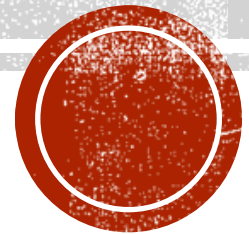


PRINCIPLES OF LEADERSHIP IN TOUGH TIMES AND TRANSITIONS



CONTEXT: TOUGH TIMES AND TRANSITIONS? WHERE?

- Clark Kerr: “About 85 institutions in the western world established by 1520 still exist in recognizable forms, with similar functions and with unbroken histories, including the Catholic Church, the Parliaments of the Isle of Man, of Iceland and of Great Britain, several Swiss cantons and 70 universities”
(European Journal of Education, 1987)



OH.

Sebastian Thrun: “In 50 years, there will be only 10 institutions in the world delivering higher education.” (Wired Magazine 3/20/12)



CONTEXT: 3 DEANS. 3 COLLEGES.



Jon T. Kilpinen, Valparaiso University, Valparaiso, IN

- Dean of Arts & Sciences since 2006:
- New President and budget upheaval in 2008
- New Provost in 2009
- New strategic plan in 2010
- Served as Acting chair of Education in 2013-2014
- New Provost and new Chair of Education in 2014



Carol Richardson, National University, La Jolla, CA

- Dean of College of Letters & Sciences, January 2013 to present

Transition:

- New Chancellor/President July 1, 2013
- New interim Provost July 1, 2013
- Interim Provost became Provost September, 2013



Nate Phinney, Malone University, Canton, OH

- Tuition-driven comprehensive institution (over 90%), 2200 students
- Sudden presidential departure in November 2010
- Interim until February 2012
- Enrollment declines since Fall 2009—400 headcount



FOUR PRINCIPLES

1. Balance the Strategic with the Urgent

2.

3.

4.



1. Balance the Strategic with the Urgent

- Tough times and transitions can really put leadership to the test, especially leaders in the middle, like deans.
- Leadership embodies many qualities and elements, but two stand out in my mind—**empowerment** and **accountability**.
- Empowerment—or providing someone sufficient authority and room to do his or her job—is a critical piece of effective leadership.
- Accountability—or holding someone responsible for the performance and results of his or her work, however, is also a vital part of leadership.
- Ideally, good leaders will maintain a balance between empowerment and accountability.



1. Balance the Strategic with the Urgent

- This balancing act becomes more and more difficult in tough times and transitions, when the pressure mounts to respond quickly and see dramatic results.
- Couched in terms of the Strategic vs. the Urgent, the “tyranny of the urgent” can win out.
- Leaning heavily on holding people accountable may feel like a necessary response to an urgent situation, but it may come at the expense of strategic interests.
- And, suspending best leadership practices can suggest that a culture of empowerment is disposable.



1. Balance the Strategic with the Urgent

- On the other hand, a good balance between empowerment and accountability is *very* strategic.
- Maintaining this balance can equip you and your college to handle the urgent quite effectively.



1. Balance the Strategic with the Urgent

- We see this play out in many ways, but our handling of our faculty members offers some examples.
- Our institutions are generally very good at empowering faculty.
- We've often not done as well at holding them accountable.
- Restoring balance between empowerment and accountability can have great benefits



FOUR PRINCIPLES

1. Balance the Strategic with the Urgent

2. Develop other leaders and cultivate support

3.

4.



2. Develop other leaders and cultivate support

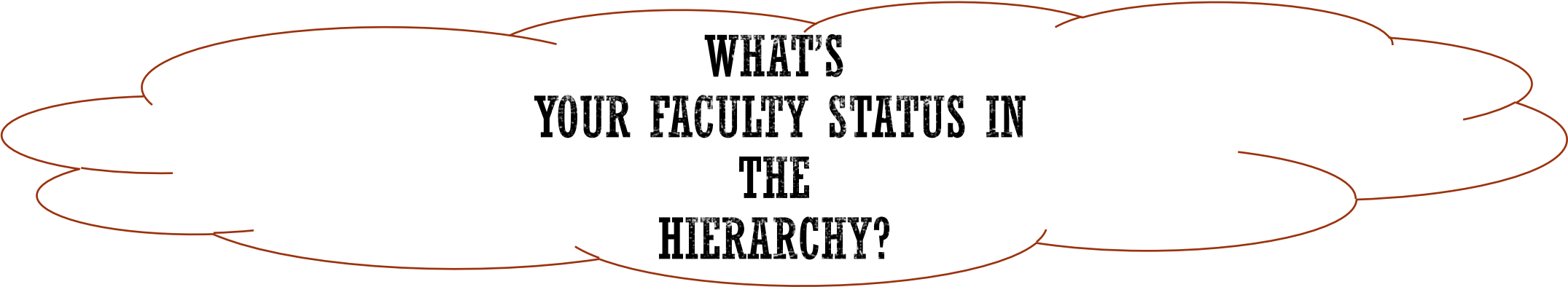
CONTEXT OF TRANSITION:

Your relationship
with the
institution

Are you a

- new dean?
- established dean?
- senior dean?





WHAT'S YOUR FACULTY STATUS IN THE HIERARCHY?

- Privileged insider
- Established worker bee
- Junior striver
- Disengaged but productive



TRAJECTORY

Upward

Flat

Downward



Transition Cycle:



FOUR PRINCIPLES

1. Balance the Strategic with the Urgent

2. Develop other leaders and cultivate support

3. Make processes and decisions transparent and collaborative

4.



3. Make processes and decisions transparent and collaborative

- Effective leadership manifests itself in *trust*.
- That trust, in turn, is the product of many things, including:
 - Fair, consistent treatment of people.
 - Articulating clear expectations and holding people to them.
 - Honoring your promises and being true to your word.
 - Following policies and procedures consistently.
- Transparency and a collaborative spirit are also extremely important in earning people's trust, and this is perhaps especially true during tough times and transitions.



3. Make processes and decisions transparent and collaborative

- Remaining transparent simultaneously demonstrates strong leadership qualities on your part and helps stabilize and calm the atmosphere in your college in difficult times.
- Transparency as a leadership quality probably has many facets.
- In all of those cases, it seems to boil down to **communication**, especially a high level of candid, honest explanation about goals, commitments, procedures, and decisions.



3. Make processes and decisions transparent and collaborative

- Being transparent in our messages about key decisions—particularly in difficult times—may be especially difficult for deans in our middle-management positions.
- Some decisions will inevitably come down from above, often as a new president or provost starts to enact a particular vision.
- Likewise, departments or committees in your college may take a particular stance on an issue or approve a particular decision.



3. Make processes and decisions transparent and collaborative

- That said, there is still much that we *can* and *should* communicate about various decisions, and the upsides are significant.
- This is quite true in terms of what you communicate to your faculty, especially about your own decisions.
- Transparency can and will promote your faculty's trust in you, even if the decision isn't something that they like.



FOUR PRINCIPLES

1. Balance the Strategic with the Urgent

2. Develop other leaders and cultivate support

3. Make processes and decisions transparent and collaborative

4. Balance advocacy for your unit against larger institutional needs



4. Balance advocacy for your unit against larger institutional needs

Three principles

- a. You are leading change
- b. You are leading from the middle.
- c. You must know your unit and your institution.



You are leading change.

John P. Kotter: *Leading Change, The Heart of Change, A Sense of Urgency, Accelerate*

7 Components of Change Leadership

- Establishing a sense of urgency
- Create a guiding coalition
- Develop a vision
- Communicate the vision
- Empower people
- Generate wins
- Anchor new approaches in the culture

As much as possible, view and position the tough times and transition as an **opportunity** for change.



You must know your unit.

Patrick Lencioni: *The Advantage: Why Organizational Health Trumps Everything Else in Business*

Create Clarity

- Why do we exist?
- How do we behave?
- What do we do?
- How will we succeed?
- What is most important to do, right now?
- Who will do it?

If you don't have a handle on at least the first three items, you run the risk of not having a clear idea of what is essential to fulfilling your unit's purpose.



You are leading from the middle.

Lee G. Bolman, Joan V. Gallos: *Reframing Academic Leadership*

Key Variable	Internal World	External World
Constituents	Faculty, staff, students	Senior admin, trustees, community leaders
Core values	Academic freedom, collegiality, consensus	Efficiency, accountability, responsiveness
Expectations of successful unit leadership	Minimal intrusion, maximum support, respect for autonomy, informal and nonhierarchical	Quality, productivity, responsiveness, strategic planning
Definition of the leader's role	Facilitator, fountain of resources, colleague, communications conduit, scholar	Administrator, policymaker, implementer, manager of people and money

Embrace the benefits of the middle: the “potential power, satisfaction, and leverage from being well-positioned to facilitate communication and agreement among diverse audiences” (143).



4. Balance advocacy for your unit against larger institutional needs

Three principles

- a. You are leading change
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- c. You must know your unit and your institution.



Four Principles for Tough Times and Transitions

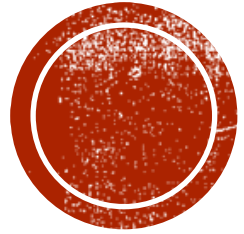
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**WHAT PRINCIPLES WOULD
YOU ADD?**