

UC Leveraging Leadership Initiative: Faculty Leadership Skills Assessment

December 2017

UNIVERSITY
OF
CALIFORNIA



2017 UC-CORO Systemwide Leadership Collaborative: Southern California Cohort

Members of the UC-CORO 2017 Southern California Cohort

UC Agricultural and Natural Resources

Darren Haver, Interim Associate Director of Research and Extension Center System, and Director of UCCE Orange and South Coast Research and Extension Center

UC Irvine

Marianne Beckett, Director of Academic Personnel
Anthony Frisbee, Acting Captain – Operations Division, Police Department
Deb Sunday, Assistant Dean, Claire Trevor School of the Arts
Amanda Swain, Executive Director, Humanities Commons
Rameen Talesh, Assistant Vice Chancellor Student Life and Leadership/Dean of Students
Phil Wang, Senior Associate Athletic Director

UC Los Angeles

Lea Howe, Senior Executive Finance Director of External Affairs and Chief Financial Officer of the Alumni Association

UC Riverside

Allison Cantwell, Assistant Vice Chancellor of Institutional Research
Kaitlin Chell, Director of Federal Relations
Jay Farrell, Professor and Associate Dean of Academic Personnel for the Marlan & Rosemary Bourns College of Engineering
Ian Foster, Director of Stewardship and Donor Relations
Elizabeth Mondragon, Interim Senior Director of Health and Psychological Student Services
Andy Plumley, Assistant Vice Chancellor of Auxiliary Services
Ahmad Rahmani, Director of Strategic Project Management
Marie Schultz, Assistant Vice Chancellor of Development

UC Santa Barbara

Katya Armistead, Assistant Vice Chancellor and Dean of Student Life
John Lofthus, Associate Director of Alumni
Meredith Murr, Assistant Vice Chancellor, Research Development and Strategic Planning
John Sterritt, Director of EH&S, Risk and Emergency Services

UC San Diego

Bob Neuhard, Executive Director, Operational Strategic Initiatives

SPECIAL ACKNOWLEDGMENTS

We would like to extend a very special thank you to our project sponsors: Sharon Walker, Interim Dean of the Marlan and Rosemary Bourns College of Engineering at UC Riverside, and Ron Coley, Vice Chancellor of Business and Administrative Services at UC Riverside, for their input and expertise.

We would also like to thank Luis Sanz, the Creative Director of University Communications at UC Riverside for lending his time and talent in the development of our project's visual identity standards.

Finally, we would like to thank the facilitators of our UC-CORO journey this year: Donna Salvo, UC-Coro Program Director and Executive Director of Systemwide Talent Management and Staff Development; Nancy Chen Lane, UCOP Sr. Director of Systemwide Talent Management and Acquisition; Juliette Villanueva, UCOP Systemwide Talent Management Administrative Officer; Courtney Young-Law, CORO Vice President of Programs & Leadership Training; and Nancy Shemick, CORO Adjunct Faculty. Thank you for all of the guidance and support you provided over the past twelve months.

Table of Contents

Executive Summary	i
Project Report	1-23
Introduction	1
Identifying Transition Points: Faculty Career Pathways	2
Research: Surveys	4
Survey Methodology and Approach	4
Survey #1: Faculty, and Society and Professional Association Leaders	4
Data	5
Findings from Survey #1: UC Faculty Experiences	7
Findings from Survey #1: Society and Professional Association Leaders	17
Survey #2: Former Federal Agency Program Officers	18
Research: Review of Existing Programs	19
Faculty Identified Needs and Overlap with Existing Trainings	20
Findings and Recommendations	22
Appendices	24-48
A. Case Studies: Faculty Career Pathways	24
B. UC-CORO Southern California Cohort Survey #1: Faculty, and Society and Professional Association Leaders	26
C. UC-CORO Southern California Cohort Survey #2: Former Federal Agency Program Officers	32
D. Definitions of the Skills Matrix in Survey #1 Questions 9 and 10	34
E. Faculty Leadership Career Path: Skills Progression	37
F. Survey #2 Results: Former Federal Agency Program Officers	40
G. Existing Programs – Research Overview: UC Leadership Training Programs and Resources	41
H. Existing Programs – Research Overview: Non-UC Sample of Leadership Training Programs and Resources	43
I. Selected Faculty Leadership Program Summaries	45

UC Leveraging Leadership Initiative: Faculty Leadership Skills Assessment

Executive Summary

The University of California is facing a looming challenge as it nears its 150th anniversary. The system has an increasing number of faculty leaders who will retire within the next five to ten years. Compounding this challenge, there is a culture among current mid-career faculty that suggests many are reluctant to fill leadership positions, or even participate in leadership training, that would take them away from their research. Finding a solution to the lack of a leadership pipeline will be critical for the institution as it moves into the next 150 years.

The 2017 UC CORO Southern California Cohort selected the faculty leadership and development project proposed by Sharon Walker, Interim Dean of the UC Riverside Marlan and Rosemary Bourns College of Engineering, and Ron Coley, UC Riverside Vice Chancellor of Business and Administrative Services.

Problem/Opportunity Statement

University of California faculty fill multiple and various leadership roles across our university system. Whether leading research teams, serving as department chairs, serving their professional society, or working in high-level central administrative capacities, very few UC faculty receive any formal leadership training or guidance and, instead, learn on the job. Building a campus and faculty culture that understands and appreciates the advantages that leadership mastery would have for the many leadership roles faculty take on throughout their careers in research, service, and teaching would benefit the entire UC system.

Approach

We began with the assumption that faculty careers consist of transition points where faculty members are asked to take on leadership positions for which they may have little training. These transition points often require last minute guidance and support, as well as various forms of advanced training, to successfully navigate new roles or situations. As such, our cohort chose to identify key moments of transition along faculty career trajectories where specific skill acquisition would be the most beneficial for success.

Findings and Recommendations

By analyzing results from faculty career trajectories, surveys, and research on existing programs, we find:

1. Faculty serve in multiple leadership roles, often concurrently, throughout their careers.
2. Faculty view leadership as a complex combination of people management, communication, vision, and subject matter knowledge, all of which faculty believe are required for success in leadership roles. Many faculty have learned these skills on the job and did not receive any formal training.
3. Faculty acknowledge they need job-related and leadership skills training; however, their stated desire to participate in such trainings is significantly lower than the stated need.
4. Federal program officers deem leadership skills and experience as important when making award decisions for large center grants.
5. Despite findings that leadership training exists, many faculty reported that little to no training is available.

6. Faculty state they would participate in training if the following incentives were offered:
 - Time via course release or compensation via stipends or research funding;
 - Relevance to current or future roles; and/or
 - Opportunity to learn something new.

From these findings, our recommendations represent action items that will help catalyze a cultural shift towards integrated and valued faculty leadership training:

1. UC should ensure faculty understand the value of leadership skills for research and creative activities, academic and professional service, and administrative roles.
2. UC should enhance awareness of existing leadership skill development programs organized by individual campuses, the UC system, and external organizations in one central location so that it is accessible.
3. UC should review successful skill development programs already in use, and develop a model that can be shared systemwide. Once programs are developed, systemwide requirements should be in place to ensure faculty participation in these programs.
4. UC should make available the skills progression (see Appendix E) which outlines the reported skills necessary to be successful at each milestone in a faculty member's career.
5. UC administrators (e.g., Deans and Chairs) should individually identify faculty with leadership potential, recognize them personally for this potential, and specifically invite these faculty to participate in faculty leadership development programs.
6. When encouraging faculty to participate in leadership development programs, UC should provide testimonials from past participants that highlight the usefulness of these trainings.
7. Existing campus and systemwide leadership training programs should review faculty-identified skills gaps and incorporate or develop relevant modules to meet those identified needs. Specific topics include university budgeting, managing grant funds, grant proposal writing, fundraising/donor relations, advocacy, and university funding models.
8. Lynda.com and UC Learning Center (UCLC) courses that are already available should be promoted directly to UC faculty. In addition, UC Learning Center should be re-branded to make it more accessible to faculty, who may not realize the relevance of these trainings since UCLC is currently housed under Human Resources.
9. UC locations should ensure faculty have time to participate in these trainings whether through providing course release or other financial incentives.

This report articulates a framework for addressing key aspects of sustainable academic excellence. It is our intent this framework will serve as actionable guidelines that will help the UC system better understand where and how it can develop a culture that prioritizes a more holistic view of faculty leadership training.

Introduction

The University of California is facing a looming challenge as it nears its 150th anniversary. The system has an increasing number of faculty leaders who will retire within the next five to ten years. Compounding this challenge, there is a culture among current mid-career faculty that suggests many are reluctant to fill leadership positions, or even participate in leadership training, that would take them away from their research. Finding a solution to the lack of a leadership pipeline will be critical for the institution as it moves into the next 150 years.

“The University of California is preeminent in educating the state’s young people, in enhancing research and scholarship in every discipline, in fostering economic growth, medicine, the arts, its athletic and other programs. Simply put, UC is the gold standard. Together, we must ensure that this standard is upheld.”

- UC President Janet Napolitano

The success of the UC System is driven by the ten campuses, six medical centers, Agriculture and Natural Resources, and three national laboratories, that comprise the primary entities of the system; with the faculty, researchers, and practitioners (hereinafter “faculty”) at each location being the critical components for maintaining the “gold standard.” Like all institutions of higher education, the University of California is facing profound resource constraints, and is expecting faculty to do more with less resources each year. It is critically important that systems, processes, and programs exist to help faculty achieve their full potential as scholars, researchers, practitioners, and leaders.

The 2017 UC CORO Southern California cohort selected the faculty leadership and development project proposed by Sharon Walker, Interim Dean of the UC Riverside Marlan and Rosemary Bourns College of Engineering, and Ron Coley, UC Riverside Vice Chancellor of Business & Administrative Services. The opportunity statement focused on identifying the challenges preventing faculty from participating in leadership development training. We felt this project would best leverage our campus-specific knowledge and networks in a collaborative manner to deliver a report that has the potential to move the UC system forward as it trains of world-class faculty to become world-class leaders.

Problem/Opportunity Statement

University of California faculty fulfill multiple and various leadership roles across our university system. Whether leading research teams, serving as department chairs, serving their professional society, or working in high-level central administrative capacities, very few faculty receive any formal leadership training or guidance and, instead, learn on the job. Building a campus and faculty culture that understands and appreciates the advantages that leadership mastery would have for the many leadership roles faculty take on throughout their careers in research, service, and teaching would benefit the entire UC system.

Approach

We began with the assumption that faculty careers consist of transition points where faculty members are asked to take on leadership positions for which they may have little training. These transition points often require last minute guidance and support, as well as various forms of advanced training, to successfully navigate new roles or situations. As such, our cohort chose to identify key moments of transition along faculty career trajectories where specific skill acquisition would be the most beneficial for success.

“Successful leaders...are mission aligned, ethical and collegial, collaborative, accountable, courageous and resilient, service oriented, and inclusive. They work hard to attract and support a diverse team, do their best to communicate clearly and transparently, and serve as a catalyst for continuous institutional improvement.”

– Anonymous respondent, 2017 UC CORO Southern Cohort Faculty Leadership Survey

With this one statement, one of our survey respondents succinctly captured the capacities and skills that faculty leaders can bring to the UC system and our individual campuses within the many leadership roles faculty occupy. We used surveys, research on existing leadership programs, and analyses of curricula vitae to identify various faculty pathways, related transition points, and necessary skills for success in leadership positions along faculty career trajectories.

Identifying Transition Points: Faculty Career Pathways

Faculty have several pathways by which they may develop and practice leadership skills throughout their careers. A typical faculty career will show a progression of leadership experiences. One example of a leadership pathway is illustrated in Figure 1, which is a visual representation of a University of California faculty career path based on a case study performed on an individual’s curriculum vitae (additional examples can be viewed in Appendix A). Each colored section in Figure 1 represents one leadership pathway within research, the academic senate, academic and administrative leadership, and professional/academic societies.

- The first section (green) relates to faculty with sponsored research. The progression of faculty development spans Principal Investigator (PI) on a grant, to co-PI on a multi-PI grant, to PI on a multi-PI grant, followed by multi-campus projects. Depending on their skills and interests, some will become directors of large research centers.
- The second section (yellow) corresponds to the academic senate leadership pathway, wherein faculty begin as members of committees, then become chairs of committees, and can develop further by either joining and chairing UC systemwide committees, or chairing their campus academic senate.
- The third section (orange) describes various levels and types of campus leadership, both academic and administrative. Almost all faculty participate in departmental leadership positions such as serving on or chairing departmental committees or becoming program advisors before taking on a department chair role. From there, faculty may progress through higher academic leadership positions such as dean, provost, or chancellor depending on their skill, interest, and time.
- The fourth section (blue) illustrates various levels and types of professional/academic society leadership. Again, faculty begin by serving on committees, eventually chairing committees, and then, according to their interests, rise through the ranks of the editorial or conference organization staff. With enough interest, skill, and time, they may ultimately serve in the leadership of one or more professional societies as president.
- The fifth section (gray) indicates the faculty member’s participation in formal leadership training.

The columns in Figure 1 demarcate the years since the faculty member received their Ph.D. The vertical lines indicate the times at which the faculty member earned their first assistant professor position (first line), were promoted to associate professor (second line), and further promoted to full professor (third line). The fourth vertical line indicates the date on which the case study was performed. The populated cells in each row indicate the

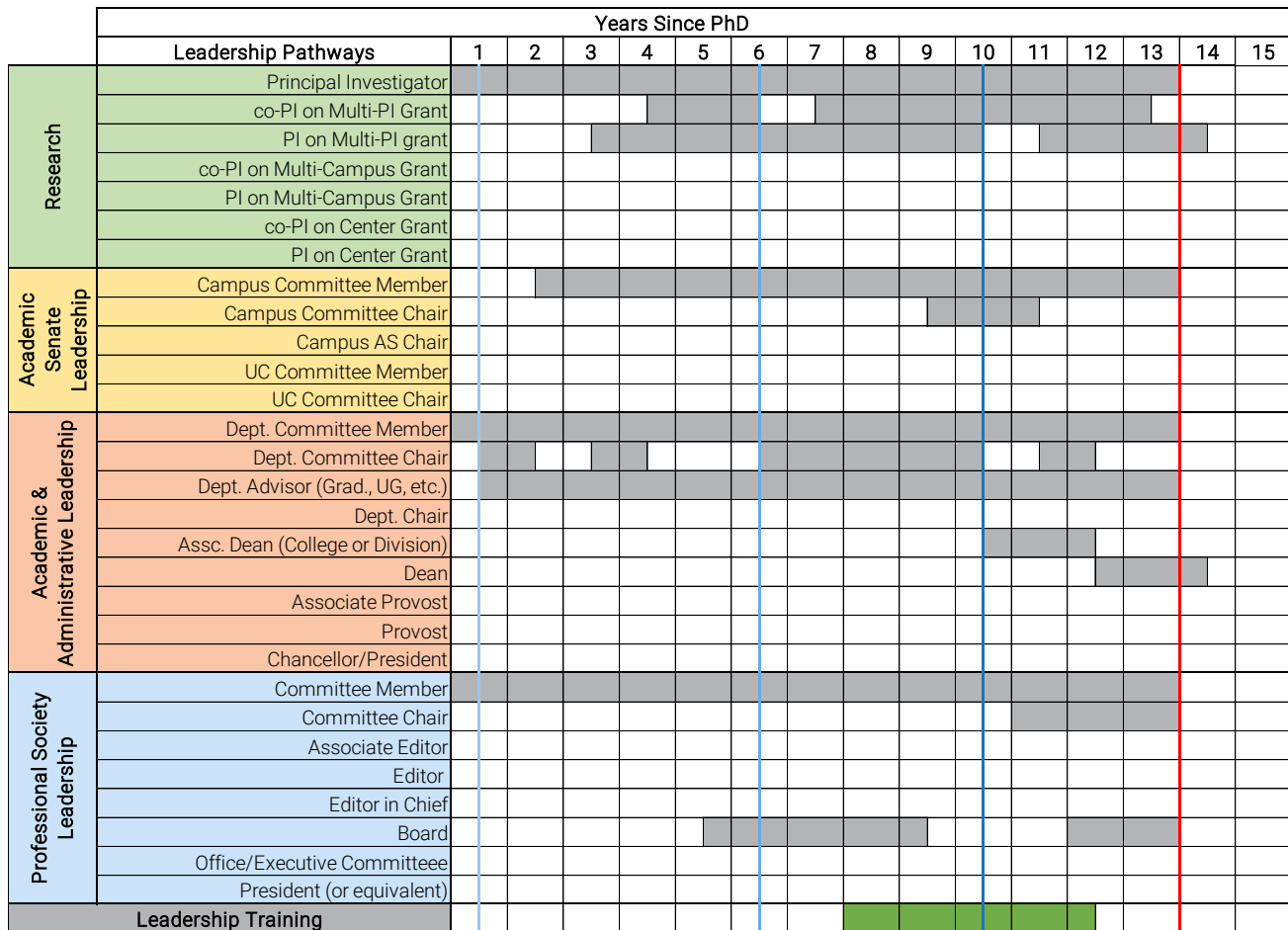
position occupied and the length of time in which the faculty member served in each role. This is a simplified visualization of the leadership roles a faculty member occupies and does not show the multiple positions held simultaneously within any one category.

While Figure 1 shows a faculty leadership progression for only one faculty member, it is clear that:

- At any given time, faculty are serving in multiple leadership roles.
- Over time, faculty proceed through leadership pathways toward more advanced leadership positions.

This faculty leadership progression serves as the foundation we utilized to survey UC faculty about: the challenges of transitioning into the various leadership positions, the skills necessary for success in those positions, and the requirements of successful training programs.

FIGURE 1. LEADERSHIP PATHWAY EXAMPLE FOR A UNIVERSITY OF CALIFORNIA DEAN



Research: Surveys

To balance rigor with resource availability, our research was conducted via phone and in-person interviews through two online surveys; one on faculty academic and administrative leadership and another leadership as it relates to awarding large federal research center grants. In addition, our cohort identified and reviewed programs at selected peer institutions and university systems and reviewed the literature compiled by the UC-CORO 2017 Northern California Cohort.

Survey Methodology and Approach

We designed two separate surveys to request insights from three groups of people. The first survey focused on faculty experiences with academic, administrative, and professional society leadership positions. We surveyed UC faculty and professional/academic society presidents and executive directors. The second survey focused on understanding the experiences and skills needed to secure federal grants for research centers and surveyed former program officers. Initial survey questions were created by cohort members based on research, informal discussions with faculty, and formal discussions with the project sponsors. Questions were edited to ensure logical flow and clarity, remove potential bias, and limit response fatigue.

Both surveys were hosted online via Qualtrics and accessible to anyone with the link (see Appendix B and C for survey instruments). Cohort members invited potential respondents to participate in an in-person or telephone interview via email. If available for an interview, cohort members entered data into the Qualtrics survey while conducting the interview. If the invited respondents were not available, they were offered the link to the online survey to complete on their own time. Surveys were conducted August through mid-September 2017.

Survey #1: Faculty, and Society and Professional Association Leaders

The first survey focused on skills respondents felt were needed to be successful, the training available to faculty in support of those skills, and any knowledge gaps related to a leadership positions. In addition, we asked faculty about issues they faced at the beginning of their careers and at transition points during their careers. The following two groups of people were interviewed:

Faculty at Southern California UCs

The cohort interviewed and surveyed 105 faculty at the UC campuses in Southern California and at the Agriculture and Natural Resources (ANR). We also included a few staff and faculty from the UC Office of the President to ensure we captured the systemwide perspective. Within each location, the cohort attempted to interview one faculty member at each ladder rank and in the following roles: Assistant Professor, Associate Professor, Full Professor, Department Chair, and Dean in each of the following disciplines: Social Sciences or Humanities; Sciences or Engineering; and a Professional or Medical School. We also included Provosts, Academic Senate Chairs and Research Center Directors from each location. When a Provost or Dean was not available, we asked that a Vice Provost or Associate Dean be interviewed instead. This allowed for a breadth of responses across faculty ranks, administrative positions, and academic disciplines.

Each cohort member was asked to conduct at least five interviews and was assigned a campus location, discipline, and position. It was at the discretion of the cohort member to decide which faculty member to interview in order to fulfill that criteria. Of the 233 faculty who were asked to participate, 105 participated resulting in a response rate of 45.1%.

Faculty Leaders and Executive Directors of Scientific Societies and Professional Associations

Faculty often fill leadership roles in academic societies or professional associations, in addition to campus leadership positions, within their discipline. If they become heavily involved, they may go on to become society or association presidents. Realizing this is a common path and one that is valuable to faculty, the cohort decided to interview scientific society presidents and executive directors who oversee faculty leadership opportunities from professional associations across the country. Of the 11 individuals asked to participate in our survey, 6 agreed to participate for a response rate of 54.5%.

Data

Table 1 displays the distribution of respondents across UC locations and Professional Societies. While cohort members tried to recruit respondents from all southern California UC locations, most of our respondents were concentrated at UC Irvine (25.2%), UC Santa Barbara (22.5%), and UC Riverside (21.6%).

TABLE 1: RESPONDENTS BY LOCATION

Location	n	%
Agriculture and Natural Resources (ANR)	6	5.4%
UC Irvine	28	25.2%
UCLA	15	13.5%
UC Office of the President	1	0.9%
UC Riverside	24	21.6%
UC San Diego	5	4.5%
UC Santa Barbara	25	22.5%
UC Santa Cruz	1	0.9%
Total UC	105	94.6%
Professional Societies	6	5.4%
Total Respondents	111	

Respondents were asked to volunteer their gender and race/ethnicity. Respondents who selected multiple racial/ethnic categories were coded according to U.S. Department of Education IPEDS standards. If they selected multiple ethnic categories with one being Hispanic or Latino, they were coded as Hispanic or Latino. Any respondent who selected multiple ethnic categories and did not select Hispanic or Latino were categorized as multi-ethnic. Table 2 displays the distribution of respondents across gender and ethnicities. We achieved an even distribution by gender, but the racial/ethnic background of our respondents is mostly white (66.7%).

TABLE 2: RESPONDENTS BY GENDER AND ETHNICITY

	University of California		Professional Societies		Total Respondents	
	n	%	n	%	n	%
Gender						
Male	54	51.4%	2	33.3%	56	50.5%
Female	50	47.6%	4	66.7%	54	48.6%
Unknown	1	1.0%	0	0.0%	1	0.9%
Race/Ethnicity	n	%	n	%	n	%
Asian	11	10.5%	1	16.7%	12	10.8%
Black or African American	7	6.7%	0	0.0%	7	6.3%
Hispanic or Latino	7	6.7%	0	0.0%	7	6.3%
White	69	65.7%	5	83.3%	74	66.7%
Multi-ethnic	4	3.8%	0	0.0%	4	3.6%
Other/Unknown	7	6.7%	0	0.0%	7	6.3%
Total	105		6		111	

Each respondent was asked to identify their faculty rank and, in a separate question, was asked to select all of the positions they currently hold from this list:

- Professor with teaching, service, and research responsibilities
- Department Chair or equivalent
- Associate Dean
- Associate Vice Provost
- Dean
- Vice Provost
- Provost
- Chancellor
- Director of a program
- Director of a research center
- Other (fill in)

When faculty selected “Other (fill in),” the answers were reviewed and coded to account for their roles which included staff, lecturer with (potential) security of employment, advisor with research responsibilities, volunteer leadership (undisclosed), campus committee membership, and unknown. The responses from current faculty rank and current roles, were recoded to capture mutually exclusive categories by prioritizing positions in the following order: 1) Provost, Vice Provost, Associate Provost; 2) Dean or Associate Dean; 3) Chair or Vice Chair; 4) Senate Chair; 5) Director of a Research Center; 6) Director of a Program; 7) Other position; 8) Professor broken down by rank. Table 3 below shows the distribution of mutually exclusive roles held by the respondents in this survey.

TABLE 3: RESPONDENTS BY POSITION

UC Respondents	n	%
Provost/Vice Provost/Associate Provost	4	3.6%
Dean/Associate Dean	16	14.4%
Department Chair/Vice Chair	24	21.6%
Academic Senate Chair	4	3.6%
Director of a Research Center	4	3.6%
Director of a Program	4	3.6%
Other Position	10	9.0%
Full/Distinguished Professor	8	7.2%
Associate Professor	7	6.3%
Assistant Professor	24	21.6%
Professional Societies	6	5.4%
Total Respondents	111	

The majority of our survey questions were open-ended, which required that cohort members read answers and categorize them by theme and/or subject-matter. In many cases, questions were categorized into multiple themes to ensure the breadth and depth of responses were captured. Because of the amount of data to be processed, five cohort members were assigned sets of questions on similar topics, which allowed for comparison of answers to questions along similar themes. Final data was checked for internal consistency. In some cases, data were recoded and/or categories were grouped to ensure clarity of information.

Findings from Survey #1: UC Faculty Experiences

Top Issues Faced by New Faculty and by Faculty at Transition Points

In order to assess the types of leadership opportunities and challenges faculty faced during the course of their career, we asked faculty who selected Professor or Other about the top issues they faced at the start of their career (n=76). Faculty currently holding leadership positions were asked about the top issues they faced when taking on a new role (n=55). Table 4 shows the issues by popularity in descending order.

TABLE 4: TOP ISSUES FACED BY FACULTY

	Leaders Taking on a New Role	Start Of Career	Combined Respondents
Number of Respondents	55	76	105
Job-related Skills*	50.9%	40.8%	56.2%
No Training/Guidance during Transition	27.3%	22.4%	30.5%
No/Little Institutional Knowledge	18.2%	10.5%	17.1%
Department Conflict: Culture and Structure	7.3%	10.5%	11.4%
Lack of Funding/Resources	14.5%	3.9%	10.5%
Workplace Bias	—	11.8%	—
Fostering Partnerships/Establishing Trust	10.9%	—	—
Developing new Culture/Repairing Culture	10.9%	—	—
University Demands Conflict with Personal Goals	—	2.6%	—
Creating New Programs	1.8%	—	—
Timing of Transition	1.8%	—	—
Faculty Retention	1.8%	—	—
Dispersed Staff Across Campus	—	1.3%	—
Work/Life Balance	—	1.3%	—

*Job-related Skills include budgeting and finance, conflict management, people management, change management, communication, etc.

Most faculty (56.2%) experience a lack of some form of job-related skills. These include budgeting and finance, conflict management, people management, change management, and communication. These skills would have been useful in overcoming the top issues faculty face, such as those related to department conflict related to department culture or structure (11.4%), lack of funding and resources (10.5%), navigating workplace bias (11.8%), fostering partnerships and establishing trust (10.9%), and developing new or repairing department or campus culture (10.9%). Many faculty described facing challenging work environments when first hired as professors and when transitioning to new roles.

In addition to a lack of skills, 30.5% of respondents said they received little to no training or guidance at the beginning of their careers or when transitioning to a new role. Approximately 17% of faculty reported little to no institutional knowledge. This indicates that our faculty members do not have a good understanding of how UC campuses or the university system function. Institutional knowledge is important for faculty to serve as members of the campus community, and even more important in leadership positions. Figure 2 illustrates these responses side by side.

FIGURE 2: TOP ISSUES FACED BY FACULTY

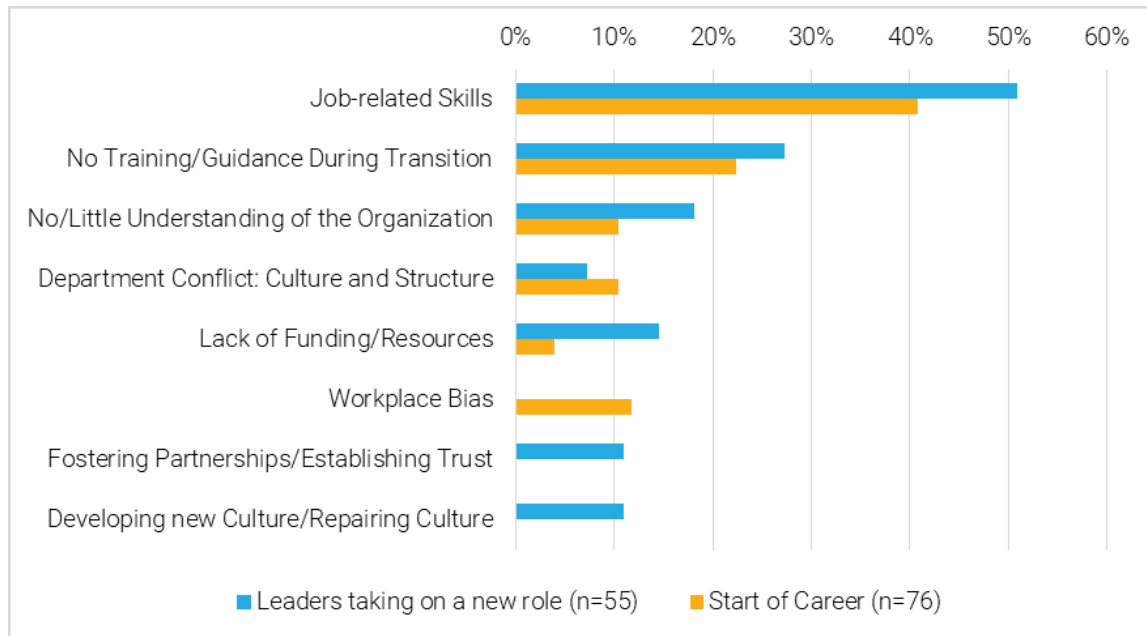


Table 4B shows insights by gender and ethnicity. In general, women and men reported similar issues with a few exceptions. Almost 5% more women than men experienced issues related to department conflict related to departmental culture or structure and almost 9% more women than men experienced issues with workplace bias when first starting as a new faculty member or when taking on a new role. These issues are not as disparate when examining them by ethnicity.

TABLE 4B: TOP ISSUES FACED BY FACULTY BY GENDER AND ETHNICITY

	Male	Female	White	Non-White
Number of Respondents	54	50	69	36
Job-related Skills*	59.3%	54.0%	58.0%	52.8%
No Training/Guidance During Transition	27.8%	34.0%	31.9%	27.8%
No/Little Institutional Knowledge	18.5%	16.0%	18.8%	13.9%
Department Conflict: Culture and Structure	9.3%	14.0%	11.6%	8.3%
Lack of Funding/Resources	9.3%	12.0%	10.1%	13.8%
	Male	Female	White	Non-White
Number of Respondents	38	37	48	28
Workplace Bias	5.3%	16.2%	10.4%	14.3%

*Job-related Skills include budgeting and finance, conflict management, people management, change management, communication, etc.

Knowledge Gaps of Assistant Professors as Identified by Advanced Faculty

Perhaps the most crucial transition point in a faculty career is achieving tenure. The survey asked faculty what skills and knowledge new professors often lack that would benefit their career as an academic. Interestingly, the most needed skills focused on those that support achieving tenure such as institutional knowledge, teaching skills, and grant writing. Other skills identified as necessary early in a faculty career were mentoring graduate students, managing a lab, recruiting staff and collaborators, developing a research program, marketing their research, and preparing for their career path. A number of job-related skills that are not specific to academia were mentioned as well: time management, communication skills, collaboration, budgeting, strategic thinking, conflict management, critical thinking, oral presentation skills, project management, and organizational skills.

TABLE 5: NEW FACULTY SKILLS AND KNOWLEDGE GAPS

Total Number of Respondents		87	
Institutional Knowledge	19.5%	Conflict Management	3.4%
Teaching Skills	18.4%	Lab Management	3.4%
Grant Writing	16.1%	Recruiting Staff and Collaborators	3.4%
Time Management	11.5%	Marketing Their Research	3.4%
Having Mentors	10.3%	Career Path Preparation	3.4%
Communication Skills	9.2%	Critical Thinking	2.3%
Collaboration	9.2%	Oral Presentation Skills	2.3%
Budgeting	8.0%	Developing a Research Program	1.1%
<i>Skills listed in Table 7</i>	5.7%	Project Management Skills	1.1%
Strategic Thinking	4.6%	Organizational Skills	1.1%
Mentoring Graduate Students	4.6%		

Skills Successful Leaders Possess

Another set of open-ended questions addressed the skills that successful leaders possess. Interpersonal skills, which include people management, emotional intelligence, and leading a team, were identified as key to success (see Table 6). Faculty replied that effective leaders have strong communication skills and are good listeners. According to survey responses, leaders must be: organized, strategic planners, problem solvers, transparent, supportive of staff, and diplomatic. We also asked provosts and deans what skills they sought for their leadership teams, and they identified many of the same skills as faculty (bolded in Table 6). The surveys revealed that faculty view leadership as a complex combination of people management, communication, vision, and subject matter knowledge in order to be successful.

TABLE 6: SKILLS SUCCESSFUL LEADERS POSSESS

Number of Respondents			105
Interpersonal Skills*	56.2%	Diversity and Inclusion	5.7%
Communication	41.9%	Budgeting	5.7%
Listening	28.6%	Passion	5.7%
Organizational Skills	26.7%	Risk Tolerance	4.8%
Strategic Planning	24.8%	Expert in Their Field	4.8%
Problem Solving/Conflict Management	18.1%	Objective	2.9%
Honesty/Transparency	17.1%	Change Management	1.9%
Supportive of Staff	13.3%	Humility	1.9%
Diplomatic	12.4%	Subject Matter Expert	
Accountable	9.5%	External Relations	
Fundraising	7.6%	Takes Initiative	
Time Management	6.7%		

*Interpersonal Skills include emotional intelligence, leading a team, and people management
Bolded items are those that provosts and deans seek for their leadership teams

Skill Needs and Training

The survey included a series of matrix questions related to necessary skills and training. We first asked faculty to identify which skills are needed to be successful in an academic or administrative leadership position. We then asked them to identify the skills for which they have received training and, if they had not, if they would be willing to take training in those areas (see Appendix B, questions 9 and 11). The table below shows the percentage of faculty who reported which skills are needed and whether they have received training or would participate in training in the following areas: Financial Management, People Management, Project/Scheduling Organization, Communication Skills and Revenue Generation.

TABLE 7: SKILLS NEEDED VERSUS PARTICIPATION IN TRAINING

	Need	Have Trained	Would Train	Difference between Would/Have Trained and Need
Total Respondents: 105				
Financial Management				
Budgeting	88.6%	16.2%	53.3%	-19.0%
Funding Models	78.1%	16.2%	52.4%	-9.5%
Managing Grant Funds	69.5%	23.8%	41.0%	-4.8%
People Management				
Managing Conflict	95.2%	27.6%	50.5%	-17.1%
Employee Management	83.8%	17.1%	47.6%	-19.0%
Recruitment	81.9%	24.8%	33.3%	-23.8%
HR Policies	68.6%	23.8%	27.6%	-17.1%
Collaboration	76.2%	19.0%	36.2%	-21.0%
Employee Development	75.2%	16.2%	42.9%	-16.2%
Project/Scheduling Organization				
Organize and Run a Meeting	81.0%	22.9%	34.3%	-23.8%
Leading a Team	82.9%	22.9%	43.8%	-16.2%
Time Management	72.4%	22.9%	36.2%	-13.3%
Delegation & Setting Priorities	86.7%	18.1%	46.7%	-21.9%
Critical Thinking	61.9%	26.7%	24.8%	-10.5%
Communication Skills				
Media Interaction	68.6%	23.8%	44.8%	0.0%
Advocacy	68.6%	18.1%	41.0%	-9.5%
Oral Presentations & Public Speaking	73.3%	37.1%	21.9%	-14.3%
Written Communication	73.3%	34.3%	24.8%	-14.3%
Marketing	48.6%	8.6%	40.0%	0.0%
Revenue Generation				
Fundraising & Donor Relations	78.1%	21.9%	49.5%	-6.7%
Proposal Writing	68.6%	40.0%	29.5%	1.0%

Overall, most faculty agree some training is needed in these key areas. Given faculty concerns over department conflict and workplace bias, it is not surprising that conflict management skills was selected by over 95% of respondents necessary for success in academia. Budgeting was ranked as the next highest necessary skill. All of

the skills listed, with the exception of marketing and critical thinking, were identified by at least 68% of respondents as necessary skills to be successful.

Faculty responses to the survey revealed a distinct lack of training. In most cases, only 15-25% of respondents received training in any given area. The training that faculty did receive primarily supported their scholarly endeavors, such as proposal writing, oral presentations and public speaking, and written communication.

If a faculty member stated they had not received training for a specific skill, we asked whether they would participate in training if it were offered. For the skills listed in the survey, 30-50% of respondents said they would take training if available. One of the more interesting insights we gain from this is that the percentage of faculty respondents who stated that skills are needed was frequently higher than the percentage who have taken (see Figure 3A) or would take training if available (see Figure 3B).

FIGURE 3A: SKILLS NEEDED VERSUS HAVE TRAINED

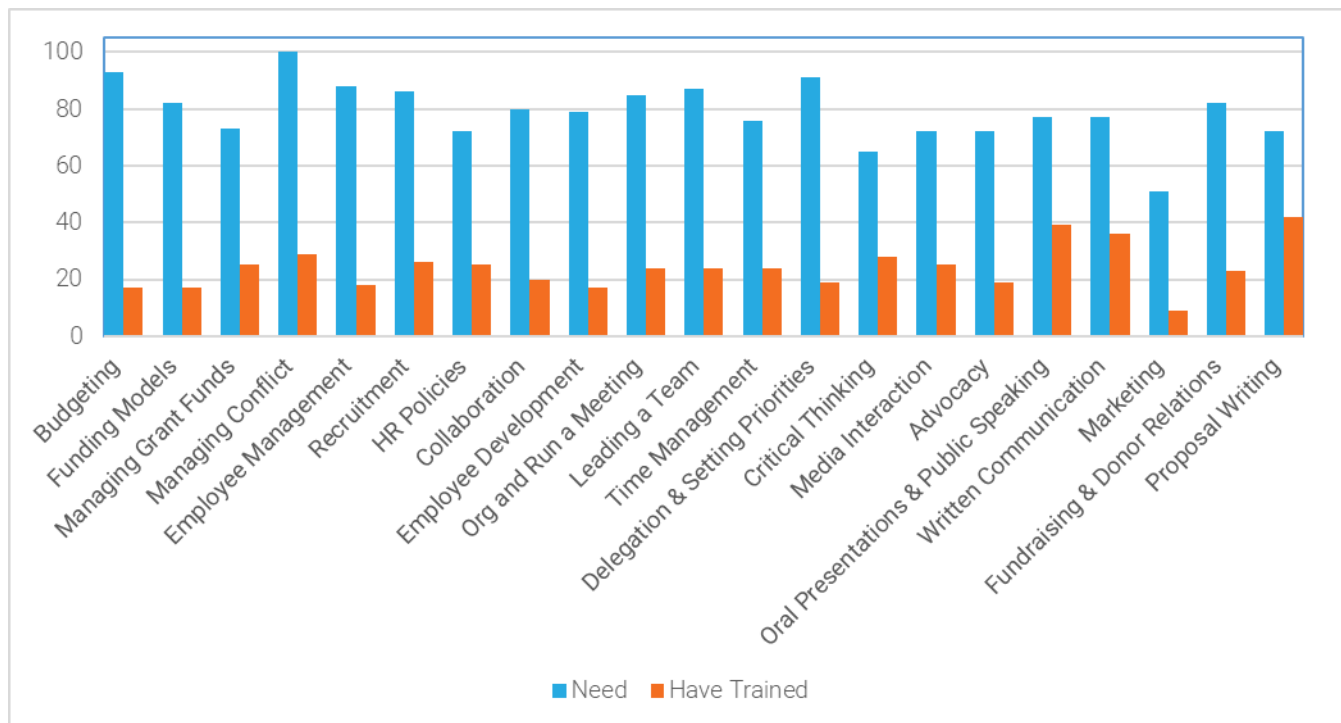
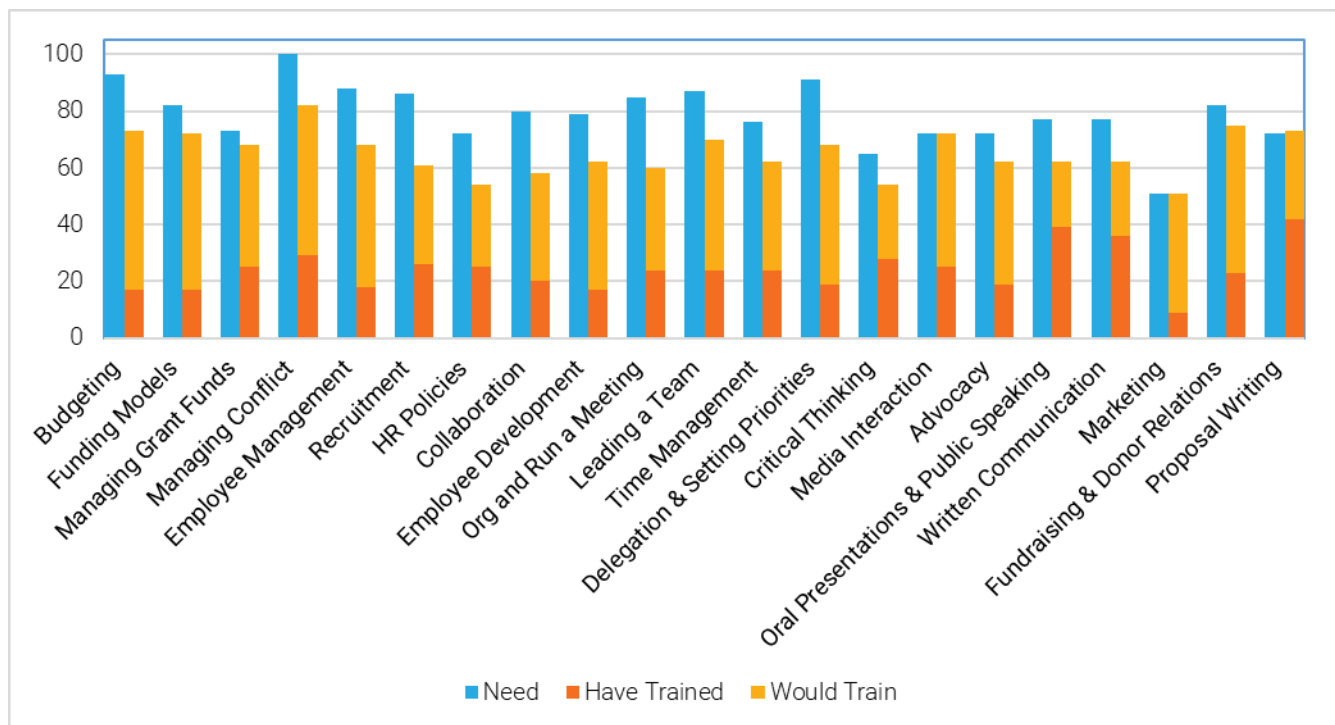


FIGURE 3B: SKILLS NEEDED VERSUS WOULD TRAIN / HAVE TRAINED



The survey included an open-ended question on what additional skills faculty need to be successful. Many of the answers are consistent with skills identified in the previous section and can be seen in Table 8 below.

TABLE 8: ADDITIONAL SKILLS REQUIRED FOR SUCCESSFUL LEADERSHIP

Number of Respondents	105
Diversity and Inclusion	11.4%
Strategic Thinking	6.7%
Diplomacy	5.7%
Organizational Skills	5.7%
Institutional Knowledge	5.7%
Career Path Preparation	1.9%
Legal Knowledge	1.0%
Accountability	1.0%
Course Design	1.0%
Learning Outcomes Assessment	1.0%
Honesty/Transparency	1.0%

Skills Needed for Key Faculty Positions

We used the results from question 9 of survey #1 (Appendix B) related to skills needed to be successful and summarized the data by the positions in Table 3. This resulted in a list of skills needed to be successful at various roles throughout a faculty member’s career and outlines the degree to which skills are viewed as required for success in academic leadership positions.

By pairing the skills progression found in Appendix E with the faculty pathway case studies found in Figure 1 and Appendix A, current and future faculty can:

- Plan a career pathway that builds upon their current experience and identifies future academic and administrative leadership positions/opportunities; and
- Identify skills that other UC faculty in those leadership positions have deemed required for success for which they could pursue training.

This combination of information will not only allow faculty to identify potential and strategic career moves, but it will also allow them to determine leadership skills that are required for the position they may be lacking, and actively seek out training to enhance those skills. By being better prepared at key transition points into leadership positions, faculty members would save the time and frustration of “learning on the job.”

Available Training Identified by Respondents

The survey asked respondents who currently hold key leadership roles at the university what skills or training would have been useful to support their transition, for example, from assistant to associate professor, from department chair to Academic Senate committee, or when taking on a leadership position with a scholarly society. Table 9 shows their responses which are consistent with many of the skills mentioned previously.

TABLE 9: SKILLS OR TRAINING NEEDED AT TRANSITION POINTS

Number of Respondents	55
People Management Training	27.3%
Financial Management/Budgeting Training	21.8%
Informal/Formal Mentoring	21.8%
Critical Thinking	12.7%
Institutional Knowledge	10.9%
Expectations for the Role	9.1%
Communication	7.3%
Fundraising Training	5.5%
Leadership Development	5.5%

We asked faculty about training available to new faculty on their campus as well as any training available to faculty taking on new roles on their campus. Table 10 shows the results about the types of training available. As mentioned previously, 30.5% of respondents said they received little to no training or guidance at the beginning of their careers or when transitioning to a new role. Similarly, 33% of faculty report their campus does not offer any training to new faculty or faculty transitioning into new roles. However, almost 25% of faculty report some

academic training is available to new faculty at the start of their careers. Academic training includes training on teaching, and writing journal articles and grant proposals, and aligns with the skill gaps senior faculty identified of new faculty members. About 23% of faculty reported that their department, college, or campus offers new faculty orientation or orientation for new roles, such as new chair orientation. In addition, about 18% of faculty report that informal or formal mentorship is available on their campus for new faculty and faculty transitioning into new roles. Based on the data collected, it is not clear whether training is not offered or if training opportunities are not effectively communicated to faculty.

TABLE 10: TRAINING AVAILABLE

	New Faculty Training	New Position Training	All Faculty
Number of Respondents	76	55	105
None	23.7%	32.7%	33.3%
Academic Training*	25.0%	9.1%	22.9%
Orientation (Campus and Position)	22.4%	16.4%	22.9%
Informal/Formal Mentoring	17.1%	10.9%	18.1%
Management Training	7.9%	9.1%	10.5%
I don't know	7.9%	9.1%	10.5%
Compliance	5.3%	7.3%	7.6%
Leadership Training	1.3%	12.7%	6.7%
Many Trainings Available, not specified	—	12.7%	—

*Academic Training includes: training on teaching, grant proposal writing, academic writing for journals, reviewing academic work, etc.

Incentives

There is a demonstrated need for faculty training in many key areas, yet we found few formal opportunities for faculty to gain that knowledge. Our next section shows that training programs do exist, but many are exclusive to members of associations or university consortiums and others are limited in size or are often expensive. In addition, we found that relatively few faculty report receiving training and that the need for training surpasses interest among our respondents to participate in training. We asked faculty what would motivate and incentivize them to participate in trainings if they were available. Responses are shown in Table 11.

Almost one-third of respondents report that earning compensation or resources would incentivize their participation. These include having the time to participate, perhaps facilitated by course release, and/or earning stipends or research funding. Faculty want to ensure training is relevant or useful for current leadership roles or career advancement. Some would be incentivized by the opportunity to learn something new and adding something new to their tool kit for personal development or to develop their unit.

TABLE 11: INCENTIVES TO PARTICIPATE IN TRAINING

Number of Respondents	105
Time to Participate/Course Release OR Money via Stipend or Research Funds	31.4%
Relevant to Current or Future Roles	29.5%
Opportunity to Learn Something to Improve Self or Unit	23.8%
Testimonials	9.5%
Recognition in Merit/Promotion or Certification	8.6%
Convenient Timing/Location	8.6%
Short Duration	5.7%
Online	2.9%
Interactive	2.9%
Sequential Coursework	1.9%
Face to Face	1.9%
Networking Opportunities	1.9%
Leadership Requests Participation	1.9%
Nothing	1.0%
Low Cost	1.0%
Retreat/Off Campus Setting	1.0%
Part of Annual Meetings	1.0%
Selective Pool of Participants	1.0%
Has Accountability and Action Items	1.0%
Free Childcare	1.0%

Findings from Survey #1: Society and Professional Association Leaders

Six respondents replied to the faculty-focused survey from Directors, Associate Directors, and Executive Leaders of Academic and Professional Societies. Of the six respondents, four are female and two are male; five identified as white and one as Asian. While the sample size was not large enough to draw meaningful conclusions, we have noted a few common elements that merit further investigation.

When asked what issues they faced at the start of their career, they all answered, based on their experiences working with faculty new to high-level positions within their association or society, that, in general, there is a lack of familiarity with the way associations work and the roles associated with staff. While this is a distinct difference from UC faculty responses, it does relate to a lack of institutional, or in this case, organizational knowledge. Because societies rely on volunteers, leaders must be able to facilitate meetings especially when consensus is not reached, must be efficient in their meetings to use time effectively, and must understand how to collaborate while ensuring volunteers stay engaged. Some other issues that were mentioned relate to financial knowledge, and understanding the broader education landscape outside of being at a Carnegie Classified Research I institution in

addition to the scholarly publication landscape. It is helpful if they know more about non-academic job opportunities and how to work with non-academic entities.

When asked about skills faculty need to be a good leader, respondents emphasized a need for collaboration, listening, communication skills, and people management skills. These are consistent with the skills identified by UC faculty. Leaders need to be calm and learn to delegate. Leaders must strive to create an environment that is supportive and inclusive to ensure wide participation and contribution. Interpersonal skills are necessary to ensure collaboration and working in teams. Leaders need to be able to communicate realistic expectations while being comfortable taking risks. They must be proactive while keeping focus on the greater good. It is important that they be detail-oriented, organized, and knowledgeable of finances. To be a good leader, they must build trust and show their team they care.

There was not consensus on the training needs for faculty but many of the themes echo what we see in responses from UC faculty. Some additional skills these leaders from professional societies and associations thought would be beneficial to faculty development included:

- knowledge of public policy
- facilitation training
- media interaction training
- how to create a healthy workplace climate

When asked what might motivate faculty to participate in training, themes echoed those of UC respondents:

- an exciting location
- knowing that participation in a professional society was valued
- ensuring training is offered when new roles are taken on
- a stipend or research funding
- relevance to the position
- personal development

Some of these societies and associations report that they have workshops for faculty related to career development in teaching, research, and mentorship. In addition, there are usually orientations available for people taking on new positions within these associations. What is interesting is that we see this in the university as well; that faculty have an opportunity to be oriented to an organization and provided with skills needed to be a successful academic, but that leadership training and training on how to manage and collaborate with people are not often provided.

Survey #2: Former Federal Agency Program Officers

We designed a separate survey (Appendix C) and asked federal program officers who manage federal research center grant competitions about the skills they value in research center directors when making award decisions. The findings from this survey were consistent with the findings outlined above. Program officers place high value on leadership skills and experiences when awarding research center grants. In addition, they highlight that their agencies do not offer formal leadership development training and that many faculty members learn leadership skills on the job. For a more detailed description of the findings, please refer to Appendix F.

Research: Review of Existing Programs

We found numerous examples of leadership development programs available to faculty on each UC campus and across the United States. Many of these programs are part of faculty leadership development and success programs located in central administrative units on university campuses, while other programs are offered by discipline-specific academic societies or professional organizations. Existing programs vary by content and target audience. For example, some programs are designed to assist entry-level faculty in acclimating to academia while other programs focus specifically on mid-career faculty wanting to take on administrative or other leadership roles. We also found a number of programs that are designed to assist women or underrepresented minorities in finding success in fields where they have been traditionally underrepresented.

The survey of existing programs provided information on what is available to UC faculty, where there are gaps in training, what kinds of incentives are used, and the various forms and approaches to leadership development. A summary overview of the existing leadership development programs within the University of California system, national programs in which UC faculty can participate, and programs at other universities that can serve as models for future UC programs can be found in Appendix G.

Faculty Leadership Development Programs at UC Locations

The University of California locations provide a diverse array of programs designed to develop faculty as leaders. However, we found inconsistency across the UC campuses regarding the types of development programs offered and the target audiences. It should be noted that the majority of the reviewed programs provide training on interpersonal skills such as communication, collaboration, and team building, while a minority of the noted programs address the more tactical and practical aspects of management, such as, budgeting, grant writing, human resources policies and processes, and other time consuming, yet important, management activities. Another commonality is that the majority of these programs are selective and time intensive so are not feasible for wide participation. We discovered very few “on demand” or “just in time” offerings that provided leadership or management skills development in close proximity to when a faculty member might identify a near-term need or desire for leadership development.

Faculty Leadership Development Programs Nationally

At a national level there is an abundance of faculty development programs, drawing on a wide array of sources and attempting to address a broad range of needs. Some programs originate on an individual university campus; some have been developed by university systems, consortiums, or collaborations; and others are offered by non-profit entities or governmental agencies. Areas of focus include finance and people management; time management; self-knowledge; research productivity enhancement; and academic administration. Target audiences vary from early-career faculty to tenured faculty, as well as academic administrators in departments, programs, research centers, and central campus administration. These programs are often highly selective, expensive and require a significant investment of time.

Appendix I includes descriptions of selected faculty leadership development programs within UC and nationally.

Faculty Identified Needs and Overlap with Existing Trainings

In our surveys, faculty identified several skills that are important to them as they progress through their career (see Appendix E for complete data). Responses indicate that some skills are essential throughout an academic career, such as conflict management, budgeting, managing and developing employees, and leading a team. Other skills were more important at certain levels/positions. For example, assistant professors identified grant proposal writing as an essential skill, whereas later career faculty did not, presumably since they had already acquired that skill. Associate professors were interested in learning advocacy, and academic leaders and research leaders both thought that understanding university funding models and fundraising/donor relations were crucial to their success.

Table 12 takes the data from Appendix E and highlights the top faculty-identified skills at several career levels. We also determined which of the identified skills were covered in either Lynda.com trainings or UC Learning Center offerings, which all faculty currently have access to. Most of the skills did have overlap with one or both Lynda.com and the UC Learning Center. But several gaps exist, specifically in university budgeting, managing grant funds, proposal writing, fundraising/donor relations, advocacy, and university funding models.

TABLE 12: GAP ANALYSIS - SKILLS NEEDED VERSUS TRAINING AVAILABLE

		Lynda.com	UC Learning Center
For All Faculty	Managing Conflict	•	•
	Leading a Team	•	•
	Human Resources Policies		•
	Employee Management	•	•
	Employee Development	•	•
	Budgeting	•	
Assistant Professors	Budgeting - Basic	•	
	Managing Grant Funds		
	Recruitment	•	•
	Proposal Writing	•	
	Written Communication	•	•
Associate Professors	Time Management	•	•
	Delegation and Setting Priorities	•	•
	Advocacy		
	Oral Presentations and Public Speaking	•	•
Academic Administration	Human Resources Policies - Advanced		•
	Employee Management - Advanced		•
	Employee Development Advanced		•
	Delegation and Setting Priorities	•	•
	University Funding Models		
	Fundraising/Donor Relations		
	Budgeting - Advanced		
	Organizing and Running a Meeting	•	•
Director of Research Center	Budgeting - Advanced		
	Managing Grant Funds - Advanced		
	University Funding Models		
	Fundraising/Donor Relations		
	Employee Management - Advanced		•
	Employee Development - Advanced		•
	Delegation and Setting Priorities	•	•
	Advocacy		
	Oral Presentations and Public Speaking	•	•

Findings and Recommendations

By analyzing results from faculty career trajectories, our surveys, and our research on existing programs, we find:

1. Faculty serve in multiple leadership roles, often concurrently, throughout their careers.
2. Faculty view leadership as a complex combination of people management, communication, vision, and subject matter knowledge, all of which faculty believe are required for success in leadership roles. Many faculty have learned these skills on the job and did not receive any training.
3. Faculty acknowledge they need job-related and leadership skills training; however, their stated desire to participate in such trainings is significantly lower than the stated need.
4. Federal program officers deem leadership skills and experience as important when making award decisions for large center grants.
5. Despite findings that leadership training exists, many faculty reported that little to no training is available.
 - Faculty may be unaware of existing programs, those programs might be over-subscribed or not available when needed/desired, or they may be under appreciated by their intended audience.
6. Faculty state they would participate in training if the following incentives were offered:
 - Time via course release or compensation via stipends or research funding;
 - Relevance to current or future roles; and/or
 - Opportunity to learn something new.

From these findings, our recommendations represent action items that will help catalyze a cultural shift towards integrated and valued faculty leadership training.

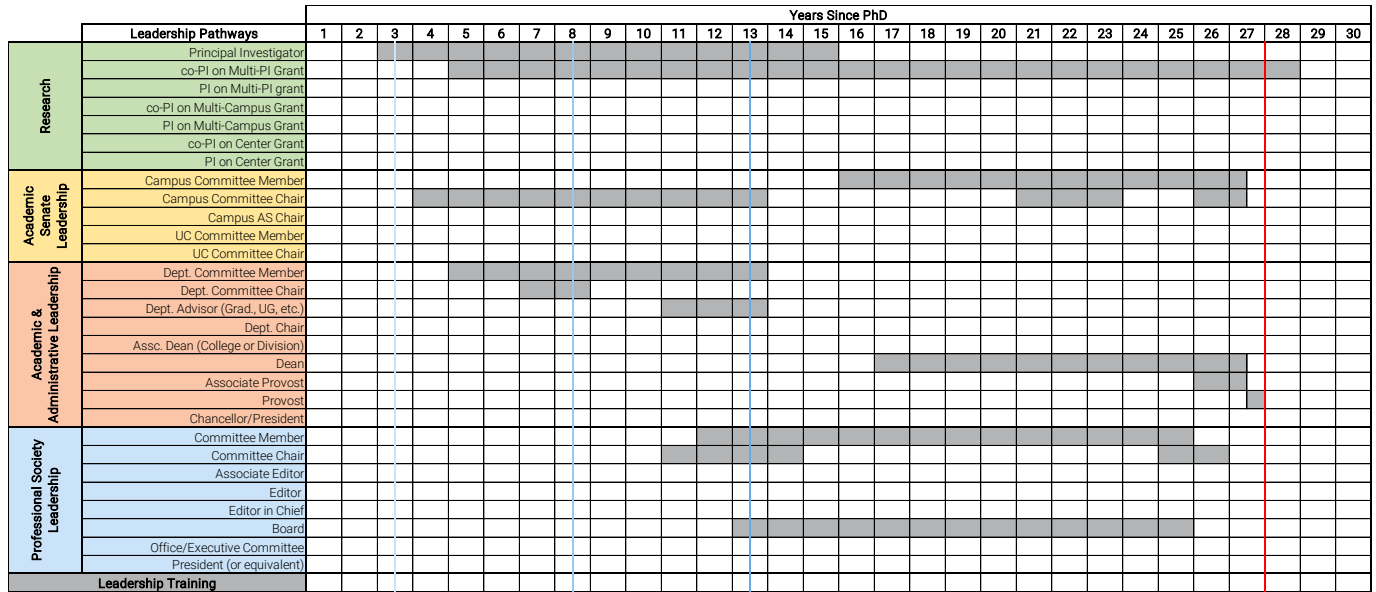
1. UC should ensure faculty understand the value of leadership skills for research and creative activities, academic and professional service, and administrative roles. This is especially important for new assistant professors for whom enhanced leadership capacities may yield higher productivity and higher likelihood of success in gaining tenure.
2. UC should enhance awareness of existing leadership skill development programs organized by individual campuses, the UC system, and external organizations in one central location so that it is accessible. Faculty can only participate in programs they are aware of. By providing information to faculty, the UC system and campuses will help faculty incorporate leadership development into their tenure timelines.
3. UC should review successful skill development programs already in use, and develop a model that can be shared systemwide. Once programs are developed, systemwide requirements should be in place to ensure faculty participation in these programs.
4. UC should make available the skills progression (see Appendix E) which outlines the reported skills necessary to be successful at each milestone in a faculty member's career.
5. UC administrators (e.g., Deans and Chairs) should individually identify faculty with leadership potential, recognize them personally for this potential, and specifically invite these faculty to participate in faculty leadership development programs.
6. When encouraging faculty to participate in leadership development programs, UC should provide testimonials from past participants that highlight the usefulness of these trainings.
7. Existing campus and systemwide leadership training programs should review faculty-identified skills gaps and incorporate or develop relevant modules to meet those identified needs. Specific topics include university budgeting, managing grant funds, grant proposal writing, fundraising/donor relations, advocacy, and university funding models.

8. Lynda.com and UC Learning Center (UCLC) courses that are already available should be promoted directly to UC faculty, perhaps by Academic Personnel on individual campuses. In addition, the UC Learning Center should be re-branded to make it more accessible to faculty, who may not realize the relevance of these trainings since UCLC is currently housed under Human Resources.
9. UC locations should ensure faculty have time to participate in these trainings whether through providing course release or other financial incentives.

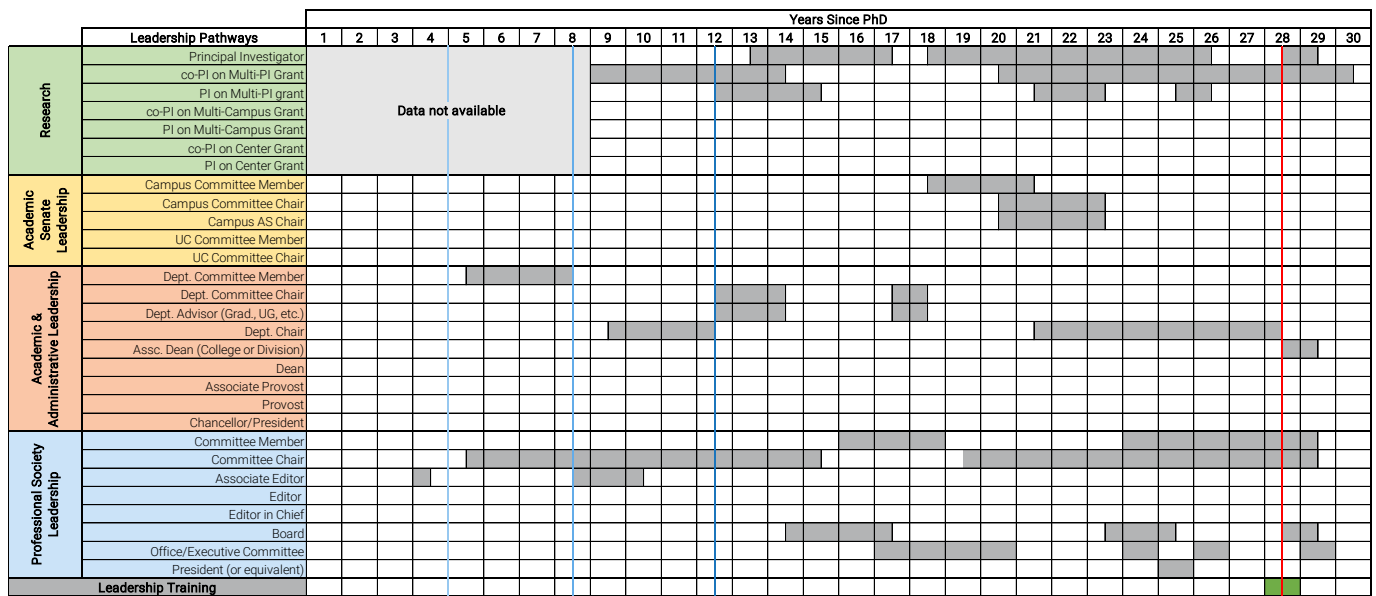
It is our intent that this report and our recommendations serve as actionable guidelines that will help the UC system better understand where and how it can develop a culture that prioritizes a more holistic view of faculty leadership training. By implementing these recommendations, the UC system will ensure it sustains a well-prepared faculty leadership pipeline that will further support the UC mission through teaching, research, and public service.

APPENDIX A – CASE STUDIES: FACULTY CAREER PATHWAYS

POSITION: UC PROVOST



POSITION: UC ASSOCIATE DEAN



APPENDIX B – UC-CORO SOUTHERN CALIFORNIA COHORT SURVEY #1: FACULTY, AND SOCIETY AND PROFESSIONAL ASSOCIATION LEADERS

SURVEY INTRODUCTION:

This survey is being conducted by the 2017 UC-CORO Southern California Cohort as part of a University of California systemwide leadership training program. We are collecting information from academic leaders to better understand the skill development and leadership training needs of faculty. This survey should take approximately 10-15 minutes to complete.

There are no anticipated risks to you if you participate in this study, beyond those encountered in everyday life. By completing this survey, you are helping us to better understand the needs of faculty so we can make recommendations for the development of tools to support faculty leadership development.

Taking part in this survey is completely voluntary. If you choose to answer this survey, you can stop and exit the survey at any time without consequences of any kind. Participating in this survey does not mean that you are giving up any of your legal rights.

The records of this survey will be kept confidential and only 2017 UC- CORO Southern Cohort members will have access to the data. Any report created from survey information will be presented in summary form and will not include your name or any other individual information by which you could be identified. Your name is not collected in this survey. The information obtained from this survey will be compiled into a report that is presented to UC senior leadership in early December. If you have questions or want a copy of our final report, contact Ian Foster at ian.foster@ucr.edu. This contact information will be supplied again at the end of the survey.

o By clicking this box, you consent to continue and participate in this survey.

Thank you for sharing your experience and insight with us by taking this 10 to 15 minute survey. The following questions relate to leadership and management within the various career pathways of a UC faculty member. By leadership we mean both academic activities (such as leading a research group, committee, department, or research center) and administrative positions (such as dean, provost, and chancellor). It also relates to leadership roles in the scholarly community outside the university, such as volunteer leadership for a professional association or scientific society.

QUESTIONS DISPLAYED FOR ALL PARTICIPANTS:

1.) At which UC location are you employed?

- Agriculture and Natural Resources
- Berkeley
- Davis
- Education Abroad Program
- Irvine
- Lawrence Berkeley National Laboratory
- Los Angeles
- Merced
- Office of the President
- Riverside
- San Diego
- San Francisco
- Santa Barbara
- Santa Cruz

2.) Please select your current faculty rank:

- Assistant Professor
- Associate Professor
- Professor or Full Professor
- Distinguished Professor
- Emeritus Professor

3.) Please select the description that best describes your current position at the university (check all that apply):

- Professor with teaching, service, and research responsibilities
- Department Chair or equivalent
- Associate Dean
- Associate Vice Provost
- Dean
- Vice Provost
- Provost
- Chancellor
- Director of a program
- Director of a research center
- Other (fill in) _____

4.) What is your discipline?

- Arts
- Business
- Education
- Engineering or Applied Science
- Humanities
- Natural Science or Math
- Public Policy
- Social Sciences
- Other: _____

5.) Optional: What is your gender?

- Male
- Female

6.) Optional: What is your Ethnicity (check all that apply):

- Asian
- Black or African American
- Hispanic or Latino
- Native American or Alaska Native
- Native Hawaiian or Other Pacific Islander
- White
- Other: _____

7.) What leadership roles have you had and what path did you take to get to those roles? (This could include being on the board of a scientific society, serving on advisory boards for federal/state funding agencies, running a campus center, being a department chair, etc.)

8.) What skills do successful academic leaders possess?

9.) Below is a list of training areas. Please identify which are needed to be successful in either academic or administrative leadership positions for faculty (e.g. center directors, department chairs, committee members, deans, etc.):

	Needed	Not Needed	Don't Know
Budgeting	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
University Funding Models	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Managing Grant Funds	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Managing Conflict	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Employee Management	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Recruitment	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Human Resources Policies	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Collaboration	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Employee Development	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Organizing and Running a Meeting	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Leading a team	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Time Management	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Delegation and Setting Priorities	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Critical Thinking	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Media Interaction	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Advocacy	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Oral Presentations and Public Speaking	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Written Communication	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Marketing	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Fundraising/Donor Relations	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Proposal Writing	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

(See Appendix D for skills definitions)

10.) What additional skills, not mentioned above, would be beneficial in the development of faculty leaders?

11.) For the same list of training areas, please indicate if you have received training or would participate in training if available:

	Received Training	Would Train	N/A
Budgeting	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
University Funding Models	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Managing Grant Funds	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Managing Conflict	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Employee Management	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Recruitment	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Human Resources Policies	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Collaboration	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Employee Development	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Organizing and Running a Meeting	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Leading a team	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Time Management	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Delegation and Setting Priorities	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Critical Thinking	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Media Interaction	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Advocacy	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Oral Presentations and Public Speaking	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Written Communication	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Marketing	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Fundraising/Donor Relations	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Proposal Writing	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

(See Appendix D for skills definitions)

12.) What would motivate and incentivize you to participate in training related to any of the skills you have identified as needed for faculty career success?

THE FOLLOWING WERE ONLY ASKED OF RESPONDENTS THAT SELECTED "PROFESSOR WITH TEACHING, SERVICE, AND RESEARCH RESPONSIBILITIES" AND/OR "OTHER (FILL IN)" IN QUESTION #3:

13.) What were the top leadership and/or management issues that you faced at the start of your career?

14.) What training, if any, is offered to new faculty members in your department, college, or university?

THE FOLLOWING WAS ONLY ASKED OF RESPONDENTS THAT SELECTED "PROFESSOR WITH TEACHING, SERVICE, AND RESEARCH RESPONSIBILITIES," "DEPARTMENT CHAIR" AND/OR "OTHER (FILL IN)" IN QUESTION #3:

15.) When faculty start as new employees in your department, what kinds of skills and knowledge do they often lack, that would benefit their future career as a faculty member and possible leader?

THE FOLLOWING WERE ONLY ASKED OF RESPONDENTS THAT SELECTED "DEPARTMENT CHAIR," "ASSOCIATE DEAN," "ASSOCIATE VICE PROVOST," "DEAN," "VICE PROVOST," "PROVOST," "CHANCELLOR," AND/OR "DIRECTOR OF A PROGRAM" IN QUESTION #3:

- 16.) What were the top leadership and/or management issues that you faced when starting new leadership roles?
- 17.) When you started your current position, what skills, knowledge, or training would have allowed for an easier transition?
- 18.) What training, if any, is offered to faculty taking new leadership roles in your department, college, or university?

THE FOLLOWING WAS ONLY ASKED OF RESPONDENTS THAT SELECTED "DEAN," "PROVOST," AND/OR "CHANCELLOR" IN QUESTION #3:

- 19.) When selecting your leadership team, what skills or competencies do you feel are required?

CONCLUSION MESSAGE:

Thank you for taking the time to complete this survey.

The information obtained from this survey will be compiled into a report that is presented to UC senior leadership in early December. If you are interested in receiving a copy of this report when it is finalized, please e-mail your request to ian.foster@ucr.edu.

APPENDIX C – UC-CORO SOUTHERN CALIFORNIA COHORT SURVEY #2: FORMER FEDERAL AGENCY PROGRAM OFFICERS

SURVEY INTRODUCTION:

This survey is being conducted by the 2017 UC-CORO Southern California Cohort as part of a University of California systemwide leadership training program. We are collecting information from academic leaders to better understand the skill development and leadership training needs of faculty. This survey should take approximately 10 to 15 minutes to complete.

There are no anticipated risks to you if you participate in this study, beyond those encountered in everyday life. By completing this survey you are helping us to better understand the needs of faculty so we can make recommendations for the development of tools to support faculty leadership development.

Taking part in this survey is completely voluntary. If you choose to answer this survey, you can stop and exit the survey at any time without consequences of any kind. Participating in this survey does not mean that you are giving up any of your legal rights.

The records of this survey will be kept confidential and only 2017 UC-CORO Southern Cohort members will have access to the data. Any report created from survey information will be presented in summary form and will not include your name or any other individual information by which you could be identified. Your name is not collected in this survey.

The information obtained from this survey will be compiled into a report that is presented to UC senior leadership in early December. If you have questions or want a copy of our final report, contact Ian Foster at ian.foster@ucr.edu. This contact information will be supplied again at the end of the survey.

- o By clicking this box, you consent to continue and participate in this survey.

Thank you for sharing your experience and insight on academic leadership skills with us by taking this 5 to 10 minute survey. The following questions relate to skills and experience that funding agencies prioritize in making awards for faculty-led research projects and centers.

QUESTIONS DISPLAYED FOR ALL PARTICIPANTS:

- 1.) What organization do you work for?
- 2.) What is your position at your organization?
- 3.) Optional: What is your gender?
 - o Male
 - o Female

4.) Optional: What is your Ethnicity (check all that apply):

- Asian
- Black or African American
- Hispanic or Latino
- Native American or Alaska Native
- Native Hawaiian or Other Pacific Islander
- White
- Other: _____

5.) What non-scientific leadership skills do you look for in a research center director?

6.) How important are these skills when making center award decisions? During re-competition?

7.) What do you think are best leadership practices for research center directors?

8.) How have you seen research center directors build and grow those leadership skills?

9.) Does your granting agency offer any leadership or skill development training for faculty interested in becoming research center directors or applying to create a new research center?

10.) What advice do you have for early-career and mid-career faculty who aspire to be research center directors?

CONCLUSION MESSAGE:

Thank you for taking the time to complete this survey.

The information obtained from this survey will be compiled into a report that is presented to UC senior leadership in early December. If you are interested in receiving a copy of this report when it is finalized, please e-mail your request to ian.foster@ucr.edu.

APPENDIX D – DEFINITIONS OF THE SKILLS MATRIX IN SURVEY #1 QUESTIONS 9 AND 11

Budgeting

Process of expressing quantified resource requirements (amount of capital, amount of material, number of people) into time-phased goals and milestones.

University Funding Models

The process in which the University allocates monetary resources to individual campus units. These models include contracts, grants, registration fees, and assessments.

Managing Grant Funds

Responsibility for all aspects of fund management related to external awards that support research and education activities.

Employee Management

Typical areas of focus include scheduling employees' work hours, planning work responsibilities and duties, working as a team, and tracking results of work efforts.

Recruitment

The process of finding and hiring the best-qualified candidate (from within or outside of an organization) for a job opening, in a timely and cost effective manner. The recruitment process includes analyzing the requirements of a job, attracting employees to that job, screening and selecting applicants, hiring, and integrating the new employee to the organization.

Human Resources Policies

Rules and regulations governing the actions surrounding employees. Knowing these policies are critical to effective management by supervisors.

Collaboration

Cooperative arrangement in which two or more parties (which may or may not have any previous relationship) work jointly towards a common goal. Effective method of transferring 'know how' among individuals, therefore critical to creating and sustaining a competitive advantage.

Conflict Management

Conflict management uses both assertiveness and cooperation to seek solutions advantageous to all parties. It succeeds usually where the participants' goals are compatible, and the interaction among them is important in attaining those goals.

Employee Development

Encouraging employees to acquire new or advanced skills, knowledge, and viewpoints, by providing learning and training facilities, and avenues where such new ideas can be applied.

Organizing and Running a Meeting

Ability to pull together a group of people to do something collectively that could not be done individually. Be able to define and plan items to accomplish a goal through a meeting agenda to coordinate how everyone in the meeting will work together to accomplish the goal, complete with the assignment of the individuals that will make specific contributions to each goal.

Leading a Team

A team is a small number of people with complementary skills who are committed to a common purpose, performance goals, and approach for which they hold themselves mutually accountable. Leading a team is about managing and developing others.

Time Management

Systematic, priority-based structuring of time allocation and distribution among competing demands.

Delegation and Setting Priorities

Delegation is where responsibility or authority for a task is assigned to someone else. It allows you to move from what you can do personally to what you can manage. Setting priorities is the ability to quantify the most important tasks to be done by making the most of your time.

Critical Thinking

Objective examination of assumptions underlying current beliefs to assess their correctness and legitimacy, and thus to validate or invalidate the beliefs.

Media Interaction

Interactions with representatives of print, television or social media as an expert in your field of research or as a representative of the university. Sharing information through a variety of media methods with particular attention to the audience and the message.

Advocacy

The act or process of supporting a particular cause or policy.

Oral Presentations and Public Speaking

Oral presentation and/or Public Speaking means delivering an address to a public audience. It is a brief discussion of a defined topic delivered to a public audience in order to impart knowledge or to stimulate discussion.

Written Communication

Written communication involves any type of interaction that makes use of the written word and is a key to any endeavor involving more than one person.

Marketing

The activity and processes for creating, communicating, delivering, and exchanging offerings that have value for customers, clients, partners, and society at large.

Fundraising/Donor Relations

Process of soliciting financial support (from individual donors, private foundations, and corporate foundations) for a noncommercial cause.

Proposal Writing

The process of applying for awards from internal UC units and external agencies to support the research and education activities of faculty. Developing a clear project concept and defined objectives, planning and organizing the actual proposal, ensuring proposal addresses sponsor's specific needs and requirements, drafting and editing the proposal, and managing the final submission.

APPENDIX E – FACULTY LEADERSHIP CAREER PATH: SKILLS PROGRESSION

The following is a representation of the leadership skills that are required to be a successful academic leader in the University of California (UC), as reported in a survey of UC faculty conducted by the 2017 UC-CORO Southern California Cohort. Skills indicated for each academic position were compiled from responses provided by faculty in each respective position, and were ranked based on the number of faculty which agreed that the skill in question is required to be a successful academic leader.

PROFESSOR POSITIONS

ASSISTANT PROFESSOR (24 responses)	ASSOCIATE PROFESSOR (7 responses)	FULL PROFESSOR (8 responses)
Budgeting (92%)	Advocacy (100%)	Managing Conflict (100%)
Leading a Team (92%)	Delegation and Setting Priorities (100%)	Advocacy (88%)
Proposal Writing (92%)	Employee Development (100%)	Budgeting (88%)
Recruitment (92%)	Employee Management (100%)	Critical Thinking (88%)
Managing Conflict (88%)	Leading a Team (100%)	Delegation and Setting Priorities (88%)
Managing Grant Funds (88%)	Managing Conflict (100%)	Employee Development (88%)
Written Communication (88%)	Oral Presentations and Public Speaking (100%)	Fundraising and Donor Relations (88%)
Delegation and Setting Priorities (83%)	Time Management (100%)	Leading a Team (88%)
Organizing and Running a Meeting (83%)	Budgeting (86%)	Oral Presentations and Public Speaking (88%)
Employee Management (79%)	Collaboration (86%)	Organizing and Running a Meeting (88%)
Oral Presentations and Public Speaking (79%)	Human Resources Policies (86%)	Recruitment (88%)
University Funding Models (79%)	Managing Grant Funds (86%)	Collaboration (75%)
Collaboration (75%)	Organizing and Running a Meeting (86%)	Employee Management (75%)
Time Management (75%)	Recruitment (86%)	Managing Grant Funds (75%)
Media Interaction (71%)	Written Communication (86%)	Time Management (75%)
Fundraising and Donor Relations (67%)	Critical Thinking (71%)	Written Communication (75%)
Critical Thinking (63%)	Fundraising and Donor Relations (71%)	Human Resources Policies (63%)
Employee Development (63%)	Marketing (71%)	Media Interaction (63%)
Human Resources Policies (50%)	Media Interaction (71%)	Proposal Writing (63%)
Marketing (50%)	Proposal Writing (71%)	University Funding Models (63%)
Advocacy (46%)	University Funding Models (57%)	Marketing (50%)

RESEARCH POSITIONS

ACADEMIC SENATE CHAIR (4 responses)	DIRECTOR OF A PROGRAM (4 responses)	DIRECTOR OF A RESEARCH CENTER (4 responses)
Budgeting (100%)	Managing Conflict (100%)	Managing Conflict (100%)
Managing Conflict (100%)	Organizing and Running a Meeting (100%)	Advocacy (75%)
Delegation and Setting Priorities (75%)	University Funding Models (100%)	Budgeting (75%)
Employee Management (75%)	Budgeting (75%)	Delegation and Setting Priorities (75%)
Fundraising and Donor Relations (75%)	Collaboration (75%)	Employee Development (75%)
Human Resources Policies (75%)	Critical Thinking (75%)	Employee Management (75%)
Leading a Team (75%)	Delegation and Setting Priorities (75%)	Fundraising and Donor Relations (75%)
Organizing and Running a Meeting (75%)	Employee Development (75%)	Managing Grant Funds (75%)
Recruitment (75%)	Fundraising and Donor Relations (75%)	Oral Presentations and Public Speaking (75%)
Advocacy (50%)	Leading a Team (75%)	University Funding Models (75%)
Collaboration (50%)	Media Interaction (75%)	Collaboration (50%)
Critical Thinking (50%)	Oral Presentations and Public Speaking (75%)	Human Resources Policies (50%)
Employee Development (50%)	Proposal Writing (75%)	Leading a Team (50%)
Managing Grant Funds (50%)	Time Management (75%)	Marketing (50%)
Media Interaction (50%)	Written Communication (75%)	Media Interaction (50%)
Oral Presentations and Public Speaking (50%)	Advocacy (50%)	Organizing and Running a Meeting (50%)
Proposal Writing (50%)	Employee Management (50%)	Proposal Writing (50%)
Time Management (50%)	Human Resources Policies (50%)	Recruitment (50%)
University Funding Models (50%)	Managing Grant Funds (50%)	Written Communication (50%)
Written Communication (50%)	Marketing (50%)	Critical Thinking (25%)
Marketing (25%)	Recruitment (50%)	Time Management (25%)

ACADEMIC ADMINISTRATION POSITIONS

DEPARTMENT CHAIR/VICE CHAIR (24 responses)	DEAN/ASSOCIATE DEAN (16 responses)	PROVOST/VICE PROVOST (4 responses)
Managing Conflict (92%)	Budgeting (100%)	Budgeting (100%)
Employee Management (88%)	Managing Conflict (100%)	Delegation and Setting Priorities (100%)
Delegation and Setting Priorities (83%)	University Funding Models (94%)	Employee Management (100%)
Fundraising and Donor Relations (79%)	Collaboration (88%)	Leading a Team (100%)
University Funding Models (79%)	Delegation and Setting Priorities (88%)	Managing Conflict (100%)
Budgeting (75%)	Employee Management (88%)	Oral Presentations and Public Speaking (100%)
Employee Development (75%)	Fundraising and Donor Relations (88%)	Organizing and Running a Meeting (100%)
Human Resources Policies (75%)	Media Interaction (88%)	Recruitment (100%)
Organizing and Running a Meeting (75%)	Recruitment (88%)	Time Management (100%)
Advocacy (71%)	Advocacy (81%)	University Funding Models (100%)
Collaboration (71%)	Employee Development (81%)	Employee Development (75%)
Leading a Team (71%)	Human Resources Policies (81%)	Fundraising and Donor Relations (75%)
Recruitment (71%)	Leading a Team (81%)	Human Resources Policies (75%)
Time Management (71%)	Organizing and Running a Meeting (75%)	Advocacy (67%)
Written Communication (67%)	Oral Presentations and Public Speaking (69%)	Collaboration (67%)
Oral Presentations and Public Speaking (63%)	Written Communication (69%)	Critical Thinking (67%)
Proposal Writing (63%)	Managing Grant Funds (63%)	Managing Grant Funds (50%)
Critical Thinking (58%)	Time Management (63%)	Media Interaction (50%)
Media Interaction (58%)	Critical Thinking (56%)	Written Communication (50%)
Managing Grant Funds (54%)	Marketing (56%)	Proposal Writing (25%)
Marketing (50%)	Proposal Writing (50%)	Marketing (0%)

APPENDIX F – SURVEY #2 RESULTS: FORMER FEDERAL AGENCY PROGRAM OFFICERS

Faculty and university administrators are eager to understand the competitive grants process at various federal and state agencies and ways in which they can improve their competitive advantage. In light of this, our project explored ways in which leadership skills influence the awarding of large center grants at federal granting agencies. We designed a separate survey that targeted current federal program officers who manage large research center grant competitions. However, all current program officers declined to participate in the survey because they said it would provide UC with an unfair advantage. Therefore, we interviewed former program officers who previously managed large center grant competitions or who were involved in awarding these grants, but who now are employed across the UC system. Of the 30 individuals asked to participate, 5 agreed to an interview for a response rate of 16.7%. All five respondents were male, one was white, one was black or African American, and the other three declined to state. While the survey sample was not large enough to draw meaningful conclusions, we did find a few common themes of note.

We asked what non-scientific leadership skills granting agencies look for in a center director. Our respondents identified skills in people management and collaboration, research and technical skills, transparency, communication, conflict management, integrity and ethics, fiscal responsibility, and other administrative skills (budgeting, time management, employee management). These are similar to the skills faculty identified in successful leaders. They also are consistent with the training needs identified by faculty. Perhaps more importantly, these former program officers report that the above skills are very, extremely, or critically important in making award decisions.

When asked about good leadership practices of center directors, the former program officers identified wide consultation, collaboration, listening, and communication. They also emphasized relationship building and trust as key elements. To be successful, they stated that a center director should have a long-term vision, unite their team around that vision, and plan for the future of the center once they leave or retire. We asked how faculty learn these skills; unfortunately, the former program officers' answers were consistent with the sentiment among UC faculty - these skills have to be learned on the job. In fact, none of these organizations offer leadership or skill development training for faculty wanting to pursue a research center.

Finally, we asked these former program officers what advice they have for faculty aspiring to be center directors. They focused on the importance of building a sound research program and developing skills in people and financial management. In addition, they suggested connecting with current research centers, research center directors, and leaders faculty admire to network and to learn from their successes. They urged faculty to listen to others who tell them they have good leadership qualities.

APPENDIX G – EXISTING PROGRAMS – RESEARCH OVERVIEW: UC LEADERSHIP TRAINING PROGRAMS AND RESOURCES

NAME OF PROGRAM	PROGRAM FOCUS	TARGET AUDIENCE	LENGTH/TIME	UC LOCATION	WEB LINK
Faculty Leadership Academy	Builds on existing skills to support work at UC Davis and provides opportunity for shared experiences, perspectives and to build professional relationships with peers	<ul style="list-style-type: none"> ➤ Tenured Faculty ➤ Department Chairs 	6 months (Six 5-hour sessions)	Davis	http://academicaffairs.ucdavis.edu/training-and-development/leadership/index.html
Associate Professor Bag Lunch Series & Forum	Covers issues identified by UC Davis associate professors and includes info/strategies for progress toward full professor	➤ Associate Professors	Monthly	Davis	http://academicaffairs.ucdavis.edu/training-and-development/associate-prof-workshops-and-bl-series/index.cfm
Department Chair Bag Lunch Series	Covers relevant issues intended to support chairs in their roles as leaders	➤ Department Chairs	Every other Month	Davis	http://academicaffairs.ucdavis.edu/training-and-development/chair-workshop-and-bl-series/index.cfm
New Faculty Bag Lunch Series	Orients new faculty to UC Davis campus life and culture, and provides assistance in their professional development	➤ new faculty (within three years of hire)	Every other month	Davis	http://academicaffairs.ucdavis.edu/training-and-development/new-fac-workshop-and-bl-series/index.cfm
National Center for Faculty Development and Diversity Faculty Success Program	Through empirically-tested methods, provides coaching, peer support, and online tools to help academics thrive in their careers and achieve work-life balance	➤ Academic Senate faculty	12 weeks	Davis	DV: http://academicaffairs.ucdavis.edu/training-and-development/ncfdd/index.html NCFDD: https://www.facultydiversity.org/fsp-bootcamp
National Center for Faculty Development and Diversity Faculty Success Program	Through empirically-tested methods, provides coaching, peer support, and online tools to help academics thrive in their careers and achieve work-life balance <i>*IR: UCI Vice Provost of Inclusive Excellence offers a \$1000 grant to Assistant & newly tenured associate professors</i>	➤ Academic Senate faculty, but	12 weeks	Irvine	IR: https://provost.uci.edu/programs%20and%20initiatives/leadership-academy.html NCFDD: https://www.facultydiversity.org/fsp-bootcamp

NAME OF PROGRAM	PROGRAM FOCUS	TARGET AUDIENCE	LENGTH/TIME COMMITMENT	UC LOCATION	WEB LINK
National Center for Faculty Development and Diversity Faculty Success Program	Through empirically-tested methods, provides coaching, peer support, and online tools to help academics thrive in their careers and achieve work-life balance <i>*UCSD Center for Faculty Diversity and Inclusion offers an award to cover tuition fees for this program</i>	➤ Academic Senate faculty and non-senate instructional faculty who are primarily involved in scholarly research	12 weeks	San Diego	SD: http://facultydiversity.ucsd.edu/development/index.html#NCFDD-Faculty-Success-Program-NCFDD : https://www.facultydiversity.org/fsp-bootcamp
Provost Leadership Academy	Provides strategies for leadership and skills development for successful leadership in academia	➤ Faculty who show promise as future leaders	6 months (one 1-day plus six 2-hr sessions)	Irvine	https://provost.uci.edu/programs%20and%20initiatives/leadership-academy.html
Chair Workshop & Meeting	Provides a forum for department chairs to discuss relevant topics and develop campus network with peers	➤ Department Chairs	Quarterly Meetings	Irvine	http://ap.uci.edu (search for Chair Meeting)
UCLA Banco Santander W30 Program	Career and psychological support for women seeking to advance in higher education administration; provides tools, training and knowledge to expand their leadership capabilities and hone their personal leadership styles	➤ Female faculty with administrative responsibilities ➤ Women working in academic administration at the director level	3 days	Los Angeles	http://www.anderson.ucla.edu/executive-education/santanderw30
Provost Faculty Leadership Program	Explores leadership principles and applies them to challenges in Higher Ed and at UCR	➤ Current faculty administrators ➤ Emerging faculty leaders	8 months (2-5 hrs/month)	Riverside	https://provost.ucr.edu/leadership/leadership.html
Associate Professor Leadership Development Program	Empowering Associate Professors by providing the skills, knowledge, and resources necessary to effectively and confidently fulfill their many roles and responsibilities as leaders, teachers, mentors, advisors, colleagues, and supervisors	➤ Newly tenured Associate Professors	6 months (two 1-hour meetings and 9 half-day sessions)	San Diego	https://academicaffairs.ucsd.edu/aps/advance-train/APLDP.html#Participation-Requirements
Associate Professor Leadership Development Program	Empowering Associate Professors by providing the skills, knowledge, and resources necessary to effectively and confidently fulfill their many roles and responsibilities as leaders, teachers, mentors, advisors, colleagues, and supervisors	➤ Newly tenured Associate Professors	6 months (two 1-hour meetings and 9 half-day sessions)	San Diego	https://academicaffairs.ucsd.edu/aps/advance-train/APLDP.html#Participation-Requirements
Faculty Leadership Collaborative	Leadership training for faculty to catalyze individual and collective changes to benefit the broader UCSF community	➤ Salaried faculty appointed at least 50% and have been in UCSF faculty position for more than 4 years	6 months (10 sessions/75 hours program time plus 2 hours outside work per session)	San Francisco	http://academicaffairs.ucsf.edu/resources/leaders.php
Alan Alda Center for Communicating Science	Provides training in science communication	➤ All levels of faculty		Santa Barbara	http://www.centerforcommunicatingscience.org
Leadership Academy	Broadens understanding of campus operations and helps hone leadership skills and abilities	➤ Staff ➤ Senate Faculty ➤ Continuing Lecturers	3 months (2-3 hour/month)	Santa Cruz	https://academicaffairs.ucsc.edu/leadership-academy/index.html

APPENDIX H – EXISTING PROGRAMS - RESEARCH OVERVIEW: NON-UC SAMPLE LEADERSHIP TRAINING PROGRAMS AND RESOURCES

NAME OF PROGRAM	PROGRAM FOCUS	TARGET AUDIENCE	LENGTH/TIME COMMITMENT	UC LOCATION	WEB LINK
Academic Leadership Forum	Contemporary issues in higher education and at Penn State	<ul style="list-style-type: none"> ➤ Deans ➤ Dept. chairs ➤ Directors 	Half-day sessions annually	Penn State	http://vpfa.psu.edu/academic-leadership-forums/
Academic Leadership Seminar Series	Budgeting; promotion; and academic administration	<ul style="list-style-type: none"> ➤ New and experienced academic officers 	Bi-weekly sessions (approx. 2 hour sessions)	Univ. of Illinois	http://provost.illinois.edu/academic-leadership-seminar-series/
American Council on Education	Leadership development for presidents and senior administrators; rising administrators; and diversity and inclusion	<ul style="list-style-type: none"> ➤ All levels of faculty 	Varies by program	Washington, D.C.	http://www.acnetedu/leadership/programs/Pages/ACE-Fellows-Program.aspx
Big 10 Academic Alliance: Academic Leadership Program	Professional development and academic leadership in high-performing research universities focusing on management and leadership skills	<ul style="list-style-type: none"> ➤ Faculty and executive level staff who have demonstrated exceptional ability and academic promise 	3 seminars each 3 days long plus on campus activities	HQ: Illinois	https://www.btaa.org/leadership/alp/introduction
Carnegie Mellon University	Advancement; academic leadership paths; negotiation skills; strategy planning and execution; and, academic financial structure. Includes external resources available to CMU faculty in College of Engineering	<ul style="list-style-type: none"> ➤ Mid-career faculty interested in professional development and leadership in academia 	Varies	Carnegie Mellon Univ.	http://www.cit.cmu.edu/faculty-staff/professional-development/center-faculty-success/faculty-development.html
ELATE- Executive Leadership in Academic Technology and Engineering	Strategic finance and resource management; personal and professional leadership effectiveness; organizational dynamics; and communities of leadership practice	<ul style="list-style-type: none"> ➤ Full-time women faculty at the rank of associate professor or above at an accredited university ➤ Should have some administrative experience 	1 year, part-time	Drexel Univ.	http://drexel.edu/provost/initiatives/elate/
HERS (Higher Education Resource Services)	Developing a leadership model; self-knowledge; networking; and institutional awareness	<ul style="list-style-type: none"> ➤ Mid-career and senior women 	2 week intensive or 4 3-day sessions	Univ. of Denver	https://hersnet.org/
Howard Hughes Medical Institute Making the Right Moves	Based on workshops cosponsored by the Burroughs Welcome Fund and HHMI, this book is a collection of practical advice and experiences from seasoned biomedical investigators and includes chapters on laboratory leadership, getting funded, project management, and teaching and course design	<ul style="list-style-type: none"> ➤ Early career faculty 	Free book resource	Howard Hughes Medical Institute, Maryland	http://hhmi.org/developing-scientists/making-right-moves

NAME OF PROGRAM	PROGRAM FOCUS	TARGET AUDIENCE	LENGTH/TIME COMMITMENT	UC LOCATION	WEB LINK
Leadership Development Program in Higher Education (LDPHE)	Designed to enhance the professional development of Asian and Pacific Islanders working in higher education and to prepare college and university administrators, faculty and staff	➤ Asian and Pacific Islanders (API's) working in higher education	Four day intensive	Los Angeles, CA	http://www.leap.prg/dev/elop_ldphe
Leadership Education for Advancement and Promotion (LEAP)	Skills development-based workshops	➤ Tenure-line faculty at all stages of their careers	Two days	Colorado Univ., Boulder	http://www.colorado.edu/leap/
National Center for Faculty Development and Diversity (NCFDD)	Enhanced research productivity and time management	➤ Tenure-track and tenured faculty from member institutions	Quarter-long with weekly training	Univ. of Michigan	http://facultydiversity.org
New Administrator Orientation	Toolkits for onboarding; orientation; professional development; university policies; supervising staff; etc.	➤ New executive managers, deans ➤ Assoc./Asst. Deans ➤ Dept. chairs, directors	Three half-day mandatory sessions	Michigan State Univ.	http://fod.msu.edu/orientation-new-administrators
National Science Foundation ADVANCE Programs	Increase the participation and advancement of women in academic STEM careers. Focuses on institutional transformation, adaptation and partnership. Funding based on institution proposal	➤ Women in academic science and engineering	Will vary based on funded proposal	National Science Foundation	https://www.nsf.gov/funding/pgm_summ.jsp?pi_ms_id=5383
Rutgers Leadership Academy (RLA)	Development of cross-cutting leadership concepts, competencies and tools to enhance professional capabilities	➤ Mid-career faculty and staff	Two years	Rutgers Univ.	http://odl.rutgers.edu/leadership-programs/
University of North Carolina, Chapel Hill	Leadership fundamentals; faculty administrator development; leadership advanced; chair leadership skills focus	➤ Mid-career faculty ➤ Early career faculty ➤ Experienced leaders	Varies based on program	University of North Carolina Chapel Hill	http://cfe.unc.edu/leadership/
University of Michigan LIFT: Leadership and Integration at Faculty Transitions	Leadership development and transition management that enable and inform their contributions as leaders in departments, disciplines, and other institutional structures	➤ Newly tenured or full professors	Two half-day seminars	Univ. of Michigan	http://advance.umich.edu/lift.php
University of Pittsburgh Faculty Leadership Academy	Program designed to cultivate a generation of transformative academic leaders through shared leadership training	➤ Mid-career and senior faculty	Year-long	Univ. of Pitt	http://www.oacd.health.pitt.edu/taxonomy/term/88

APPENDIX I – SELECTED FACULTY LEADERSHIP PROGRAM SUMMARIES

Examples of Formal UC Programs

UCSF has the UCSF-CORO Faculty Leadership Collaborative, a six-month leadership training program. Its intended audience is self-motivated faculty who desire to contribute meaningfully to the campus and who have demonstrated evidence of leadership potential. Participants are carefully selected to represent a diverse microcosm of the UCSF community in terms of professional status, experience, departments, disciplines, academic series and rank. The goals of the program are to increase participants' self-knowledge, awareness, and connections to the UCSF community. This training emphasizes culturally competent, collaborative and results-oriented leadership skills based on the conviction that individuals, provided with a broad array of tools, methodologies and experiences, create systemic change. This process begins when individuals change their own behaviors as a result of their Faculty Collaborative experience. Participants learn tools that can be applied to real life challenges within the UCSF community. Competencies to be explored and developed include: Critical inquiry in the UCSF community context; Working with different group decision-making models; Planning for and creating community change; Activating team performance; and, Communication: active listening/effective speaking. Learning takes place through interactive seminars where participants: Leverage understanding to improve governance and affect decision-making; Develop the confidence to take more risks with creative leadership; and, Create a support network and collaborations with other emerging leaders in the UCSF community. Many UCSF faculty participants have reported that as a result of their participation in the Collaborative, they met and formed relationships with colleagues whom they would never have otherwise met, learned skills which they could immediately apply in their work life, and gained greater wisdom in their own leadership abilities.

At UC Davis, Academic Affairs runs a Faculty Leadership Academy with six three-hour sessions. The intended audience is tenured faculty and department chairs. The goal is to enhance leadership skills for tenured faculty and at the department chair level by building on existing skills that support UC Davis in moving in new and even more productive directions. The Faculty Leadership Academy combines didactic and case study strategies to connect broad concepts to specific behaviors in a six-session format over a three-month period. The session topics are: Role of the Faculty Administrator/Manager; Understanding and Being Understood; Dealing with Difficult People; Slightings that Slam; Leadership Styles; and, Turning Things Around. The style and pace allow for application of new concepts and skills on the job, followed by feedback during sessions exploring what worked and what didn't—and why. Tenured faculty and department chairs share experiences and perspectives and build professional relationships with peers. In many cases, alumni of the program have continued to foster those relationships through alumni meetings after the program.

Academic Affairs at UC Santa Cruz offers a Leadership Academy. Its intended audience includes all faculty, staff in specified job levels, and continuing lecturers if space permits. Its purpose is to build a diverse pool of academic and staff employees with the knowledge and skills to succeed in leadership roles at UCSC. The Leadership Academy holds ten sessions over a three-month period. Topics include: Introduction and Academic Horizons (3.5 hours); Diversity (3.5 hours); Leadership Skill-Building including

360° Assessment (8.25 hours); Collaborative Negotiation Skill-Building (8 hours); The Art of Adaptive Leadership (6 hours); Conflict Resolution (3.5 hours); Academic Senate (2.5 hours); Leading at UCSC (two 3.5 hours sessions); and, graduation (2.5 hours). Each sessions highlights specific issues and challenges faced by UCSC leaders. Through presentation, discussion, and experiential learning, participants broaden their understanding of how UCSC operates and hone their leadership skills and abilities.

UC Irvine has the Provost's Leadership Academy, which is designed for mid-career faculty who show promise as future leaders in positions including department chair, research center director, associate deans, deans, and vice provosts. Potential faculty participants are nominated by their deans. This program is developed to help educate and equip future leaders who can be knowledgeable about significant changes in academia with respect to funding, accountability, and perceived relevance. Faculty participants are divided into three learning cohorts with senior academic leaders serving as their learning facilitators to work on a topic of campus-wide interest that involves the practice of leadership. The program is led by Prof. Alan Policano (Prof. Management) using his book, *From Ivory Tower to Glass House*. It consists of one full day and six two-hour sessions. Each session includes leadership development activities and time to collaborate on small group projects. Sessions focus on leadership characteristics/strategies ranging from personal reflections to broader leadership context at different levels with the academy, and topics in HR strategy, affecting change, pursuing the next level of leadership, financial strategy, external relations, and development. The program's goals include helping individual participants learn about themselves as leaders, identify concerns and challenges associated with a leadership role, consider whether a leadership role is a realistic personal career path, and identify a mentor to advise on their personal leadership path. The program also allows campus leaders to identify potential faculty who have an interest in leadership positions and who work together to develop solution for campus challenges.

UC Riverside implemented the Provost Faculty Leadership Program in academic year 2016/17. The intended audience is faculty who want to become more effective leaders in a variety of roles: professional societies, research centers, departments, and large grant proposals. This 8-month program provides a conceptual framework on leadership to a small cohort of faculty members. The expected time commitment is 2-5 hours per month. The program is designed for both current administrators and for emerging leaders who want to become more effective leaders even in informal roles. The Provost Faculty Leadership Program hosts monthly breakfast seminars in which participants will engage with senior campus leaders including the Chancellor, Provost, Deans, and leaders of the Academic Senate. These individuals facilitate discussions of topics such as: leadership perspectives and theories, pathways to leadership, team building and development, planning, shared governance and consensus building, conflict management, and, Institutional Strategy.

A number of campuses offer programs focused on specific faculty subsets. UCLA's leadership program, offered by the Anderson School of Management, focuses on women faculty and staff. The three-day program supports the development of the next generation of women leaders in higher education administration. Participants are expected to already have a track record of leadership demonstrated by professional, volunteer, and other activities, as well as through their university employment. UC San

Diego's leadership program seeks to empower Associate Professors by providing them the skills, knowledge, and resources necessary to effectively and confidently fulfill their many roles and responsibilities beyond performing research - as leaders, teachers, mentors, advisors, colleagues, supervisors, and more.

Examples of Informal UC Programs

UC Davis' Academic Affairs Office offers a Bag Lunch Series, specifically designed for Associate Professors. This is to provide an opportunity for Associate Professors to exchange ideas and learn about the merit and promotion process, faculty work-life program and benefits, and service requirements and considerations. Attendance is voluntary and designed to offer topical discussions to interested faculty. The Series covers topics identified by Academic Affairs and faculty, including information and strategies for progressing to full professor, sabbaticals, services (how much is too much), and how to address issues to related the classroom and teaching. In addition, UC Davis' Academic Affairs Office also provides a bag lunch lecture series for new faculty (within three years of hire) to orient them to the UC Davis campus life and culture as well as providing assistance in their professional development. Topics may include orientation to the Office of Research, grantsmanship, and preparing a faculty dossier. UC Santa Barbara offers targeted training on grant writing to their assistant professors to improve successful grant proposal rates. Berkeley, Davis, Irvine, Riverside, Santa Cruz and ANR all provide training specifically for new department chairs and unit leaders. Merced, ANR and Santa Barbara currently do not have on-campus faculty leadership training programs.

Examples of Other Leadership Development Programs

The Faculty Success Program, a development training/success program offered by the National Center for Faculty Development and Diversity, is a virtual "boot camp" in which faculty set achievable personal and professional goals and develop a realistic plan to meet them. The program requires participants to develop a sustainable daily writing routine and a publication profile that exceeds their campus's promotional criteria; align their time management with institutional/personal values; and, develop strategies to get tenure, while taking care of their physical/emotional health and maintaining a healthy work-life balance. Both UC Irvine and UC San Diego provide partial funding for tenure-track faculty to participate in this program.

Our research shows that many of the programs at universities targeting early-career assistant professors tend to focus on building community; identifying practical and creative ways to integrate research, teaching, and service; developing leadership skills; and, developing a habit of reflection. Some of the topics also include building successful careers, such as teaching, grant-writing, lab and project management, negotiation, and communication skills. Surveys of participants in these programs show that they attribute their later success, including achieving tenure, to their participation in these programs.

Our research also identified numerous programs designed to assist women and underrepresented minorities in achieving success in areas where they have not traditionally been successful. One such program is Executive Leadership in Academic Technology and Engineering (ELATE). This program is a

nationwide program organized by Drexel University which aims to increase the number and impact of senior women in science, technology, engineering and mathematics related fields.

The need to develop faculty leaders from within has been recognized for decades as a desired pathway for many universities to identify their next generation of university presidents, provosts, department chairs, center directors, and fill critical leadership roles. An example of a successful, multi-university program is the Big 10 Academic Alliance: Academic Leadership Program (ALP). The ALP started in 1989 and has over 1,500 Fellows, many of which have gone on to serve with distinction in numerous academic leadership roles. The ALP is designed to deliver an intensive leadership and management skills experience to faculty who have demonstrated exceptional ability and academic promise.

In addition, our research identified the American Council on Education (ACE) as having developed a series of highly recognized and respected programs that allow participants to focus on strategic issues facing higher education institutions across the U.S. ACE Leadership programs and services are developed to support university presidents and other senior leaders, strengthen the skills of rising administrators, and foster greater diversity and inclusion, particularly within the senior leadership ranks.

UNIVERSITY
OF
CALIFORNIA

