gallos, 2011; Kouzes & Posner, 2007; Rock & Garavan, 2006) and it was apparent through the interviews that the CAOs trusted peers for psychosocial functions such as counseling or acceptance and confirmation as well as career functions like protecting or sponsoring.

Participants recounted incidents where they would consult peers regarding career choices or to help navigate tasks and problem solve. Support on a personal level and providing advice highlighted the friendship function of peers in developmental relationships in higher education leadership. One participant pointed out that when serving as a dean or department head, there are other deans and department heads on campus with whom to communicate, brainstorm, or engage in discussion. However, as the Chief Academic Officer, there is not another position on campus serving in that capacity. The participant, along with many others, underscored the significance of establishing relationships in their current positions with CAOs at other institutions.

   Multiple developers in higher education leadership. One of the interview questions asked participants if they had more than one developer in higher education. It was important for me to qualify this question specific to developers within higher education to eliminate the possibility of participants discussing outside developers such as parents, clergy or community organization leaders such as scoutmasters. I realize that individuals can be influenced by multiple sources inside and outside of the work environment and conscientiously limited their responses to developers within the higher education setting for the purpose of this study. Of the 21 interview participants, 20 immediately affirmed they had multiple developers in higher education. The participant who hesitated described one outstanding developer who was more influential than any other person in her/his development and admitted there were "pieces" from other developers. The concept of multiple developers is valuable in the progression and incremental process of developing leaders in higher education. Behaviors, influence, and

relationships along multiple steps in the path made a difference to the participants in this study.

Research question #2. The second question of this study asked how the participants described the role developmental relationships played in advancing their careers in higher education. I wanted to understand the benefits of developmental relationships in higher education through the perspectives of the learners or rising leaders. There were six themes that emerged from the interview data that represented how this population described what the relationship did for them – how they benefited from the developmental relationship and how the relationship helped their advancement into the positions of Chief Academic Officers. Quotes supporting each of the themes were presented in Chapter 4. The following explanations aim to explicitly highlight the benefits identified by participants.

Learned how things work. Through developmental relationships, participants gained a greater understanding about academic leadership. Observing role models, participating in stretch assignments, or working through challenges and issues by engaging in discussions with developers were common avenues for increasing job relevant knowledge. The developmental relationships provided supportive environments that enabled the enhancement of skills like facilitation, teamwork, and collaboration. By learning how the organization worked, participants were better prepared to navigate and were provided some clarity on what academic leadership entailed which was beneficial in their development and career advancement in higher education.

Provided with opportunities. During the interviews as the participants provided a narrative of their leadership progression and job experiences, they often referred to being

asked to serve. When I noticed a pattern early in the interview process, I started to ask

later participants why they thought they were tapped to serve – what made them different

from others? Participants commented about doing what needed to be done or effectively

handling situations, working hard, or being willing to do assignments. Performing well

and doing a good job gave participants more opportunities.

> Some of my colleagues were notorious in not doing a good job when asked to do
> service because they wanted to focus on their own scholarly work. As a result
> they didn't get asked as much to do service and that made them happy because
> they didn't want to do the service part. (P19)

> There are people that we are not going to ask because they are not going to do the
> work or they do it in a way that isn't right or that antagonizes other people or
> whatever. And then you have good soldiers that when you ask them to do it, they
> do it well. So you ask them to do another thing…and another thing. And that is
> how it works. The good soldiers get piled on with more work! (P20)

All of the functions of developmental relationships were relevant as participants

emphasized the benefits of being given opportunities to serve and lead. Many stated an

association between their current position and those opportunities, crediting the

experience in opportunities as a direct result for becoming the Chief Academic Officer.

The benefit of learning by doing and progressively gaining valuable experience was

immeasurable in the leadership development of the academic leaders in this study.

Opportunities allowed the acquisition of task specific skills, provided clarity in

understanding what academic leadership involved and developed confidence in the

participants of this study.

  Gained a broader perspective. The ability to consider different perspectives was

iterated by participants in this study as crucial in serving at the university level as an

academic leader. Participants reflected on the importance of gaining a broader

perspective through developmental relationships and the opportunities that arose from

those relationships as well as how that aided in their advancement and understanding of academic leadership. Developmental relationships fostered the expansion of thinking about issues in a broader context. Participants recalled being engaged by developers in strategic conversations on broader topics beyond the purview of her/his position. Exposure to advisory board meetings, engaging in university-level promotion and tenure process, or discussing problem solving tactics that minimize the negative consequences of actions were all examples given by participants of being influenced, coached or protected by developmental relationships.

Learned from bad examples of leadership. It was noted earlier that role modeling proved to be the most effective function of developmental relationships in higher education. Influence by all developers, positively or negatively, was an important skill to help participants develop as leaders. Role models were useful for modeling ways in which respondents wanted to conduct themselves but also, in some cases, ways to not to conduct themselves. The benefit of knowing what not to do by watching failures or ineffective leadership resounded in over half of the interviews.

> Finding mentors is about finding the 360 hitter and watching how they hit the ball and then asking them to help you. But it is also…identifying what it is you DON'T want to do and learn from other people's mistakes. (P7)

Participants stressed that both successes and struggles of others are informative. The CAOs distinguished between doing things wrong or inappropriately versus just handling a situation differently than they would.

> I learned even more from the people not doing a good job managing parts of the organization and watching the damage that it brought. (P8)

> Modeling isn't always where you want to do what the person does but you see that person's situation and you realize you may want to handle it differently. (P19)

Academic leaders benefited from developmental relationships through learning from bad examples, by improving their effectiveness and guiding them in different situations. As Chief Academic Officers there have been circumstances that participants have handled in certain ways because they were informed by previous observation of others' successes and failures. This aspect was beneficial to the career advancement of the participants because they had learned from others' failures or misconduct and could avoid some difficult situations because of exposure to similar incidents handled differently by other leaders.

Increased understanding of communication in decision making. Participants benefited from developmental relationships by learning the significance of communication, especially when making decisions. The importance of taking time to explain circumstances or rationale made a difference in their development and understanding of academic leadership. Participants described how developers coached, counseled, and modeled strategies of communication such as selling ideas through persuasion and information, fostering buy-in by practicing shared governance and investing the time to earn respect and build trust through communicating. Listening to faculty and engaging others has made the CAOs more effective leaders.

Another key factor of the decision making process that was beneficial to multiple participants was an understanding of communication prior to making a major decision or taking a vote, in a group decision. Participants iterated that they learned to not make a decision within a group until all parties are informed and on board. Participants gained a better understanding of decision-making and problem-solving processes in higher education because developers modeled behaviors. Developers purposefully shared

information and experiences about how to ensure a leader is successful in the communication and decision-making processes. Those experiences were direct benefits to the participants from their developmental relationships by enhancing their leadership ability, increasing job relevant knowledge and learning a specific skill associated with the task of decision making.

Recognized the importance of promoting the success of others. At the very core of this study is the concept of fostering leadership through relationships and the thoughtful development of others. When asked an open–ended question about thoughts regarding fostering leadership in higher education, almost half of the participants made reference to empowering others and helping facilitate people's individual success. Participants of this study had benefited from developmental relationships in their leadership experience and advancement. There was an appreciation of those benefits and participants were determined to pay it forward and serve in that capacity for others. Participants articulated that especially at the level of Chief Academic Officer, it is crucial to get satisfaction and enjoyment from facilitating the success of others.

Discussion of Findings and Existing Literature

Functions. The findings from this study are aligned with previous developmental relationship research from the literature review, including the conceptual framework of developmental relationships (Kram, 1988; Kram & Isabella, 1985) and the functions of developmental relationships (Kram & Isabella, 1985; Lombardozzi & Casey, 2008) with the exception of the emergence of two additional functions: Collaboration and Problem Solving.

Lombardozzi and Casey (Lombardozzi & Casey, 2008) found that each of the nine functions of developmental relationships presented in previous literature by themselves or in combination with others can have an impact on an individual's advancement into leadership positions. This study corroborated their findings; each of their nine functions were represented throughout the developmental relationship experiences and impacted the advancement of this sample of higher education leaders.

Role modeling. Lester et al.(2011), emphasized that role models serve as an example of a "possible self," noting that the learner believes she/he can achieve similar leadership success. In Kouzes and Posner's (2003) analysis of leadership they identified "modeling the way" as one of the five practices of exemplary leadership. Behaviors such as leading by example and demonstrating skills, as well as modeling how to behave in certain situations proved to be imperative for the CAOs' learning through their developmental relationship experiences. The developmental relationship function of role modeling was identified as the most effective, most useful, and most mentioned function as participants in this study described their experiences.

Sponsoring. The literature on sponsoring in developmental relationships highlighted the opportunities to demonstrate competence and learning (Kram, 1988; Kram & Isabella, 1985). The findings of the current study corroborate the relevance of the function of sponsoring, as participants focused on the benefits of opportunities to demonstrate competence, gain broader perspectives of higher education leadership, and learn from practical experiences and insight shared by their developers. The function of sponsoring overlaps with the functions of exposure and visibility as well as stretch assignments. Lofton (2012) noted that sponsoring involves exposure within the

organization and the profession. Rock and Garavan (2006) categorized the behaviors of creating opportunities, facilitating exposure, and enhancing visibility as a "sponsor of development." They established a different category titled "organizational navigator" which included behaviors such as competencies to navigate obstacles, illumination of organizational structure, and internal processes. Participants in this study indicated that knowing how things worked, as suggested by Rock and Garavan's organizational navigator, was paramount to their leadership development and career advancement.

Stretch assignments. Both Hill (2006) and Kouzes and Posner (2003) discussed the importance of creating a learning environment, which engages future leaders in stretch assignments outside the realm of their ordinary assignments so the future leader can be exposed to the leadership process. In the current study, participants reflected on the benefit of knowing how things work through their developers who shared practical experience and insights as well as gave the participants opportunities to learn by doing through sponsoring and stretch assignments beyond the participants' job descriptions. The concept of stretch assignments was pertinent in the developmental relationship experiences and contributed to the advancement of the participants in this study. Participants describe stretch assignments using the term "opportunities" which are further discussed in the next section.

Networking. The value of networking accomplished through developmental relationships was discussed by Rock and Garavan (2006), who identified the importance of the developer offering visibility and potential access to networks to the learner. "Achieving access to other social networks through developmental relationships and augmenting one's developmental network will likely lead to greater chances of increased

visibility and career opportunities" (Rock & Garavan, 2006, p. 338). The participants in

this study expressed benefit from exposure and visibility but did not mention the benefit

of access to networks through developmental relationships to the extent it is represented

in studies involving workers in business settings. This suggests that networking is of

greater value to career advancement in business compared to career advancement into

leadership positions in higher education experienced by the study participants. However,

there were a few participants who spoke of the role visibility in regional or national

organizations played in their leadership development and successful assent to the Chief

Academic Officer position.

   Collaboration and problem solving. Two functions emerged in this study:

collaboration and problem solving. In previous literature, problem solving was an action

associated with the functions of protection or counseling but was not articulated as an

essential contributing factor in developmental relationships. As the CAOs in this study

recounted their experiences with developers, they reinforced the importance of

collaboration using descriptions such as "working together," "being allowed to be

involved in processes," or "getting help" from developers on tasks.

   Opportunities. Leadership development involves capitalizing on opportunities

that occur on the job, which Avolio (2010) refers to as "natural learning events" (p. 205).

According to Avolio, "more and more leadership development evidence suggests that

using natural events at work to trigger and sustain development is a core element of

authentic leadership development" (Avolio, 2010, p. 205). According to Hoppe (2003),

preparing academic leaders requires providing experiences that both test and develop

their leadership skills. "Putting aspiring administrators in positions where they must

demonstrate their willingness to make decisions is a good testing ground" (Hoppe, 2003, p. 8). Emerging leaders must have practical experiences that prepare them for future positions (Eckel & Hartley, 2011) by learning about building and leading teams, teaching them how to be more strategic in their thinking, and helping them develop communications skills.

In a study of women Chief Academic Officers at Community Colleges, the participants identified professional development activities they perceived as being important to their career advancement (Cejda, 2006). A number of professional development experiences internal to the institution such as serving on task forces and committees were identified as important. According to Cejda, internal activities "provide the opportunity for the participant to gain administrative-like experience and demonstrate leadership skills and also may serve as a 'testing ground' for the institution to evaluate administrative candidates" (Cejda, 2006, p. 174). Leadership development efforts are most effective when they are customized to serve individual needs of the emerging leader and when they occur in the natural work setting (Avolio, 2010; Conger, 2004; Lester et al., 2011). Training has a greater impact on development if it is customized around the specific leadership needs of the audience receiving the training and if program content addresses the organization's real-life challenges using formats such as "action learning" (Conger, 2004, p. 137).

The career advancement and individual leadership development of the participants in the current study were impacted by internal opportunities to serve on committees, task forces, or special campus initiatives. Very few of the participants in this study had experienced formal leadership development programs. During the interviews,

many made reference to the desire to attend such programs but did not have the time necessary to invest in a formal leadership program. However, it was evident that opportunities for action learning, or learning by doing on their local campuses, were beneficial in their leadership progression. The CAOs reflected on some of the most valuable experiences they engaged in as they learned about leadership in higher education. Experiences included mobilizing departments for relocation, analyzing summer school productivity, strategizing on a task force to propose a campus-wide family leave policy, and serving on a responsible research task force or other campus-wide committees.

Learning culture. According to Hill (2006), "The most critical and difficult step in developing leaders is to foster a culture conducive to learning to lead" (p. 28). Creating an open, non-threatening climate where people can learn and develop, and not being afraid to admit that there are areas where they can learn is essential (Kouzes & Posner, 2003; Nevarez & Keyes, 2007). The outcomes of the current study were consistent with Lester's assertion that developmental relationships allowed learners to feel more encouraged and safe to explore their leadership which increases their development compared to someone who is not in a developmental relationship (Lester et al., 2011).

Several participants pointed out the importance of feeling safe to try new things when the stakes are not too high. The incremental learning that occurred through "experiential opportunities" afforded by developmental relationships allowed participates to feel encouraged and increased their confidence in being able to handle situations and serve as leaders in higher education.

Learner being open. An important implication of previous research was that learners actively shape their relationship with developers and must take the initiative to create their own development opportunities (deJanasz et al., 2003; Harvard Business Essentials, 2004; Hezlett & Gibson, 2005). An openness to learning, a commitment to building practical skills and an ongoing quest for learning opportunities must be exemplified by the learner (Lombardozzi & Casey, 2008). There is a heightened personal learning, job satisfaction, and advancement when the learner engages fully in the relationship (Chandler et al., 2010).

According to Chandler et al. (2010), who analyzed the behavior of "savvys," they want expert counsel and create opportunities to have development episodes – from diverse sources – by asking for advice, feedback, information, or support (Chandler et al., 2010). Lombardozzi and Casey emphasized, "A critically important aspect of the catalyst for learning was the learners' openness to it – their commitment to building practice skill and their ongoing quests for learning opportunities" (2008, p. 311). Learners play an important role in seeking out the knowledge and skills they need and initiate learning. The learning culture component focuses on a culture of questioning, feedback, support, and structures of learning (Lombardozzi & Casey, 2008, p. 339).

It became evident that the behavior of many participants in the current study was in line with the description of "savvys" and successful learners represented in previous literature. Participants spoke of the importance of being alert, listening actively, and observing all types of leaders in higher education as they progressed in their careers. They recognized it was important to be willing and prepared to step up when called upon by their developers, often noting that their willingness was what set them apart from

colleagues who did not advance into leadership positions. Participants in this study exhibited competence and commitment to their developers, as suggested by Chandler and her research team (2010).

Importance of peers. Parker, Hall and Kram (2008) stated, "Support and challenge from a trusted peer . . . can provide a powerful form of career learning" (p. 491). The equal status of peer removes the important power dimension evident in other relationships. Peers in developmental relationships experience the shared goal of support of mutual learning, according to Parker et al. (2008).

Relationships with peers offer important alternatives to those with conventionally defined mentors (Kram & Isabella, 1985). According to their study on the role of peer relationships, the functions resemble those seen in mentoring relationships; however, peer relationships tend to involve greater reciprocity and mutuality (Kram & Isabella, 1985) and are more universally available than developmental relationships with non-peers.

Both types of developmental relationships provide a range of career-enhancing and psychosocial functions. Non-peer relationships are different because they often involve significant difference in age and in hierarchical levels, whereas in peer relationships one of these aspects is usually the same for both individuals (Kram & Isabella, 1985). There is also a one-way helping dynamic versus the two-way exchange offered through peer relationships which offers unique developmental opportunities. According to Kram and Isabella (1985), peer relationships "provide a forum for mutual exchange in which an individual can achieve a sense of expertise, equality, and empathy that is frequently absent in traditional mentoring relationships" (p. 129).

A noteworthy finding that surfaced in this investigation was the importance of peers in developmental relationships in higher education at all levels. Over 80% of the participants relayed stories about developmental relationships where peers provided support, served as sounding boards or aided in problem solving. The importance of trust was apparent through the interviews; the CAOs trusted peers for psychosocial functions such as counseling or acceptance and confirmation as well as career functions like protecting or sponsoring. Participants underscored the significance of establishing relationships with peers at every level of their leadership progression, including their current positions, where peers are CAOs at other institutions.

Multiple developers. Many studies on developmental relationships discussed the impact of exposure to various viewpoints and experiences, therefore suggesting the need for multiple developers (Chandler et al., 2010; M. C. Higgins & Kram, 2001; Kirchmeyer, 2005; Lofton, 2012; Rock & Garavan, 2006). Kram's (1988) original research proposed that individuals receive support through mentoring and rely upon not just one but multiple individuals for developmental support in their careers— a phenomenon she called "relationship constellations." In this concept, career development assistance comes from many people at any one point in time, simultaneously, as opposed to a sequence of developmental relationships (M. C. Higgins & Kram, 2001).

Of the 21 interview participants, 20 affirmed they had multiple developers in higher education. As participants described their experiences, data indicated that behaviors, influence, and relationships with multiple developers made a difference in the career advancement and leadership development along every step in their progression. In line with Higgins and Kram (2001), participants described multiple developers that aided

in their advancement simultaneously. It was apparent, however, there was a sequence of developmental relationships, albeit multiple, throughout their careers. At each level in their progression, CAOs were influenced by their immediate bosses, as well as peers. Over the years, there was an accumulation of developers, with whom many participants continued to communicate and share experiences.

Benefits of developmental relationships. Benefits of developmental relationships have been documented in previous studies. Rock and Garavan (2006) mentioned the potential for developing leaders to be guided into situations that help them exercise "persistence, tolerance and interpersonal objectivity" (p. 337). Their research also supported the concept that developmental relationships may be valuable in providing clarity and developing confidence to forge ahead to pursue a leadership position (Rock & Garavan, 2006).

Another study, a meta-analysis of existing empirical research on the career benefits associated with mentoring, examined career outcomes for learners (Allen et al., 2004). They found mentoring to be associated with enhanced abilities, acquisition of task-specific skills, job relevant knowledge, as well as access to resources. All of these benefits can lead to greater productivity, promotions and raises (Kirchmeyer, 2005).

There are several practical skills and advantages a learner receives through a positive developmental relationship (deJanasz et al., 2003; Green & McDade, 1994; Lester et al., 2011; Lombardozzi & Casey, 2008). Through the relationship there is an acquisition of task-specific skills and job relevant knowledge (Kirchmeyer, 2005). A learner develops a sense of confidence and competence when the developer serves as a sponsor or advocate, "showing the learner the ropes and explaining the system" of the

organization (Green & McDade, 1994, p. 216). The learner learns strategies for practice and is shown how to navigate organizational structures by the developer (Lofton, 2012; Lombardozzi & Casey, 2008). Not only does the learner understand the system better, he/she receives beneficial career counseling (Green & McDade, 1994). deJanasz et al. (2003) noted that learners learn, understand, and internalize the organization's culture when a developer sets the example and "provides counseling, encouragement, and emotional support to facilitate the building of networks" (p. 82). Learners improve and learn from their mistakes as they receive feedback when developers who act as coaches, point out mistakes and suggest improvements (Green & McDade, 1994). deJanasz et al. (2003) describe how the self-efficacy, as well as abilities of learners, are enhanced by developers who provide protection, stretch assignments, and visibility. deJanasz et al. (2003) emphasized that in addition to these career related benefits, "learners receive support that enhances their sense of personal identity, role clarity, and interpersonal competence" (p. 78).

Each of these benefits highlighted in previous literature on developmental relationships were evident in the outcomes of the current study. Earlier in this chapter the six themes that emerged, answering research question number two, were discussed. The perceived benefits, through the accounts of the participants, were described in depth and are consistent with the benefits identified in previous studies, reviewed above.

Implications for Practice

The results of this study help increase the understanding of developmental relationships in the context of higher education based on the experiences of the participants. Through extensive review of the literature and interviews with sitting

leaders, I identified specific behaviors developers in higher education can do to promote leadership. All functions, especially role modeling and including collaboration and problem solving, contributed to the leadership development of the CAOs who participated in this study.

As mentioned in Chapter 2, a challenge of academic leadership is lack of training or preparedness prior to serving in the leadership role. Participants emphasized the importance of incremental steps in their engagement as an academic leader. The opportunity to lead and make mistakes when the stakes aren't as high played a significant role in their development into academic leaders. Institutions and the current leaders should purposefully identify and engage potential leaders and allow for incremental involvement and exposure to higher education leadership.

Another implication for practice is that some leaders "reach back" to help others through developmental relationships and some do not. This is significant for institutions that wish to develop the capacity for leadership within the organization. Developmental relationships serve as critical components in developing academic leaders. Everyday interactions through developmental relationships are advantageous because the learner is immersed in the contextual setting that allows for applicable learning. Recognition of whether campus leaders are the type that reach back or not can help institutions strategically identify their leadership development needs.

The second implication for practice is that 37 of the 38 respondents indicated that they had experienced developmental relationships in their careers and that the relationships were important to their leadership development. Therefore, if institutions promote developmental relationship activities among their leaders, they are more likely to

develop leadership capacity. Individuals aspiring to a leadership position should know

that others have indicated the importance of these relationships and should take

advantage of such opportunities. If no one is offering a relationship which exhibits

development behaviors and functions, searching out individuals that would be willing to

do so is recommended.

It is important to recognize that the intent of this study is not to replace existing

formal leadership development programs in higher education, or even to suggest

improvements to the existing curricula. Programs such as the ACE Fellows Program or

the HERS Institutes are well-developed, time-tested, effective programs that are

constantly improving content and delivery of their leadership development strategies for

a selected set of leaders in higher education. By identifying explicit actions and

behaviors carried out through developmental relationships, leadership development

strategies can occur on a daily basis, in a natural learning setting, fostering leadership for

all leaders, including emerging leaders.

Recommendations for Future Research

This study focused on developmental relationships in higher education from the

perspective of Chief Academic Officers at AAU institutions. It would be interesting to

investigate the experiences of other higher education leaders such as Vice Presidents of

Student Affairs or Vice Presidents of Finance to compare the results. Another valuable

study would be to ascertain the developers' point of view. The participants in this study

could provide the names of their developers who would be engaged in the same data

collection methods. A comparison of the experiences from two different perspectives

would provide greater richness and understanding of the dynamics of developmental relationships.

While demographic information was provided by the participants of this study, it was not used in the data analysis. Future research could examine the responses and any differences for CAOs who have served in the position for different durations. Participants also provided the academic discipline in which they earned their terminal degree. Future research could examine whether there are disciplinary differences in how learners and developers engage in developmental relationships to see if there are specific disciplines that are more resistant or more supportive in the engagement of development relationships. An analysis of gender differences would be insightful - of both the learners and the developers - to understand if gender impacts the experiences of leadership development through developmental relationships in higher education.

Since this study was limited to academic leaders at AAU institutions, future investigation could involve other types of institutions or larger samples, such as land-grant institutions, state institutions, or community colleges to compare if developmental relationships have similar impacts across different types of higher education institutions. In the same respect, other higher education groups of institutions could be studied, such as the Association of American Colleges and Universities (AAC&U), the Association of Public and Land-grant Universities (APLU) National Association of Independent Colleges and Universities (NAICU) or the American Association of State Colleges and Universities (AASCU). Since there was only one participant in this study who progressed to the CAO position from a non-AAU institution some career implications could be analyzed through future research by investigating if there is a greater likelihood

of obtaining an appointment as a CAO if employed in the same type of institution. A longitudinal study could follow the incremental steps in leadership progression of the rising leader and observe how the functions of developmental relationships are beneficial at different stages in higher education leadership development. Finally, a study of best practices researching how existing higher education leaders engage in developmental relationships could aid in progressing the utilizing of developmental relationships for the purpose of leadership development in higher education.

Summary and Conclusions

The findings of this study provide evidence to support the importance and impact of developmental relationships in higher education leadership. The results support the investment in the promotion and preparation of future leaders through the everyday behaviors of sitting leaders (i.e., developers), such as role modeling or engaging future leaders through stretch assignments. The findings of this study illustrate that there is a unique set of functions needed in developmental relationships of higher education leaders that are not identical to the functions needed in industry and business sectors. The emergent functions specific to the population of higher education leaders represented by the sample were collaboration and problem solving.

A guideline for developing leaders in higher education through developmental relationships, based on the findings of this study, would include the following purposeful, explicit actions and behaviors by higher education leaders:

1. Role model: Demonstrate skills and be an example for how to behave in certain situations

2. Provide opportunities to learn by doing.

3. Advocate: Make connections for others and open doors.

4. Give on-going support, positive reinforcement, and encouragement.

5. Share practical experiences through collaboration and problem solving

Additionally, it is important for potential leaders or rising leaders to be open to opportunities to get engaged in the leadership process through committees or task force involvement. Participants in this study also emphasized the importance of observations – learning from good examples as well as bad examples. Suggestions for rising leaders interested in career advancement in higher education leadership include the following:

1. Be open to opportunities to serve on committees and task forces – gain a different perspective of the university.

2. Find a role model.

3. Be observant – note good examples and bad examples.

4. Value the relationships with peers.

Along with the key findings presented in Chapter 4 and discussed in this chapter, the most important outcome of this investigation, as articulated by the respondents, was that developmental relationships in higher education leadership not only made them better prepared leaders, but the impact of developmental relationships encouraged them to be academic leaders in the first place.

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Appendix A

Institutional Review Board Materials

Nebraska
Lincoln

April 18, 2014

Heidi Sherick
Department of Educational Administration

Brent Cejda
Department of Educational Administration
141C TEAC, UNL, 68588-0360

IRB Number: 20140414394EX
Project ID: 14394
Project Title: Developmental Relationships in Higher Education Leadership

Dear Heidi:

This letter is to officially notify you of the certification of exemption of your project. Your proposal is in compliance with this institution's Federal Wide Assurance 00002258 and the DHHS Regulations for the Protection of Human Subjects (45 CFR 46) and has been classified as exempt, categories 1 & 2.

You are authorized to implement this study as of the Date of Final Approval: 04/18/2014.

We wish to remind you that the principal investigator is responsible for reporting to this Board any of the following events within 48 hours of the event:
* Any serious event (including on-site and off-site adverse events, injuries, side effects, deaths, or other problems) which in the opinion of the local investigator was unanticipated, involved risk to subjects or others, and was possibly related to the research procedures;
* Any serious accidental or unintentional change to the IRB-approved protocol that involves risk or has the potential to recur;
* Any publication in the literature, safety monitoring report, interim result or other finding that indicates an unexpected change to the risk/benefit ratio of the research;
* Any breach in confidentiality or compromise in data privacy related to the subject or others; or
* Any complaint of a subject that indicates an unanticipated risk or that cannot be resolved by the research staff.

This project should be conducted in full accordance with all applicable sections of the IRB Guidelines and you should notify the IRB immediately of any proposed changes that may affect the exempt status of your research project. You should report any unanticipated problems involving risks to the participants or others to the Board.

If you have any questions, please contact the IRB office at 472-6965.

Sincerely,

Becky R. Freeman, CIP
for the IRB

Communication with AAU regarding distribution of Sherick Dissertation Survey

From: Leah Norton
Sent: Fri 5/31/2013 8:17 AM
To: Heidi Sherick
Subject: RE: AAU CAO Constituent Group survey

Hi Heidi,
I write to follow-up on your request of AAU's assistance with distributing your survey.
John discussed this with a few provosts and they were very interested. We are hoping
you would be able to share a draft of the survey questions. Would it be possible for you
to send me a copy of the draft survey that we can share with us?
Thank you,
Leah
From: Heidi Sherick [mailto:hmsherick@gmail.com]
Sent: Thursday, May 23, 2013 4:16 PM
To: Leah Norton
Subject: RE: AAU CAO Constituent Group survey

Thanks so much for the reply and thanks to you both for investigating the possibility.

I really appreciate it.
Heidi

On May 23, 2013 3:13 PM, "Leah Norton" <leah_norton@aau.edu> wrote:

Hi Heidi,

I was able to review your e-mail with John. He is looking at this more closely and doing
some further checking to see what we can do to help you with your study/survey. We
will be in touch soon!

Best,

 Leah

 From: Heidi Sherick [mailto:hmsherick@gmail.com]
Sent: Thursday, May 16, 2013 3:15 PM
To: Leah_norton@aau.edu
Cc: hmsherick@gmail.com
Subject: Electronic survey distribution to the AAU CAO Constituent Group

 Leah,

Thank you for talking with me today and for passing on this information to Dr. Vaugh.

I am a PhD candidate in Educational Leadership & Higher Education at University of Nebraska-Lincoln. I am proposing a dissertation on the impact of developmental relationships (mentoring, coaching, networking and sponsoring) on university leaders. The study will help identify ways that existing academic leaders can promote and encourage others to become academic leaders. Ultimately, I want to enhance the cultivation of interest and effectiveness in higher education leadership.

Before solidifying my proposed study, I first want to confirm that it would be possible to draw my sample from the AAU CAO constituent group via a web-based survey sent to the group listserv.

Why AAU CAO Constituent Group?

• It represents both public and private institutions. Collecting data from academic leaders at both public and private institutions enriches this study and allows the findings to apply to a broad group of higher education leaders.

• AAU targets research universities. A main assumption in the literature is that faculty with more intensive research expectations are more reluctant to take the leap to administration; this group would allow me to understand how faculty move past that reluctance to take a leadership role.

• It includes CAOs. The position of Chief Academic Officer is crucial to my study because a faculty's progression to a leadership position beyond a department head or dean often indicates a desire to serve as a higher education administrator.

What is needed?

I would like your permission to distribute an electronic survey via e-mail to the AAU CAO Constituent Group. The survey will be approximately 10 questions long and should take 15 minutes to complete. The survey will ask for demographic information (gender, race, years in position, previous appointment, institution affiliations/degrees). There will be a few questions about factors that contributed to them becoming a leader in higher education.

I am respectful of administrators' time and will aim to make the survey as short and simple as possible. You both will have the opportunity to preview the survey to ensure the contents are appropriate prior to sending it. I am also open to adding additional questions to the survey that AAU may wish to ask of this group. All data collection material will be approved through the Institutional Review Board process at University of Nebraska-Lincoln and an informed consent form will accompany the survey.

After the initial distribution of the survey I anticipate up to two follow-up reminder messages to encourage responses. The survey will be "open" for about six weeks and will most likely take place beginning in July 2013. My goal is to use the survey to

identify approximately 10-15 CAO members that would be willing to participate in interviews.

As I mentioned, I want this effort to be beneficial to AAU and am happy to communicate the results and implications with you after the study is completed.

Thank you for your time. I am happy to talk with you to answer any questions, 406 579-3298.

Sincerely,
Heidi M. Sherick
PhD Candidate, University of Nebraska-Lincoln
Supervisory Committee Chair, Dr. Brent Cejda

Endorsement and Recruitment Letter from AAU

From: "John Vaughn" <john.vaughn@aau.edu>
Date: May 2, 2014 10:55 AM
Subject: Survey on higher education leadership

AAU Memorandum

To: AAU Chief Academic Officers

From: John Vaughn, Executive Vice President, AAU

Subject: Survey on higher education leadership

I am writing to encourage you to complete a short survey on higher education leadership development. The survey has been prepared by Heidi Sherick, a doctoral candidate in the Educational Leadership Program at the University of Nebraska – Lincoln. Heidi is investigating developmental relationships in higher education leadership development. A recent AAU CAO Planning Committee reviewed the survey and agreed that it could provide valuable information about the preparation of CAOs and the impact of developmental relationships on leadership development.

The survey, which should take about 10 minutes to complete, can be found here:

https://www.surveymonkey.com/s/825HBVD

 Heidi hopes to better understand the use and benefit of developmental relationships as a developmental tool in higher education leadership. Your participation in Heidi's study will help advance our knowledge about this issue. After successful defense of her dissertation, Heidi's dissertation will be posted in the international dissertation database.

 Your participation in this study is voluntary. Please be assured that no report of participation or identifiable data will be made public.

 Heidi can be contacted at hmsherick@gmail.com if you have any questions or need additional information.

Reminder message (sent one week after first e-mail)

Last week we sent you a survey link via email. The survey will be available for you to complete until May 16, 2014. If you have already completed the survey, we thank you for your time. If you have not completed the survey, we would greatly appreciate any input you could provide.

https://www.surveymonkey.com/s/825HBVD

The survey should take between 7-10 minutes to complete. If you have any questions, you may contact Heidi at hmsherick@gmail.com .

Thanks,
John (on behalf of Heidi)

Web-based Consent Form (first page of survey)

Developmental Relationships in Higher Education Leadership
This is a research project that focuses on how developmental relationships help promote and prepare leaders in higher education. The purpose is to examine the role developmental relationships play in career advancement into leadership positions for Chief Academic Offices in higher education. In order to participate you must be 19 years of age or older and a Chief Academic Officer at an Association of American Universities institution.
Participation in this survey will require approximately 10 minutes. You will be asked to fill out demographic information and work experiences. Participation will take place via a web-based survey. At the end of the survey you will be asked if you wish to participate in a follow-up interview.
There are no known risks or discomforts associated with this research.
The results of this study will be used to better understand leadership development and leader preparation in higher education.

Your responses to this survey will be kept confidential. Your name and the name of your institution will never be used and pseudonyms will be assigned to protect your identity. You may ask any questions concerning this research at any time by contacting Heidi Sherick at (406) 579-3298 or hmsherick@gmail.com . If you would like to speak to someone else, please call the Research Compliance Services Office at 402-472-6929 or irb@unl.edu.
Participation in this study is voluntary. You can refuse to participate or withdraw at any time without harming your relationship with the researchers or the University of Nebraska-Lincoln, AAU, or in any other way receive a penalty or loss of benefits to which you are otherwise entitled.

You are voluntarily making a decision whether or not to participate in this research study. By clicking on the I Accept button below, your consent to participate is implied. You should print a copy of this page for your records.

I accept		I do not accept

Interview Consent Form (on UNL letterhead)

Title of Research:
Developmental Relationships in Higher Education Leadership

Purpose of Research:
This is a research project that focuses on how developmental relationships help promote and prepare leaders in higher education. The purpose is to examine the role of developmental relationships and the functions therein, play in career advancement into leadership positions for Chief Academic Offices in higher education. In order to participate you must be 19 years of age or older and a Chief Academic Officer at an Association of American Universities institution.

Procedures:
Participation in this study will require approximately 90 minutes; 60 minutes for an interview and approximately 30 minutes for follow-up and validation of your responses. A face-to-face interview will be conducted in your office or at a location convenient for you.

Risks and/or Discomforts:
There are no known risks or discomforts associated with this research.

Benefits:
The results of this study will be used to better understand leadership development and leader preparation in higher education among AAU CAOs.

Confidentiality:
Your responses to this interview will be kept confidential. The name of your institution will never be used and a pseudonym will be assigned to protect your identity.

Opportunity to Ask Questions:
You may ask any questions concerning this research at any time by contacting Heidi Sherick at (406) 579-3298 or hmsherick@gmail.com . If you would like to speak to someone else, please call the Research Compliance Services Office at 402-472-6929 or irb@unl.edu.

Freedom to Withdraw:
Participation in this study is voluntary. You can refuse to participate or withdraw at any time without harming your relationship with the researchers or the University of Nebraska-Lincoln, AAU, or in any other way receive a penalty or loss of benefits to which you are otherwise entitled.

Consent, Right to Receive a Copy:
You are voluntarily making a decision whether or not to participate in this research study. Your signature certifies that you have decided to participate having read and understood the information presented. You will be given a copy of this consent form to keep.

Signature of Participant:

_____   _____
Signature of Research Participant   Date

Name and Phone number of investigator(s)
      Heidi Sherick, (406)579-3298, hmsherick@gmail.com
      Dr. Brent Cejda, dissertation adviser, (402)472-0989, bcejda2@unl.edu

Transcriptionist Confidentiality Statement

Transcriptionist Confidentiality Statement

I, Jaime Caris, agree to hold all information contained on audio recorded tapes/ and in interviews received from Heidi M. Sherick, primary investigator for the Developmental Relationships in Higher Education project in confidence with regard to the individuals and institutions involved in the research study. I understand that to violate this agreement would constitute a serious and unethical infringement on the informant's right to privacy.

I also certify that I have completed the CITI Limited Research Worker training in Human Research Protections.

3/27/14
Date

3/27/14
Date

Appendix B

On-line Questionnaire

Developmental Relationships in Higher Education Leadership

Welcome to My Survey/Consent Form

This is a research project that focuses on how developmental relationships help promote and prepare leaders in higher education. The purpose is to examine the role developmental relationships play in career advancement into leadership positions for Chief Academic Offices in higher education. In order to participate you must be 19 years of age or older and a Chief Academic Officer at an Association of American Universities institution.

Participation in this survey will require approximately 10 minutes. You will be asked to fill out demographic information and work experiences. Participation will take place via this web-based survey. At the end of the survey you will be asked if you wish to participate in a follow-up interview.

There are no known risks or discomforts associated with this research.

The results of this study will be used to better understand leadership development and leader preparation in higher education.

Your responses to this survey will be kept confidential. Your name and the name of your institution will never be used and pseudonyms will be assigned to protect your identity.

You may ask any questions concerning this research at any time by contacting Heidi Sherick at (406) 579-3298 or hmsherick@gmail.com. If you would like to speak to someone else, please call the Research Compliance Services Office at 402-472-6929 or irb@unl.edu.

Participation in this study is voluntary. You can refuse to participate or withdraw at any time without harming your relationship with the researchers or the University of Nebraska-Lincoln, AAU, or in any other way receive a penalty or loss of benefits to which you are otherwise entitled.

You are voluntarily making a decision whether or not to participate in this research study. By clicking on the I Agree button below, your consent to participate is implied. You should print a copy of this page for your records.

Thank you for participating in my survey. Your feedback is important.

*1. I am informed regarding the expectations of this study.

◯ I agree to participate   ◯ I do not agree to participate

Developmental Relationships in Higher Education Leadership

Career Experience

2. Name of the insitution where you currently work

[   ]

3. Employer type based upon IPEDS data (select 1)

○ 4-year public

○ 4-year private

○ Other (please specify classification)

[   ]

4. Years in your current position

○ 1-2 years

○ 3-5 years

○ 6-8 years

○ more than 8 years

5. Please list your previous job title (prior to your current position) and the institution where you held that position.

Job Title   [   ]

Institution   [   ]

6. What was your major field of study in your highest degree (e.g. sociology, chemistry, higher education)?

[   ]

Developmental Relationships in Higher Education Leadership

Leadership Development

7. Which of these factors contributed to you taking your current leadership role in higher education? (check all that apply)

- ☐ Participated in a national or regional leadership development program
- ☐ Participated in a home-grown, local campus-centered leadership development program
- ☐ Was the most senior person/had the most experience
- ☐ Was encouraged by someone in higher education
- ☐ Gained valuable experience (not through a leadership development program) prior to this position
- ☐ Other

✱8. Was there a person (or persons) in higher education who helped you develop as a leader in academia?

- ◯ Yes
- ◯ No

Developmental Relationships in Higher Education Leadership

9. Reflecting on the MOST impactful individual in higher education who aided in your leadership development, please use the Likert scale to describe to what extent the following behaviors were characteristic of your interactions with him or her.

	Not at all	Somewhat	Moderately	Great Extent	Very Great Extent
A. Worked with me in a collaborative manner.	○	○	○	○	○
B. Provided direction to me.	○	○	○	○	○
C. Helped me establish and track goals.	○	○	○	○	○
D. Helped me navigate assignment-related tasks and offered support.	○	○	○	○	○
E. Demonstrated skills, setting an example for me of appropriate behaviors in certain situations.	○	○	○	○	○
F. Observed me in a work setting for development purposes.	○	○	○	○	○
G. Worked with me to examine and resolve a particular problem (e.g. challenging my thinking and helping me consider varying perspectives).	○	○	○	○	○
H. Provided me the opportunity to learn by doing through stretch assignments or challenging work that extended my skills.	○	○	○	○	○
I. Provided feedback or constructive criticism to me.	○	○	○	○	○
J. Shared with me practical experience, technical knowledge and insights.	○	○	○	○	○
K. Provided instruction or teaching to build my expertise. skills or knowledge.	○	○	○	○	○
L. Provided positive reinforcement to me (e.g. indicating acceptance and confirmation).	○	○	○	○	○
M. Gave me emotional support.	○	○	○	○	○
N. Was a friend to me, in addition to our working relationship.	○	○	○	○	○
O. Reduced my anxiety or stress.	○	○	○	○	○
P. Enhanced my confidence and self-esteem.	○	○	○	○	○
Q. Provided counseling, advice or guidance to me.	○	○	○	○	○
R. Encouraged and motivated me.	○	○	○	○	○
S. Supported me personally.	○	○	○	○	○
T. Advocated for me.	○	○	○	○	○
U. Provided opportunities for me to network, increase visibility, and gain exposure to others.	○	○	○	○	○
V. Helped socialize or orient me to higher education leadership.	○	○	○	○	○

Developmental Relationships in Higher Education Leadership

10. Indicate which <u>three</u> of these behaviors were most useful in your experience (select the most useful, the second most useful and the third most useful behavior - only one button per column will be checked).

	Most Useful	Second Most Useful	Third Most Useful
A. Worked with me in a collaborative manner.	○	○	○
B. Provided direction to me.	○	○	○
C. Helped me establish and track goals.	○	○	○
D. Helped me navigate assignment-related tasks and offered support.	○	○	○
E. Demonstrated skills, setting an example for me of appropriate behaviors in certain situations.	○	○	○
F. Observed me in a work setting for development purposes.	○	○	○
G. Worked with me to examine and resolve a particular problem (e.g. challenging my thinking and helping me consider varying perspectives).	○	○	○
H. Provided me the opportunity to learn by doing through stretch assignments or challenging work that extended my skills.	○	○	○
I. Provided feedback or constructive criticism to me.	○	○	○
J. Shared with me practical experience, technical knowledge and insights.	○	○	○
K. Provided instruction or teaching to build my expertise. skills or knowledge.	○	○	○
L. Provided positive reinforcement to me (e.g. indicating acceptance and confirmation).	○	○	○
M. Gave me emotional support.	○	○	○
N. Was a friend to me, in addition to our working relationship.	○	○	○
O. Reduced my anxiety or stress.	○	○	○
P. Enhanced my confidence and self-esteem.	○	○	○
Q. Provided counseling, advice or guidance to me.	○	○	○
R. Encouraged and motivated me.	○	○	○
S. Supported me personally.	○	○	○
T. Advocated for me.	○	○	○
U. Provided opportunities for me to network, increase visibility, and gain exposure to others.	○	○	○
V. Helped socialize or orient me to higher education leadership.	○	○	○

11. Please list any other actions or experiences through your relationships with others in higher education that have aided in your leadership development.

Developmental Relationships in Higher Education Leadership

Demographic Information

12. Your gender

○ Man

○ Woman

○ Other

13. Your race/ethnicity (check all that apply)

☐ African American

☐ Asian/Pacific Islander

☐ Native American/Alaska Native

☐ White/Caucasian

☐ Hispanic/Latino

☐ Other

Developmental Relationships in Higher Education Leadership

Willing to be contacted to participate in face to face interview?

14. The next phase of this study is to conduct interviews. The purpose of the interviews is to gather more nuanced, in-depth information about your experiences to understand how leadership is fostered through relationships in higher education.

If you are willing to participate, please provide your contact information below. Providing information does not mean that you are committing to an interview, it just gives permission to contact you if you are selected to participate in an interview. Individuals who are selected will be contacted in the next few weeks to set up a convenient time for an interview.

Similar to your responses to this survey, information from these interviews will be kept confidential.

Name

Email Address

Phone Number (optional)

Developmental Relationships in Higher Education Leadership

THANK YOU

Thank you! Your participation is greatly appreciated

Appendix C

Interview Protocol

Interview Protocol

Let's start by talking about your job experience and leadership trajectory.
1. Can you please provide some background information about your job experiences and leadership progression?
   What led you to become an academic leader?

Experiences that helped prepare you to be a leader in higher education
2. Did you have any formal leadership development experiences? (National, regional or institutional level programs that offer leadership training and experience.)

3. Do you have examples of other ways or experiences where your leadership skills have been development? (Through day to day conversations, action learning opportunities, on-the-job learning)

This study focuses on Developmental Relationships – where people help others in their development.
4. Was there a person in higher education that helped you develop as a leader in academia? Please tell me stories about things that happened in that relationship, how it helped you.

5. Did you have multiple people in higher education who contributed to your development? Please explain. (over time)

Final questions
6. If you could tell me ONE story about something that had transformative influence on your leadership development – what would it be?

7. What do you wish those who influenced you had done differently to prepare for higher education leadership, knowing what you know now?

8. Please share any other information you feel is relevant to fostering leadership through relationships in higher education.

I am happy to answer any questions. Thank you for your time. I will send my transcription of this interview for you to provide feedback, what is the best address to use?

Appendix D

Coding Guide

Coding Guide

Sherick dissertation coding guide for Peer Reviewers

Coaching	Observing, feedback, directing
Collaboration	Worked with me, included me in work
Exposure_Visibility	Advocating, introducing, networking
Problem Solve	Solved problems, discussed solutions, strategized
Protection	Sheltering, helping avoid problems
Sponsorship	Teaching, sharing information, communication, navigation
Stretch Assignment	Practical application, opportunity outside of job description
Counseling	Counseling, helping, consulted, listened, calming, sounding board
Friendship	Friend, more than working relationship (outside of work)
Role_Modeling	Modeling behavior, set example
Acceptance_Confirmation	Support, affirming, encouraging, confidence building, trust

RQ2_role in advancing_benefit from relationship

Sponsorship	Sharing practical experience, technical knowledge and insights. Helping navigate tasks and goal setting. Recognizing potential, helping to evaluate options and make career choices.
Exposure and Visibility	Doors being opened, connections made, networking, advocating
Coaching	Giving feedback. Evaluating, offering specific critique.
Protecting	Shielding from potentially damaging situations. Challenging thinking and helping to develop ideas, to consider varying perspectives and problem solve.
Stretch Assignments	Providing learning opportunities through challenging work. Give opportunity to learn by doing. "Guided discoveries."
Role modeling	Demonstrating skills, being an example for how to behave in certain situations.
Acceptance and Confirmation	Ongoing support and respect to strengthen self-confidence and self-image. Providing positive reinforcement or encouragement in developing leadership skills, empowering.
Counseling	Providing a sounding board in solving dilemmas and developing interpersonal relationships.
Being a friend	Offering a personal relationship in addition to the business one

Appendix E

Aggregated Results from On-line Questionnaire of

AAU Chief Academic Office Constituent Group

Aggregated Results from On-Line Questionnaire of
AAU Chief Academic Office Constituent Group

41 total responses   40 agree to participate   1 did not agree to participate

38 COMPLETED (2 incomplete)

30 men (83.33%), 6 women (16.67%) (4 skipped gender question)

<u>Institution IPEDS classification</u>
4-year public = 22 (57.89%)
4-year private = 13 (34.21%)
Other = 3 (7.89%)
Doctoral Institution-Public, Doctoral Research University Extensive, PhD

<u>Years in Current position</u>

1-2 years	15	39.47%
3-5 years	13	34.21%
6-8 years	6	15.79%
more than 8 years	4	10.53%

<u>Previous job title</u>
Dean   21   55.26%
Vice/Deputy/Assistant Provost   6   15.79%
Professor   3   7.89%
Director   2   5.26%
President/Chancellor   2
Provost/Interim Provost   2
Chair   1   2.63%
Vice Chancellor   1

<u>Institution – Current vs. previous</u>
Same institution   22
Different institution   16 (only one from a non-AAU institution)

Engineering   9   23.68%
Chemistry   4   10.53%
Political Science 2   5.26%
Geography   2
Law   2
Psychology   2
Biology   2
Economics   2
Sociology   2

Political Science, Computer Science, History, Neuroscience, Geochemistry, Comparative Literature, Physiology, Organizational Behavior, Biochemistry, Public Admin/Policy, Physics

Contributing factors to taking current leadership role
Gained valuable experience (not development program) prior to this position
27 (72.97%)

Was encouraged by someone in higher education
20 (54.05%)

Was the most senior person/had the most experience
6 (16.22%)

Participated in a home-grown, local campus-centered leadership development program
3 (8.11%)

Other
3 (8.11%)
- Experience in my leadership roles, formal training through an MBA.
- Conviction that there was work to be done and I was asked to do it.
- I had a number of deans, provosts, etc. who I knew well as a young faculty member who were role models.

Participated in a national or regional leadership development program
2 (5.41%)

Was there a person (or persons) in higher education who helped you develop as a leader in academia?
YES 37 (97.37%)   NO 1 (2.63%)

Ranked most useful
1. Demonstrated skills, setting an example for me of appropriate behaviors in certain situations. (9, 6, 1)
2. Provided me the opportunity to learn by doing through stretch assignments or challenging work that extended my skills. (7, 3, 4)
3. Provided opportunities for me to network, increase visibility, and gain exposure to others. (3,2,4)
4. Advocated for me. (1,4,4)

Additional Functions

Leadership roles in national organizations have helped provide perspective and best practices.

I was fortunate to have several mentors who worked with me. I'd say two were inside the academy and two were outside. All four challenged me and essentially assigned me stretch work, provided positive feedback (when appropriate) and advocated for me.

Negative examples of deans, vice provosts, vice presidents and presidents' management styles have been helpful in knowing what to avoid.

Showed by example

Observing, informally, others who had higher level positions to see how they approached their jobs.

Having multiple mentors and confidantes. Establishing close working relationships and trust with Colleagues. Demonstrating willingness to help, explain, solve challenges

Simply observing and listening...a lot.

As chair of the Academic Senate, I interacted frequently with senior administrators as well as many faculty.

This guidance was by a science mentor not an academic administrative leader.

Provided the ability to disagree, at times intensely, without fear of reprisal. This promoted better idea sharing and problem solving strategies.