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PRESIDENTIAL SELECTION PROCEDURES IN HIGHER EDUCATION:
CASE STUDIES

A Dissertation Presented

By

CAROL SMITH TAYLOR

Submitted to the Graduate School of the
University of Massachusetts in partial fulfillment
of the requirements for the degree of

Doctor of Education

May 1987

School of Education

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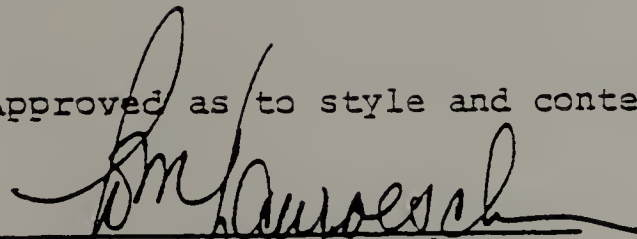
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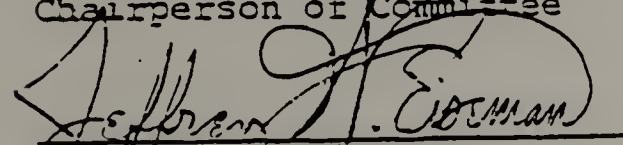
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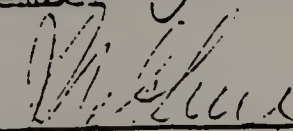
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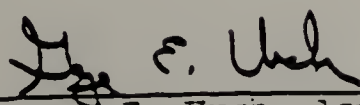
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To Todd, Ginger, Scott, and my mother
For their patience, encouragement and love

To Bill Lauroesch

A special note of gratitude and appreciation for his thoughtful
guidance and understanding. He is a supreme educator who will
continue to be close to my heart.

To Jeff Eiseman

For his expertise and commitment to excellence.

To Jean McGuire

For her encouragement, suggestions, and support.

PREFACE

Monroe and Englehard (1936) suggested that difficulties encountered during the course of practical activities are a plentiful source of problems. Immersion in the search and selection process as an organizer, planner, problem solver, and decision maker heightened an interest and commitment to learn more about the selection of college presidents. "A person who pursues problems of genuine importance to his personal growth releases a lot of energy for doing tasks which would otherwise seem heavy and hopeless" (Mooney, 1957).

Of interest to the researcher have been the factors, conditions and events leading to the identification of institutional needs and selection criteria in the search for a new president, identification of institutional needs and selection criteria and the patterns of influence in that process, and the extent of influence of institutional needs and selection criteria in the selection of the president. The researcher recognizes that the area of specialization should be of interest not only to the researcher, but to a significant segment of an educational field. Sox (1968) indicated that the criterion of interest is not sufficient reason for selecting a research problem to investigate. The higher education

literature indicates that there is a growing interest in the problem. The researcher is hopeful that the findings of this investigation will have relevance for small independent colleges faced with the challenge of selecting a new president.

ABSTRACT

PRESIDENTIAL SELECTION IN HIGHER EDUCATION: CASE STUDIES

May 1987

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Directed by Dr. William Lauroesch

The literature that prescribes the presidential search and selection process in higher education emphasizes a rational sequence of consultations to reach consensus on institutional needs, derivation of a profile of the kind of leadership that will best serve the needs of the institution, and a search process that identifies the candidate who most closely resembles that profile. The researcher has identified three small independent colleges and two universities that claim the match between leader and need central to recently completed searches. The researcher retraced the steps taken by these colleges and universities to gain insights that will inform subsequent studies leading to generalizations about the process. The researcher was guided by three research questions:

1. What factors, conditions, and events led to the identification of institutional needs and selection

criteria in the search for a new president?

2. What were the patterns of influence in the identification of institutional needs and selection criteria in the search for a new president?

3. To what extent did the identification of institutional needs and selection criteria influence the selection of the president?

The researcher has employed a descriptive research technique, the case study. Using ten primary subjects--chairpersons and secretaries of selection committees at the five institutions--the researcher studied the factors, conditions, and events leading to identification of institutional needs and selection criteria, the patterns of influence in these processes, and the extent to which this information influences the selection of the president. The major sources of data were on-site visitations, structured interviews, and college documents and correspondence.

The most significant finding of the study was that influence on the selection of a president derived not from the substance of institutional needs identification and derivation of selection criteria, but from the process, which afforded opportunity for constituencies to participate and acquire a degree of "ownership" of the presidential selection and provided an environment for team building among selection committee members.

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CHAPTER I

THE PROBLEM

Introduction to the Problem Area

Many changes have taken place in the college presidency since the election of Henry Dunster as President of Harvard College in 1640. From the early role of teacher, role model, and part-time administrator has evolved the contemporary president who must manage and lead multifaceted institutions.

The capacity to lead, coupled with effective management, became important during the 1960's when leadership required by college presidents became complicated by the extraordinary growth of higher education, collective bargaining, the increasing involvement of state and federal agencies, turbulence on campuses, declining enrollments, the prospect of declining resources, more faculty and student influence in policy making, and the business and industry developing their own educational programs (Dick, 1977; Nason and Axelrod, 1980; Rudolph, 1965).

Cohen and March (1974) identify what they call 'organized anarchy' in which each individual in the higher education setting is seen as making autonomous decisions. "Neither coordination...nor control are practised. Resources are allocated by whatever process

emerges but without explicit reference to some superordinate goal. The 'decisions' of the system are a consequence produced by the system but intended by no one and decisively controlled by no one" (Cohen and March, 1974, p. 33-34).

Literature abounds characterizing problems confronting higher education, with a particular emphasis on the office of president. The president is expected to be a scholar and leader, financial manager and fund-raiser, teacher and administrator, "politician and public relations specialist, as well as directing student services that cast the president in the roles of cafeteria owner, apartment manager and athletic team owner" (Nogami, 1985, p. F1).

At present, and in the years ahead, the college president will be required to provide knowledge and leadership to guide institutions to meet these challenges. An often echoed theme is the need for boards of trustees to come to understand that persons selected for top university positions should be chosen for their capacity to act as leaders rather than for their capacity as administrators (Association of Governing Boards of Universities and Colleges [AGB], 1984; Kaufman, 1974; Keller, 1983; Reif, 1977). According to Fowler (1984, E12), they must have "integrity, vision, management skills, ability to motivate." There is a need for governing boards to determine what they desire in new leadership prior to deciding whom they want (Jacobson, 1984).

The Complexity of an Effective Search and Selection Process

Because many searches are unsystematic, the search and selection process has become controversial and difficult. Another factor that makes the search difficult is the complexity of the presidential position. Many committees develop an unrealistic set of qualifications. The process is further encumbered by input from faculty members and other constituencies. Twenty-five years ago, it was not uncommon for a president to be selected with little or no input from faculty members. "Since then, however, 'affirmative action' and 'shared governance' have made the task of choosing a president much more complex" (Bennis, 1971, p. 39).

In business, industry, and some educational institutions, the selection of new leadership is formally structured. Although some colleges and universities have a policy statement, or by-laws regarding leadership succession, most do not. As a consequence, many institutions find the search process a period of conflict and misunderstanding. Ness (1971, p. 60-61) described the presidential search process thus: "Of all the capricious, disorganized, unprofessional operations in human society, this one would certainly appear to qualify for some negative award."

Effective procedures for recruiting, screening and nominating candidates for president are essential to the vitality and future of higher education. The choice of a new college president and the process of selection have implications for everyone associated with an institution. Whether the board chooses to carry on its search

openly or in private, it will "find itself the center of attention, the object of gratuitous suggestions and advice, and the focus of direct or indirect campaigns" (Stoke, 1959, p. 79).

"In the old days, the selection of a new president was most often a once-in-a-lifetime task of the board of trustees or the university corporation" (Perry, 1983, p. 21). In recent years, about 500 colleges and universities have faced the necessity of selecting a new president each year (Pattillo, 1973). Today, "only about one fifth of presidents continue beyond 10 years in the same position" (Koltai, 1984, p. 32), thereby requiring, on the average, the selection of a new president every seven years per institution (Hechinger, 1984; Jacobson, 1984). When questionnaires were sent out to 450 institutions that selected new presidents (Nason and Axelrod, 1980), responses indicated that the search for a president could last from one day to eighteen months, with the number of candidates ranging from one to five hundred.

Even though there is a plentiful supply of candidates, the critical job of finding the right president for an institution is difficult and exhausting. As the term of a president is usually longer than the terms of the majority of the board, selection of a new president is usually done by people who have never done it before (Watkins, 1978). This has resulted in the increasing use of search consultants who work with selection committees to identify appropriate candidates. However, the searching for, selecting and

appointing a new president continue to be important and critical duties of a board of trustees, requiring high levels of professionalism.

The Problem

A problem arises out of some felt difficulty. Something may puzzle or disturb an individual; a gnawing dissatisfaction nibbles at his peace of mind until he can locate precisely what is bothering him and find some means of solving it (Van Dalen and Meyer, 1966, p. 121).

While the trend is toward wider introspection and consultation during the presidential selection process for the purpose of matching presidential candidates with institutional leadership needs, there are limited detailed descriptions of the process by which selection committees identify institutional needs as a basis for determining selection criteria and how that information is used in the selection process. Since these aspects of the selection process are increasingly important, more information is needed regarding (a) the factors, conditions, and events that lead to the identification of institutional needs and selection criteria, (b) the patterns of influences in these processes, and (c) the extent to which such identified institutional needs and selection criteria influence the selection process.

Purpose of the Study

In the literature examining the presidential selection process in higher education, one encounters expressions such as 'haphazard search,' 'unrealistic qualifications,' and 'mismatching individuals to institutions,' suggesting that actual processes are not all that systematic. Literature prescribing appropriate selection procedures asserts a need for a rational sequence of self-study and consultations with constituencies to reach consensus on institutional needs, derivation of a profile of the kind of leadership that will best serve the institution, and a selection process that identifies the candidate who most closely resembles that profile. This has been an effort to study the issues underlying the messages found in the literature with an emphasis on the process of identifying institutional needs and the extent to which these needs influence the selection process.

This study sought to discover: (1) the factors, conditions, and events leading to the identification of institutional needs and selection criteria in the search for a new president; (2) the patterns of influence in the identification of institutional needs and selection criteria; and (3) the extent to which the identification of institutional needs and selection criteria influence the selection of the president.

Significance of the Study

Although there are prescriptive models available, the theme of the greatest amount of written information on presidential searches is one of a haphazard approach to the search and selection process, with governing boards conceding after the appointment has been made that there were a number of things they wish they had known or done differently throughout the process. The researcher has, however, identified three small independent colleges and two universities that claim to have given the identification of institutional needs and selection criteria a central place in recently completed searches. As a precursor to this inquiry, the researcher has made a leap of faith in believing that by retracing the steps taken by these colleges and universities, she will gain insights that will inform subsequent studies leading to generalizations about the process.

Basic Assumptions of the Study

1. Identification of institutional needs and selection criteria provides a sound base upon which to conduct the selection process. There is no such thing as the ideal college or university president; rather the individual should fit the needs, mission, and philosophy of an institution at a particular time in its history.

2. Information obtained verbally in interviews reflects accurate recollections and perceptions of the respondents.

Organization of the Study

This study is organized into chapters. Chapter 1 presents an introduction and a statement of the problem researched. A review of literature related to the selection of college and university presidents and heads of other educational institutions is presented in Chapter 2. Chapter 3 presents the approach to the problem. Chapter 4 is the presentation of the data collected in each case study college and a discussion of the data collected from the comparison sample, two universities. Chapter 5 is a cross-case analysis of the data collected at the colleges and universities, while Chapter 6 presents the findings and offers some suggestions for further study. The study concludes with appendices and a bibliography.

C H A P T E R I I

PREVIOUS WORK THAT RELATES TO THE PROBLEM

The purpose of this section is to review the literature and to highlight the major points of view on current trends and suggested procedures for the selection of college and university presidents. The researcher undertook a thorough search of the literature on search and selection of college presidents in higher education. For a comparative aspect, the researcher also reviewed current information on search and selection procedures for principals and superintendents in elementary and secondary school systems.

The literature review provides a framework for the focus of this study. Although the literature is primarily that which prescribes appropriate search and selection procedures, there also exists literature which indicates that some colleges and universities fail to follow a logical sequence in the search for a new president.

The Search and Selection Process

Several sources (Nason, 1980; Pattillo, 1973; Unglaube, 1978) indicated that, whenever possible, governing boards should develop selection procedures related to unique circumstances at their

institutions, using the following steps as a guide:

1. Establish the machinery of search and selection.
2. Organize appropriate committees.
3. Formulate institutional needs and selection criteria.
4. Maintain confidentiality.
5. Generate a pool of nominees and candidates.
6. Follow an orderly procedure of assessing candidates.
7. Select and interview top candidates.
8. Select top candidate.

In establishing the machinery of search and selection, there are four options for formulation of a committee by the governing board: (1) entire trustee group, (2) a single search and selection committee, (3) two committees; one search and one screening, and (4) a trustee committee and advisory committee(s). Selection of any of these options depends on the philosophy and needs of the institution. Committees should be comprised of campus constituent groups, including faculty, administrators, students and alumni.

The committee should agree to a commitment to maintain confidentiality until the final appointment. Normally, the chairperson of the committee serves as the spokesperson, providing for consistency and control of information to the public. Some institutions may use an outside consultant to guide them in the search process (Kaufman, 1982; Kerr, 1984; Kiersh, 1979; Nason and Axelrod, 1980).

Formulating Institutional Needs and Selection Criteria

The difficulty of the president's job today and the unrealistic qualifications set by some search and selection committees make it difficult to find appropriate candidates. The literature suggests that institutions should have their priorities in order and should determine the leadership attributes the president must have to meet the needs of a particular campus. "Search committees should be explicit as to their expectations and the current status of the institution" (Trachtenberg, 1982, p. 3). Knowles (1979) indicated the following:

The selection of a president should be preceded by a careful analysis of the needs of the college or university at that particular time in the institution's history and of the role to be expected of the new president, and by the development of specific criteria by which candidates will be screened. The final selection should be based on a deliberate process of attempting to find a match between the qualities of prospective candidates and the needs of a particular institution. (p.3-37)

Early identification of institutional needs provides a sound base upon which to conduct the selection process "for both the desired future of the institution and the best leadership to achieve in the future" (Nason, 1979, p. 9). Uehling (1981) indicated that "agreement on institutional mission and an analysis of current and future problems are essential" (p. 19). It is important that presidents have leadership style compatible with the institution, be able to cope with the kinds of problems which face the college or university, and have a sense of commitment to the goals, purposes,

and philosophy of the institution (Kerr, 1984; Pattillo, 1973; Shaw, 1981). The history and traditions of an institution and attitudes toward the predecessor president are also often given strong consideration.

The governing board may clarify the direction they would like the institution to take, what portion of that direction they are willing to assume, defining the qualities necessary in the future head of the institution. Clarification includes decisions on how involved the board is willing to get in some major efforts such as fund raising, institutional direction, public relations, and academic freedom (Prator, 1963).

Current and future institutional needs, an "institutional self-examination" (Kerr, 1985, p. 28), can be identified by representatives of the board in consultation with other campus constituencies. The American Association of University Professors (1981) suggested that the search for a president include faculty elected by their constituent group ... and that students and other members of the campus community be included representing their constituent groups" (p. 323-24). Hyde (1969) suggested that a new view of the college can be highlighted, "new emphasis exhibited, new appreciation expressed for various facets of the college, and institutional needs determined for the coming years." (p. 186).

A new president should not be selected to meet a phase exclusively, as this may lead to neglect of the comprehensive

criteria of educational leadership and professional endurance. Bolman (1961) interviewed members of presidential selection committees, finding that in only a few cases did boards "face the real problem in selection: that of matching a particular institution and its particular needs in a specific period in an institution's career" (p. 202). It may be important to determine local factors affecting the type of person sought, although board members should neither be inclined toward overcoming the weaknesses in the departing president nor be looking for a carbon copy of a successful incumbent.

Identification of institutional needs should lead to establishment of realistic selection criteria. In some cases, selection criteria have been unrealistic, creating frustration for applicants and the searching institution. When Boston University's search committee decided on presidential qualifications in a 1970 search, one trustee said, "If Jesus Christ had applied, he wouldn't have made it" (Williams, 1976, p. 39). The selection criteria should be directly related to the institutional needs and be supportive of those needs.

It is preferable to develop an advertisement or position description utilizing the specific needs of the institution and the selection criteria. After advertising, most institutions develop a substantial roster of candidates:

	Range of Pool	Median Number
4-year public university	20-400	216
private university	79-500	217
4-year private college	50-500	240

Assessing Candidates

It is relatively easy to agree on selection criteria, but difficult to weigh them in reference to a particular candidate. For this purpose, the search committee can create evaluating techniques for each phase of the screening of candidates.

It is important to provide references with relevant information concerning institutional needs for proper evaluation of candidates. Appraisal of candidates should be based on "rigorous, independent investigation" (Fouts, 1979, p. 27) via people who know or have worked extensively with the candidates.

Despite the importance of credentials, transcripts and recommendations, "the key determinant is the interview" (Hengst, 1978, p. 128). Therefore, the manner in which the interviews are conducted is important. Committees generally interview between five and fifteen candidates in the initial interviews. Interviews should allow for extensive questions and answers shared by interviewers and candidates, with discussion of the values and experience of each person interviewed (Rehfuss, 1984; Shaw, 1981). Each candidate should be treated as a unique individual, with a focus on the

strengths and weaknesses, professional competence, and human qualities of the candidate. Candidates should be asked to express their views on a wide variety of relevant higher education issues, particularly as they relate to the institution.

Searching questions should be asked during these interviews and appropriate information such as budgets and financial statements should be discussed. Munding (1982) indicated that "candidates for presidential positions need to ask tougher questions during the selection process and the governing boards need to give franker answers" (p. 41).

Following evaluations and discussions concerning candidates, preferably in relation to institutional needs and selection criteria, the selection committee should be ready to recommend a candidate or a small number of candidates to the board chairperson.

Selection of Heads of Other Institutions of Learning

Literature focused on the selection of heads of other institutions of learning, specifically public and private elementary and secondary schools, notes some interesting similarities as well as differences in the selection process as compared with that of higher education institutions.

There is a growing trend toward involvement of constituent groups in the process, including parents and teachers in the school

community. Some school systems are involving the community in selecting new academic administrators in an extensive process of surveying the community to identify desired qualities (Clear and Fisher, 1983), allowing community members and teachers to participate on screening committees (LaMarche, 1981), in interviews, tours and meetings with candidates (Markham, 1980; Johnson, 1982).

Hiring of consultants to assist with the search and selection process is now part of many processes in public and private school systems. Consultants assist the board of education in three major areas: (1) defining the qualifications and characteristics of the desired candidates, (2) obtaining a large pool of qualified candidates, and (3) suggesting appropriate procedures to assist in identifying the best candidate from the applicant pool (Johnson, 1982).

Development of a profile of needed leadership based on institutional and community needs is a growing trend. There is an awareness that the search and selection process will be more efficient if there is a definite sense of the qualities and abilities required in leadership positions.

The literature reveals a growing trend toward professional development for superintendents and principals in the elementary and secondary school setting. Specific measures are being taken to train and evaluate skills and abilities of future administrators in structured assessment centers where the professional competencies

of educational administrators can be measured before hiring and promotion (Tesolowski and Morgan, 1980). This is a major difference from preparation of presidential candidates in higher education, where few potential presidents have experienced internships or specific professional development programs, nor have skills and abilities been assessed in any objective, related settings. Recent case studies of how principals are selected in public schools identify assessment centers and internships as advantageous in screening candidates, providing objective, reliable job-related data for assessing and improving the effectiveness of school administrators (Baltzell and Dentler, 1983; Geering, 1980; Schmitt, 1982; Tesolowski and Morgan, 1980).

Summary

Much of the literature presents the process "as it should be." Although recommended approaches to the selection process are plentiful, empirical information supporting and detailing how specific institutions are treating such suggestions is sparse. The reason for this deficiency may be that empirical research dealing with presidential selection is difficult because it is time consuming and because institutions desire to maintain confidentiality regarding specific aspects of the selection process. This study is designed to explore this void and to generate data on the

establishment of institutional needs and selection criteria in the selection process.

The prescriptive literature indicates that, although there are models and resources available to assist governing boards in selection of a new president, the theme of the greatest amount of written information suggests a haphazard approach to the search and selection process. Spokespersons for educational organizations offer consistent advice on the subject. However, observers of the search and selection process agree that it is generally a hit-or-miss affair. There is concern in the higher education community about the haphazard approach to presidential selection and the importance of the identification and retention of effective leadership.

The literature reveals that:

1. The governing board should be prepared for the search and selection process.
2. The search process should be initiated as early as possible to allow adequate time for the institution to determine its needs, establish selection criteria, and to begin networking for good prospects.
3. The selection process should fit the nature of the institution and its particular circumstances.

4. The participation and influence of institutional groups in the selection of presidents in higher education is a growing trend.
5. Confidentiality throughout the process, particularly relating to identification of candidates, is considered important.
6. There is a growing trend to use professional consultants in the selection process.

This study explores the presidential selection process with a focus on data on the identification of institutional needs and selection criteria.

C H A P T E R I I I

PROPOSED APPROACH TO THE PROBLEM

This section offers the proposed approach to the problem of this study. Included are research questions, methods of data collection and presentation, as well as a review of relevant literature focusing on the principles of qualitative research design and methodology, particularly the descriptive case study approach utilizing in-depth interview techniques and document analysis.

Research Questions

The research questions that will guide the data collection process are as follows:

1. What factors, conditions, and events led to the identification of institutional needs and selection criteria in the search for a new president?
 - a. At what point in the process did the committee decide that identification of institutional needs was important in the selection process?
 - b. What precipitated a need to identify institutional needs and selection criteria?

- c. What processes were used to identify institutional needs and selection criteria?
- 2. What were the patterns of influence in the identification of institutional needs and selection criteria?
 - a. What group or groups of people participated in and influenced the identification of these needs and criteria?
 - b. To what extent did the identified institutional needs and selection criteria reflect input from constituent groups?
- 3. To what extent did the identification of institutional needs and selection criteria influence the selection of the president?
 - a. Were selection criteria based on the identified institutional needs?
 - b. Were the identified needs and criteria used in evaluating credentials of applicants and nominees?
How?
 - c. How did the committee assess the extent to which those interviewed possessed the desired qualifications?
 - d. In interviews with finalists, did the selection committee provide information about the institution and question candidates based on the identified institutional needs and selection criteria?

Data Collection

Below, the following decisions will be described and justified:

1. Selection of a qualitative methodology, specifically, the case study, and
2. Inclusion of a presidential search from the researcher's own experience.

The Case Study Approach

The decision to construct three case studies using in-depth interviewing, on-site visitations, and college documents and correspondence as the methods of collecting data was made after considering the nature and circumstances of the topic being investigated. The study calls for a research design which will allow for discovery of the perceptions of persons intimately involved recently in the selection of college presidents. As Patton (1980) has suggested, the strategy in qualitative designs is to "allow the important dimensions to emerge from analysis of the cases under study without presupposing in advance what those important dimensions will be." (p. 7).

The researcher must select a method of doing research that fits the nature and intent of the study. The use of qualitative research methodology will enable the researcher to discover the processes used in the identification of institutional needs and

selection criteria by committees responsible for selecting college presidents. Patton (1980) supported the value of this approach in the following:

Qualitative data consists of detailed descriptions of situations, events, people, interactions, direct quotations from people about their experiences, attitudes, beliefs and thoughts . . . The detailed descriptions, direct quotations and case documentation of qualitative measurement are the raw data of the empirical world. (p. 9)

Lofland (1975) encouraged the use of qualitative methods in research attempting to identify and study issues through the perspective of individuals in the situation being studied:

The strong suit of the qualitative researcher is his ability to provide an orderly presentation of rich, descriptive detail, he can move close to a social setting and bring back an accurate picture of patterns and phenomenological reality as they are really experienced by human beings in social capacities. (p. 17)

The case study relies on direct observation and systematic interviewing (Yin, 1984). There is access to subjects who have held positions in a recent presidential selection process and who can speak about these experiences. The information sought through interviews and written materials will be the individual's reflections on past events.

This will be an exploratory study that examines events as they affect and are affected by multiple factors. The case study will

provide a vehicle to demonstrate the interconnections between major elements for the purpose of analysis.

Although the case study approach to investigation can be done in either a single or multiple format, the researcher has done multiple case studies. The intent of the case studies has been to take the reader into the case situation (Patton, 1980), providing a complete picture of information and of the researcher's direction in shaping interpretation through presentation. It is expected that future studies may look at aspects of the selection process either more broadly or more narrowly. For this study, it has been appropriate to look at a small group of subjects and a sample of institutions and to control for a limited number of variables. The cases suggest a broad range of direction from which future research can be developed.

The first part of the study involved selection of subjects and the development of an interview guide.

The Sample

A core sample of three small independent colleges in New England, each of which has recently selected and appointed a new president, was selected for the study. Representatives of these colleges indicated that identification of institutional needs and selection criteria was part of the selection process and agreed to

participate in the study. Two universities having recently selected new presidents were included as a comparative sample to add perspective to the data collected at three small independent colleges.

After careful consideration of the colleges and universities meeting the qualifications for the study, contact was made in the Spring of 1985 with the chairperson and secretary of the presidential selection committees, requesting permission to study their selection process. Affirmative responses were given by the chairperson and secretary of each of these five institutions.

In the Fall of 1985, the researcher sent letters to each chairperson and secretary of the selection committees at the colleges and universities to introduce the purpose of the research, ensure confidentiality, and arrange meetings for interviews for the Winter of 1985-86 (see Appendix A).

The researcher included herself as a subject in a case study, a decision related to her initial motivation to conduct the study. The researcher's interest in the topic originated from her interest in presidential leadership and presidential selection, and from a subsequent role as secretary to a presidential selection committee. The researcher had personal knowledge and perceptions concerning that role and the process. As a result of these experiences, the researcher had personal thoughts and feelings concerning the issues addressed in this study. The researcher's own experience was a source of insight. If the researcher "knows the field well he will

recognize its gaps. He will spot problems remaining to be solved" (Hillway, 1969, p. 111).

In determining the case study method to be used to conduct the study, with an interviewing format as a primary method of collecting data, it seemed appropriate for the researcher to include herself as one of the subjects. A considerable amount of literature dealing with qualitative research methodology stresses the importance of the researcher becoming part of the group under investigation.

Bogdan and Taylor (1975) suggested that:

In qualitative methods, the research is necessarily involved in the lives of the subjects . . . And even more than this involvement, the researcher must identify and empathize with his or her subjects, in order to understand them from their own frames of reference (p. 63).

Selection of Subjects

Preparation for the case studies will necessitate careful selection of subjects (Bogdan and Taylor, 1975) and development of an interview guide. (Patton, 1980)

The choice of individuals to serve as participants in the case study was an important consideration as participant selection was important to the outcome of this research project. No attempt was made to choose the subjects randomly; rather, the subjects were selected based on their specific role in a selection process and their ability to aid in the development of insights related to the study questions.

Individuals who had an intimate role in a selection process were selected as subjects for this study. The subjects were chairpersons and secretaries of committees responsible for selection of a college president. These subjects were selected specifically because of their ability to aid in the development of insights in the process of presidential search and selection. The researcher sought subjects who would be willing to devote the necessary time to the project (Bogdan and Taylor, 1975) and who would take a sincere interest in the study. Information was drawn from the subjects' reflections on the selection process and their memory of key events.

Patton (1980) makes the point as follows:

Qualitative research designs require that the evaluator get close to the people and situations being studied in order to understand the minutiae of program life . . . The strategic mandate to be holistic, inductive and naturalistic means getting close to the phenomenon under study. (p. 117)

Subjects were interviewed to provide information on the process and subjects were asked to identify and provide any documents or correspondence which supported the study.

The profile of subjects can be characterized as a group of professional people from educational and private organizations who have been intimately involved in a presidential selection process at their respective institutions.

Sources of Data

This research design required flexibility and exactness in the collection of information. Three data collection methods were used:

1. Intensive interviews with subjects,
2. Review of college documents and correspondence; and
3. On-site visitations.

In developing the data collection methods, the researcher attempted to follow these principles of data collection:

1. Use multiple sources of evidence,
2. Create a case study database--notes, documents, tabular materials, narratives, and
3. Maintain a chain of evidence--to follow the derivation of any evidence from initial research questions to ultimate case study conclusions (Yin, 1984, p. 14).

The researcher traveled to the campuses of the three colleges to interview selection committee chairpersons and secretaries and to review documents. In advance of each visit, a personal letter and an Interview Guide were mailed to each interviewee (see Appendix A). On the basis of this data collection, the researcher developed a case study of each of the colleges. The chairpersons and secretaries of the two universities were interviewed by telephone to gather data regarding their selection process.

The Interviews

The fundamental principle of qualitative interviewing is to provide a framework within which respondents can express their own understanding in their own terms. (Patton, 1980, p. 123).

Interview Guide

The principal means of information collection in this study was the "intensive interview" (Lofland, 1975). A uniform interview guide format was developed by identifying those categories that related most directly to the identification of institutional needs and selection criteria (see Appendix B). This involved examination of the situation under investigation and development of an outline of issues to be explored with each subject. The interview guide was intended to provide a focus to the collection of information and to prevent the interviews from being diverted away from the primary interests of the researcher. "The interview guide simply serves as a basic checklist during the interview to make sure that all relevant topics are covered" (Patton, 1980, p. 125). Interview guide questions evolved from the review of literature on selection of college presidents, review of personal notes, college documents and correspondence accumulated during the professional experience of the researcher as a secretary to a presidential selection process, and by talking with other people.

The interview guide contains questions the researcher determined would be successful in eliciting the subjects' perception of

the processes involved in the identification of institutional needs and selection criteria during the selection process and the extent to which those needs and criteria influence the selection process. It contains references to broad topics addresses in the interview.

The interview guide was designed to combine open-ended and specific questions. The researcher used the guide in a flexible manner, allowing for questions to be raised during the interviews and to further relevant areas introduced by the interview subjects. This resulted in additional data being generated. Patton (1980) indicated that it is possible to combine an interview guide with an open-ended approach: "The fundamental principle of qualitative interviewing is to provide a framework within which respondents can express their own understandings in their own terms." (p. 126). Lofland (1975) referred to this approach in the following:

One such flexible strategy of discovery is termed the 'unstructured interview' or 'intensive interviewing with an interview guide.' Its object is not to elicit choices between alternative answers to pre-formed questions, but, rather, to elicit from the interviewee what he considers to be important questions relative to a given topic, his descriptions of some situations being explored. (p. 48).

Questions in the Interview Guide were developed in December 1985. The first drafts were critiqued by the researcher's committee members. After draft revision was completed, the interview questions were field tested. A member of the selection committee at one of the colleges was kind enough to be of assistance in this pilot

testing. A thank-you note was sent to him following pilot testing, indicating that appropriate revisions were under way. Again some revision was made. A major benefit of the pilot testing was determining how long the interview might take and what kinds of responses might be anticipated. The final interview questions can be found in the Appendix.

The researcher made full disclosure of the purposes and methodology of the research to each subject prior to the interview, explaining how the subject came to be selected, and his or her role in the study. The subject was assured that any information regarding the selection process considered confidential by the subject would be excluded from the study (Lofland, 1975).

The Interview Format appears on the following page:

Figure 1

Interview Format

Date: _____ Place of Interview: _____
Respondent: _____

I. Introduction

- a. Purpose of Study
- b. Assurance of Anonymity of Respondent
- c. Interest and Experience of Interviewer
(see following page)
- d. Sharing Results of Interviews

II. Introduction to Interviewing Guide Format -- in-depth
questioning from Interview Guide to cover topics in detail

III. Questions from Interview Guide

IV. Summarization

V. Appreciation and Closing

Interest and Experience of Interviewer

The researcher's interest in upper level administrative leadership in higher education began with her administrative position in a small independent college. Exploration of the responsibilities of upper level administrators revealed the presidential position to be intriguing, with responsibilities extending to every facet of the institution. Concurrently, the researcher began academic work in a doctoral program in the program of Adult and Higher Education, developing an interest in theories and philosophy of education and leadership roles in higher education.

Research on the search and selection of college presidents with an emphasis on the historical development of the presidential role and presidential qualities was followed by an independent study on leadership in higher education. These experiences provided a greater understanding of the role of leadership in small independent colleges. Research and reading focused on classic leadership literature, particularly as it related to the academic setting. This proved helpful in developing a perception of leadership qualities, accenting the need for strong presidential leadership in American higher education.

In 1984-85, the researcher served as secretary to the presidential selection committee at an independent college. As the incumbent had served for nearly twenty years, the search and

selection was done by a governing board with little experience in such a process. The time and energy commitment were substantial, but the experience was extremely rewarding and challenging. Serving in this capacity strengthened the researcher's knowledge and interest in presidential selection, and was followed by comprehensive papers on leadership with a particular focus on leadership needs in higher education. Immersion in the process as an organizer, planner, problem-solver, and decision-maker heightened an interest and commitment to learn more about the selection of college presidents.

Interviews with Subjects

The interviews began with a description of the study, including an explanation of the overall format of the interviews (Bogdan and Taylor, 1975). The researcher asked the subjects for permission to tape-record the interviews, explaining that it would be the most efficient, accurate way to record the information. It also permitted the researcher to concentrate on interaction with the subject, rather than on note-taking. The interviewer used the tape recorder whenever possible (Bogdan and Taylor, 1975). Lofland (1975) and Patton (1980) stressed the importance of using a tape recorder in qualitative research projects.

The researcher attempted to establish rapport with the subjects, and encouraged the subjects to speak freely, to be descriptive and to introduce any information the subject considered

relevant. The interviews were informal and relaxed and, although guided, provided an atmosphere in which the interviewee was encouraged to speak freely (Bogdan and Taylor, 1975). The researcher explained that there were no wrong answers and that the interviewee should feel free to interrupt during the interview at any time to offer relevant information (Lofland, 1975).

The purpose of the interviews was to enable the participants to identify and elaborate upon their perceptions of various aspects of the selection process and their role in that process. Whenever possible, the interview was conducted face-to-face, with the telephone used only when a meeting could not be scheduled.

The interview with the researcher herself was conducted essentially in the same manner and under the same conditions as those with other primary subjects. The tape recorder was utilized to record her own responses to the questions included in the Interview Guide, allowing opportunity to offer supportive information and anecdotal references. The researcher trained another person to conduct the interview and the interview was conducted prior to the other interviews to avoid being influenced by the responses of the other subjects, and to gain awareness of the issues to be studied.

Throughout these interviews, the researcher attempted to remain non-judgmental, expressing no disagreement with or disapproval of the subject's opinion (Bogdan and Taylor, 1975). Lofland (1975) stated that "For most interviewing situations, it is

most productive of information for the interviewer to assume a non-argumentative, supportive, and sympathetically understanding attitude." (p. 61).

In most cases, interviewees spontaneously addressed themselves to the fundamental questions propelling the research. They speculated, re-examined, and tried to clarify the patterns and reasons for their personal behavior and attitudes as well as those of the selection committee. Subjects were encouraged to be descriptive, provide details and share anecdotes. Many were eager to explain why things happened as they did and to share their speculations about how events might have occurred differently. The interviews progressed successfully, with a sense of partnership between researcher and subject.

Because the researcher was in a comparable position, she was able to identify material which needed to remain confidential. The researcher's manner was collegial and her role included that of professional peer. The subject could trust the researcher to be sensitive to the need for confidentiality.

Subjects were thoughtful, straightforward, warm and spontaneous. Pilot testing indicated that the interview would last one hour. However, frequently the conversation was of such quality that the interview continued for nearly two hours. Following each interview, thank-you letters were sent to each subject (see Appendix A).

Analysis of Data

The process of analysis was ongoing throughout and evolved from the nature of the data. The analysis was guided by the study questions.

Immediately following the interview (Lofland, 1975), the researcher reviewed tapes and notes to continue a comparative analysis initiated in the course of interviewing, identified the major points of interest, and categorized the various pieces of information. Analysis was very important, generally taking twice as long to write up an interview as to conduct it (Ibid., p. 63).

A classification system was developed for recording topics, ideas and themes in the interviews. "The purpose of classifying qualitative data in preparation for content analysis is to search for patterns and themes within a particular setting or across cases" (Patton, 1980, p. 137). The researcher compiled a Summary Outline Comparing Findings as Reported by the Colleges and Universities (see Appendix C).

Each statement was compared to those of other subjects, anticipating that significant themes or patterns would establish themselves regarding the identification of institutional needs and selection criteria in the selection of college presidents. An attempt was made to categorize the statements relative to the study questions. Adjustments were made for any categories evolving during the interview process which did not appear on the Interview Guide.

The tape recorded interviews with the case study participants were transcribed, enabling the researcher to analyze the data by listening to the tape recording and reading the transcripts.

"Transcriptions can be enormously useful in data analysis and later in replications and independent analyses of the data" (Ibid.).

Transcriptions were placed in a file for each college.

The data collected was indexed by college, university, and interviewee. Charts were made of all interview information gathered, to be used most particularly in cross-case analysis. In the data presentation, there are instances when direct quotes are used, although the name of the respondent is not identified. The most relevant documents are meeting minutes, public announcements, newspaper and periodical articles, college by-laws, catalogs and annual reports.

Following a brief overview of the institution to provide insight into the general nature of the college, the researcher summarized and synthesized the findings. Lofland (1975) indicated that "the final state of analysis occurs after observation has ceased and is a period for bringing order into previously developed ideas." (p. 68). The analysis has been phenomenological, relating how the participants perceived and identified components of the search and selection process. The analysis has been a qualitative assessment of the question: what factors, conditions and events led to the identification of institutional needs and selection criteria,

the patterns of influence in these processes, and the extent to which the identification of institutional needs and selection criteria influence the selection of a president in the small independent college.

Conclusion

The researcher has described the overall design of the study in this chapter. Also included has been a review of relevant literature on qualitative methodology and the research techniques utilized in this study.

Data obtained through qualitative techniques, interviews, on-site visitations, and review of college documents are presented and described at length in the following chapters. They provide the basis for the case studies to summarize the factors, conditions, and events leading to the identification of institutional needs and selection criteria, the patterns of influence in those processes, and the extent to which the identification of institutional needs and selection criteria influence the selection of the president at each of these institutions. Following a brief overview of each institution to familiarize the reader with the general nature of the college, case studies of each institution are presented in Chapter IV. A cross-case analysis of each of the research questions is presented in Chapter V. These findings are also related to the literature review in Chapter II.

CHAPTER IV

CASE STUDIES OF THREE INDEPENDENT COLLEGES AND TWO UNIVERSITIES

To study the factors, conditions, and events leading to the identification of institutional needs and selection criteria in the search for a new president, the patterns of influence at work during those processes, and the extent to which the institutional needs and selection criteria influence the selection of the president in the small independent college, the researcher traveled to three colleges. On the basis of interviews and reviews of college documents, the researcher developed a case study of the selection process at each of the colleges.

The independent colleges in the study emphasize four-year undergraduate study, two of them focusing on a liberal arts program of study. In each case, the undergraduate enrollment is approximately 2500 students. Each college was chartered over one hundred years ago and each has a reputation of being a quality academic institution.

Two universities that have recently selected a new president have been included in the study as a comparative sample to add perspective to the data collected at the three small independent colleges. Each university is state-supported, coeducational, and has an enrollment of approximately 12,000. One university awards bachelor's, master's, and doctoral degrees and the other awards bachelor's and master's degrees.

Table 1 provides a comparison of the case study colleges and universities.

College A

College A is an independent, comprehensive coeducational institution. Since its beginning, it has been committed to a residential undergraduate liberal arts education. It awards the bachelor's and master's degrees. The college has built its reputation around teachers and teaching (College Catalog, 1985). Located in a small town, it has an enrollment of approximately 2000 students. The majority of students were in the top ten percent of their high school class. Most of the full-time faculty have doctoral degrees (Kaye, 1985). The college provided for official alumni representation on the Board of Trustees in the late 1800's.

The Factors, Conditions and Events Leading to the Identification of Institutional Needs and Selection Criteria

Upon the incumbent president's announcement of his resignation, it was announced that the board of trustees had "established a search committee to recommend a successor in time for a board vote in April" (Town Newspaper, 1984). The senior trustee, who served as chairperson of the search process, was also chairperson of the Executive Committee, and, as such, was responsible for heading any search committee (Interview, chairperson). Although final selection

TABLE 1

A COMPARISON OF THE CASE STUDY COLLEGES AND UNIVERSITIES 1985-1986 (Kaye, 1985)

Type of Institution	College A	College B	College C	University A	University B
Degrees Awarded	Independent B, M	Independent B, M	Independent B, M, D	State Supported B, M, D	State Supported B, M
Academic Calendar	4-1-4	4-1-4	Semesters	Semesters	Semesters
Residential	Yes	Yes	Yes	Yes	Yes
Total Enrollment	2023	2684	2378	11,278	11,771
Number of Faculty	200	245	137	1005	631
% with doctoral degrees	85%	93%	55%	70%	66%
Tuition, Room, and Board	\$12,419	\$12,740	\$7,960	\$3,652 for residents \$5,580 for non-residents	\$1,850 for residents \$4,550 non-residents
Bound Volumes in Library	512,170	900,633	115,000	1.1 million	912,000

was the responsibility of the Board of Trustees, the search committee was charged with recommending a select number of presidential candidates to the Board of Trustees. "The committee never considered that it had full authority; it was a recommending body" (Interview, secretary). The secretary of the committee, appointed by the president, was a professor emeritus who had been teaching part-time. He had served as a college president for a period of six years prior to his tenure, and had been a candidate for president on a previous occasion. Although his title was 'secretary,' he perceived his role to be one in which he was the "administrator of all search and selection operations--a chief of staff" (Ibid.) The secretary had a staff person who relayed information (i.e., how many applications were received, progress of the committee, timetable) to constituencies via telephone and memos. Keeping faculty, administration, students, staff, and alumni apprised of what was transpiring quelled rumors and gave people the feeling they were a part of the process (Interview, secretary).

The chairperson (Interview, chairperson) identified membership on the 18-member search committee as six trustees, six faculty, four student leaders, and two alumni, one the president of the Alumni Society and the other a member of the Alumni Executive Committee. Three of the faculty selected for the search committee held leadership roles in the faculty ranks. Three were on the Committee on Appointments and Promotions, and a fourth was the chairperson of the

Faculty Steering Committee. A committee of similar composition existed when a president had been selected in the early 1970's.

The Patterns of Influence in the Identification of Institutional Needs and Selection Criteria

The search and screening process was set up by the secretary, while the board of trustees and the secretary set up the selection procedures (Ibid.). The major components of the selection process were identified as "interviews with faculty, staff, and administrators, establishment of institutional needs, commitment to a timetable and review of all appropriate candidates. The establishment of institutional needs was a primary part of the process" (Interview, secretary). The long-range planning committee, the Faculty Committee on Priorities and Resources, was responsible for providing information on institutional needs. The committee had been meeting regularly to review "current and future needs of faculty, administration, and general campus planning" (Interview, chairperson). Three or four board of trustees members serve on this committee to "consistently improve and strengthen existing programs, look at who we are and what we are doing" (Ibid.). The committee had formulated a plan to be used by the institution throughout the eighties. "The plan identified the needs and priorities of the institution and was used by the selection committee" (Interview, secretary).

The board of trustees identified institutional needs based on observations, interviews, and review of those needs identified by the long-range planning committee, i.e., the Committee on Priorities and Resources. Although there were differences of opinion initially on institutional needs, "the differences were not on major issues" (Interview, chairperson), and consensus was achieved after discussion. Even though the board of trustees provided input on critical issues, the "Committee on Priorities and Resources had the greatest influence on the determination of selection criteria" (Ibid.). The selection committee was satisfied with this arrangement, as the committee did not have to retrace steps taken to achieve this goal and there was trustee membership on the committee.

At extensive initial meetings held the first month of the search process, discussions were conducted by members of the search committee with more than seventy-five college faculty, staff, students, and administrators concerning the needs of the college. The discussions were designed to "collect opinions about what the job of president entails; what problems the next president will likely encounter" (Student Newspaper, 1984), and "what kind of leader we should have" (Interview, secretary). Every member of the faculty was interviewed individually or in groups at dinners arranged for that purpose. These recommendations were forwarded to the Board of Trustees in written form. Suggestions focused primarily on a preference for an academic leader who would strive

for educational excellence, improve and strengthen academic programs, promote the liberal arts, enhance the endowment portfolio, rearticulate educational concerns, and be able to relate to all campus constituencies (Interview, chairperson).

The selection criteria developed by the board of trustees were based on the institutional needs identified by the Committee on Priorities and Resources and needs identified by faculty, staff, and administrators in interviews and small group discussions with board of trustee members (Interview, secretary).

Discussions pointed out the necessity for the new president to have evidence of academic achievement; proven experience in building relationships with faculty, alumni, and students; and fund-raising ability (Interview, chairperson). "We wanted a president who would lead the academic programs, have good academic experience, and personal qualities that would allow that to happen" (Interview, secretary).

The advertisement that appeared in local and national newspapers and The Chronicle of Higher Education announced the desired qualifications in the following way:

PRESIDENT

College A

Applications and nominations are invited for the position of President of College A.

College A is an independent, coeducational, undergraduate liberal arts college of some 2,000

students and approximately 200 faculty. The President is the chief educational and administrative officer of the College, under the general guidance of the Board of Trustees.

Desirable qualifications include the Ph.D. or other equivalent advanced degree; experience in teaching and scholarship; the successful discharge of high-level administrative duties, preferably in an academic setting; the personal qualities requisite for effective relationships with trustees, faculty, staff, students, and alumni; and a commitment to the goals of residential liberal arts education (Chronicle of Higher Education, 1984).

Regular campus bulletins and memos indicating the progress of the search committee were sent by the committee secretary. The following is a memo sent to members of the campus community:

To: All Faculty, Staff, and Students

From: Chairman, Presidential Search Committee

This is intended to keep you informed on the status of the presidential search.

Over the past few days, the off-campus candidates for the presidency of the College have paid brief visits to the campus to meet with the President, Vice President, Provost, Dean of the Faculty, and Dean of the College. These meetings were intended to provide the opportunity for an exchange with the top administrative officers of the College prior to the next step in the selection process.

Early in March, the Search Committee will meet in a joint session with the Board of Trustees to provide additional information and elements of judgment which it believes the Trustees should have as the Board begins its deliberations looking toward the ultimate selection (Memo, Campus Distribution, February, 1985).

This memo is indicative of a variety of campus communications sent out by the secretary of the committee to inform "staff and friends of the college of search progress" (Interview, secretary). The committee wanted to maintain communication with campus personnel so that everyone would know what was transpiring, particularly regarding the goals of the committee. There was, however, no specific publication regarding institutional needs and selection criteria other than the announcement of the availability of the presidential position, posted on campus and in local and national publications (Interview, chairperson).

There was no structured Advisory Committee to the search committee. The trustees felt this was not necessary, as they had intentions of gathering input from constituencies and existing committees in interviews, informal discussions, and dinner meetings. Alumni, faculty, students, and friends of the college were encouraged to make recommendations "addressed to any member of the committee or its secretary" (Alumni Bulletin, 1984). Recommendations came from faculty primarily, although alumni responded with a few nominations.

Discussions were also held concerning the value of internal versus external candidates, women and minorities, confidentiality, and the use of a search consultant in the process. As a result of these discussions, it was decided that: (1) candidates would be evaluated on their ability to meet institutional needs rather than

on whether they were internal or external candidates; (2) a commitment was to be made to actively search for women and minority candidates; (3) confidentiality regarding candidates' names was considered crucial to the success of the search; and (4) a search consultant would not be used, as there was a member of the committee with related professional experience (Interview, secretary)

Extent of Influence of the Identification of Institutional Needs and Selection Criteria in the Selection of the President

After institutional needs and selection criteria were identified, a screening subcommittee was established. The subcommittee was chaired by the secretary, and was comprised of an alumnus, a student, a faculty member, and the chairperson of the selection process.

The screening committee narrowed the field of candidates to twenty-eight, using what was called a preliminary screening sheet (Ibid.). The screening sheet shown in Figure 1 listed the desired qualifications based on institutional needs, and was used to rate candidates on each qualification. Each applicant or nominee was rated numerically by individual committee members.

Figure 2

PRELIMINARY SCREENING SHEET

(Name of Candidate)Initials of RaterOverall Rating:

Elements: (Desirable Qualifications)

1. Ph.D. or other equivalent advanced degree
2. Experience in teaching and scholarship
3. Experience in high-level administrative duties (Preferably in an academic setting)
4. Personal qualities for effective relations with trustees, faculty, staff, students, and alumni
5. Commitment to goals of residential liberal arts education
6. Experience in fund-raising, planning, and development
7. Other (Search Committee Rating Sheet, December, 1984).

Based on reference information and evaluation of qualifications, the search committee decided to interview candidates who were considered to have met the desired qualifications. "We did do individual checking of references provided by the candidate, and researched others on our own. We were very, very careful, however, not to identify the candidates, considering this to be a very confidential approach" (Interview, chairperson). In communications and interviews with semi-finalists, there was complete information provided about the college, including catalogs, bulletins, a list of board of trustee members, the Long-Range Plan, Treasurer's Report, Student Handbook, Faculty Handbook, and President's Report (Ibid.).

The screening committee set up a tentative interview schedule, which "was met, almost to the day" (Interview, secretary). The schedule involved preliminary screening of candidates by the screening committee and final screenings by the full Presidential Search Committee, all conducted on campus. Final interviews were conducted at an off-campus location. The schedule was designed to accommodate professional people over three-day periods in which screening and evaluating could take place.

Interviews were conducted on campus and were described as "in-depth, and focused on the ability of the candidate to meet institutional needs" (Interview, secretary). The search committee divided itself into two panels, each interviewing the semi-finalists separately. After each interview, the panel devoted approximately one-half hour to evaluative discussions of the candidate just interviewed.

Interviewing of the twelve semi-finalists resulted in the list being narrowed to five candidates through a process of rating and ranking based on which of these people the committee felt could be recommended to the board of trustees with a degree of confidence that there existed a match between the needs of the institution and candidate qualifications (Interview, secretary).

The search committee finally considered more than "250 nominees before presenting a list of five unranked finalists to the trustees in early February" ("Search Committee News," Alumni

Bulletin, 1985). The five finalists included three external candidates, amongst whom was a woman, and two internal candidates.

The finalists were subjected to extensive background research by the board of trustees. Information regarding past performance, ability to relate to others, projections for future success, and sensitivity to the liberal arts concept was gathered from current and former colleagues and supervisors.

Interviews with finalists and spouses, conducted at a central location approximately three hours from the campus, revolved around specific points rather than specific questions (Interview, chairperson). Interview questions were phrased to determine past behavior as opposed to "What would you do if" (Ibid.). The committee considered it more important to identify how the candidate responded to situations in the past rather than speculate as to what might occur in hypothetical situations. There were, however, questions designed to establish a baseline for selection, questions that identified qualities in relation to institutional needs and selection criteria. Some questions were posed in an attempt to determine future performance as it might relate to desired qualifications. Included in the questions were the following: "How do you persuade others to follow you? What do you do when your personal convictions are threatened? What expectations of yourself have fallen short?" (Interview, secretary).

Candidates were evaluated after each interview, a time in which the committee discussed candidates' ability to meet institutional needs and selection criteria. The finalists were brought to campus "to get a feel for the college" (Ibid.) after being interviewed at the off-campus location. They met with five campus leaders: "the President, Vice President, Provost, Dean of the Faculty, and Dean of the College" (Memo, All Faculty, Staff, and Students, February, 1985). Each of these leaders wrote a memorandum evaluating each candidate after these meetings. The full board of trustees interviewed each candidate and reviewed the memoranda of the five campus leaders prior to making a final decision.

Outlining the process the committee followed in selecting the new president, the chairman of the committee reported that board of trustees members made a "very vigorous examination of reference checks and other sources of information" (Alumni Bulletin, 1985). However, it was felt that there would have been more thorough referencing of candidates had a search consultant been used (Interview, chairperson).

Members of the search committee said they felt they had an opportunity to express their opinion and that a narrowed list of candidates was truly a group effort. "We worked our way through questions very well, and we effectively came to a consensus. Everybody had an equal say and we operated as individuals exercising our judgment" (Interview, chairperson). The committee was pleased with the range and variety of nominees and candidates (Ibid.).

Throughout the search process, the meetings were described as well-organized, carefully planned, and well-structured. However, the search and selection process "seemed cumbersome and lengthy during the process because so many people had input" (Interview, secretary). According to the secretary, the process did remain on schedule as laid out from the initial stages of the process (Student Newspaper, 1985), with the trustees making announcement of the appointment of a new president following their April meeting (Alumni Bulletin, 1985). Maintaining a tight schedule "did not compromise the integrity of the thoroughness of the process--rather it provided an opportunity to keep tensions on campus and negative relations with the community at a minimum because the process moved along at a good pace with progress continually being made" (Interview, secretary).

The search committee and the board of trustees agreed that the selection of the new president put the college under the direction of a scholar of international eminence, a skillful administrator, a gifted and dedicated teacher, and a creative educator "who understands the meaning of liberal learning" (Ibid.). These were the selection criteria identified early in the search process. "He had the ability to work with others, a proven track record as a good leader and administrator, he could relate to all of our constituencies, and he seemed to be the person we all felt could meet the institutional needs. He had a feeling and commitment for where we wanted to go" (Interview, chairperson).

In general, the selection was met with broad approval within the campus community. The faculty, who had been very involved throughout the search process serving as search committee members, gave their full approval to the process and the selection. Some middle management members of the administration "felt that they did not have their needs met administratively. They made a big point of it, inferring [sic] that their need for an administrative leader for the entire institution was not recognized. This may have resulted in part from a lack of administrative representation on the search committee" (Interview, secretary).

Summary

Although the board of trustees made the final selection of the preferred candidate, the search committee, comprised of students, trustees, faculty, and alumni, made assessments of candidates, including conducting of interviews with semi-finalists. The board of trustees felt that the use of campus constituencies was very helpful in the process.

The institutional needs and selection criteria, identified as primary components of the process, were based on information gathered from a long-range planning committee and extensive discussions with campus constituencies, particularly faculty. Institutional needs and selection criteria influenced the selection process in initial screening of written credentials, interview questions,

and follow-up evaluations, as well as selection of the preferred candidate. The board of trustees is confident that the candidate selected met the institutional needs and selection criteria identified early in the search process (Interview, chairperson).

College B

College B is an independent comprehensive institution founded in the late 1800's. It is an institution with high academic standards, excellent facilities, and its graduates are "leaders in literature, politics, science, and the arts" (College Catalog, 1985-86). It awards bachelor's, master's, and doctoral degrees. Located in a small town setting, the total enrollment is approximately 2500 students. About half of the new students in the freshman class were in the top ten percent of their secondary school class. Students are taught by almost three hundred faculty, almost all of whom have doctoral degrees (Kaye, 1985).

The Factors, Conditions, and Events Leading to the Identification of Institutional Needs and Selection Criteria

When the incumbent president announced retirement plans in 1984, to take effect in 1985, a search committee was formed. The search committee, composed of "trustees, faculty members, and students" (Alumni Bulletin, 1984), was a sub-committee of the board of trustees. The role of the search committee was to search for and

screen candidates and to narrow the list to a group of finalists to recommend to the board of trustees.

The committee was chaired by the vice chairperson of the board of trustees. The chairperson perceived her role as one in which she coordinated the general search process and the level of constituency involvement (Interview, secretary). The secretary was selected because she "had previous administrative experience in higher education" (Interview, chairperson) providing her with knowledge about the processes and politics involved in working with a variety of constituencies. She saw herself as "the deputy of the chairperson, with an opportunity to provide experience in higher education as needed" (Interview, secretary). The secretary was a support person for the chairperson, and did not make decisions without conferring with the chairperson (Ibid.).

The committee was comprised of seven trustees, all of whom had either academic, professional, or family ties to the college; three professors selected by their peers and each active in campus committees; and two students holding elected office who had worked on institutional long-range planning and were known to trustees as committed workers (Interview, chairperson).

The secretary and the chairperson set up the agenda for the meetings, although the committee made decisions about most aspects of the process. The committee moved into action quickly by formulating a search process at the first meeting. "It was a

committee, a group effort, to come up with the process. We were astute and knew what had to be done" (Ibid.).

At that time, it was decided to advertise the position immediately with a non-specific advertisement and to develop a timetable and procedures to guide the process. The advertisement read as follows:

President

College B

The Presidential Search Committee seeks nominations and applications for President of College B. The Committee seeks candidates of exceptional personal distinction whose experience and accomplishments demonstrate the capacity to serve as chief academic officer and administrative officer. It is anticipated that the President will assume office on July 1, 1985. All communications will be confidential (Advertisement, Chronicle of Higher Education, Spring, 1984).

"The advertisement looked like all others in The Chronicle of Higher Education" (Interview, secretary).

Two major components of the process were determined at the first meeting. One was a decision to use a search consultant to assist with referencing and research of candidates and to offer suggestions on appropriate procedures. Although a search consultant worked very closely with the committee providing suggestions and doing background research, "the committee did, however, maintain control of all decisions, procedures, and evaluation of candidates" (Interview, chairperson). The second major component was a decision

to identify institutional needs because the college was entering a new period in its history. There was a desire to look at "what cornerstones were important to the institution and address them" (Ibid.).

The Patterns of Influence in the Identification of Institutional Needs and Selection Criteria

During the time period in which the first four committee meetings were held, the college community was surveyed by the committee regarding institutional needs. Identification of institutional needs was accomplished through conversations with most of the administrative leaders on campus and discussions with respected faculty who were knowledgeable about the college. "The faculty on the committee, of course, were in touch with what the faculty wanted, and the students polled student opinions, so we felt we had a pulse on what was going on without need for an advisory committee" (Interview, chairperson). The search committee was charged by the board to "carry out the wishes of the board. We did this by determining institutional needs and having them approved by the board" (Interview, secretary).

These sources were asked questions designed to determine the current thrust of the college and suggestions as to where it should be heading. These interviews were strengthened by trustee introspection and discussion. "The institutional needs were established by a process of osmosis. We discovered a remarkable sense of where

the college should be going through introspection and discussion" (Interview, chairperson).

It was the full board of trustees that identified the institutional needs. The final draft was an internal document that was never released publicly. "We would prefer not to reveal what they were" (Ibid.). Institutional needs assessment was followed by construction of a "'presidential profile' that reflected the strengths and weaknesses of the college as well as what kinds of skills and experience would be needed in the president" (Student Newspaper, 1984). The 'presidential profile' included the ability to provide leadership for a variety of constituencies, administrative and management experience, preferably in higher education, fund-raising and development ability, and academic vision.

The chairperson and secretary each placed great emphasis on the crucial role played by trustee discussions with approximately twenty college and university presidents in a wide geographic area (Interviews, chairperson and secretary). "These presidents were leading colleges much like ours as well as colleges that were quite dissimilar" (Interview, chairperson). These heads of institutions provided a profile of the role of the president today in higher education. This profile was combined with the identified institutional needs (Ibid.).

The 'presidential profile' fell into place quite naturally following institutional needs identification and was known

throughout campus through discussions and campus publications. The committee had a preference for someone with a Ph.D., faculty and administrative experience, fluency in foreign languages, science background, and sensitivity to minorities and women. The committee was looking for someone who would be able to "guide and work with a diverse community" (Student Newspaper, 1985). We had "amazing consistency in what our priorities were. We are a close group and have common goals" (Interview, chairperson).

Personal qualities desired included integrity, honesty, leadership, self-confidence, and the ability to speak with the committee on a variety of topics. Conversations with candidates focused on the preferred 'presidential profile.' "The desired qualifications were coupled with charisma exhibited in the interview" (Campus Publication, 1985). With the profile in mind, preliminary talks with potential candidates led to a narrowing of the list.

Extent of Influence of the Identification of Institutional Needs and Selection Criteria in the Selection of the President

There were over 500 candidates and nominees considered for the position. Although the search consultants helped with the screening process, they did not screen out any name that was not agreed upon by the committee. Screening began immediately upon receipt of credentials when the secretary sorted them into categories based on background and related qualifications. The committee then set up

three meetings specifically designed for screening credentials through a process of looking for background evidence of successful experience in areas identified in the 'presidential profile.' Individual committee members were able to come in to the search office on other occasions for review of credentials (Interview, secretary).

Candidates were selected for interviews in a two-step ranking process by the entire committee. The first step was a decision to invite 25 to 30 candidates for preliminary conversations with sub-committees of three or four search committee members. These were held off campus. From these conversations, the second step took form in invitations to a short list of candidates for semi-final interviews.

The committee considered it important to learn about the candidates' background and points of view as they related to the needs of the college. There was a "carefully designed network of referral" (Interview, secretary) that included extensive questioning of reference people by committee members and the search consultant. This information provided the committee with an opportunity to know as much as possible about final candidates.

The committee felt one of its major responsibilities was to interpret the college's mission and philosophy for candidates. College publications were provided to any candidate upon request and all candidates on the narrowed list received other information,

including financial reports, the current long-range plan, and applicable bylaws.

The committee formulated some specific and some general questions, and others evolved in interviews, depending upon candidate qualifications and responses. There were questions designed to determine a candidate's ability to meet institutional needs and selection criteria. The committee "respected one another . . . so there was support for any pursuit of questioning during interviews. We had absorbed this body of knowledge with the institutional needs and the questions flowed from this knowledge" (Interview, chairperson). There was a sense that the interviewing process would not have been as successful without the prior in-depth look at institutional needs. Identification of the needs provided an "introspective, detailed, precise, although flexible" (Ibid.) interview atmosphere.

Immediately after each interview, evaluations were done on each candidate. The evaluations some candidates received ranged from "'she's the best' to 'she's unacceptable'" ("Finding a President: A Student's View," Article written by a student committee member, May, 1985). The committee's divergence of opinion surprised some members who assumed there would be greater consistency in evaluations. The divergence of opinion resulted from some members focusing more on matching certain criteria as opposed to others.

The recruitment process was affected by the institutional needs and the presidential profile in the following ways: (1) the focus of interview questions was on candidate ability to meet identified institutional needs; (2) solicitation of candidates was almost exclusively from academic settings similar to this college; (3) evaluation of candidates focused on qualifications and experience that matched the institutional needs and 'presidential profile'; (4) interviews were conducted on campus to provide the candidate with some interaction with the campus community; and (5) the final decision on the preferred candidate was based on her ability to project a match with identified institutional needs and the 'presidential profile.' The committee had hoped that "imaginary bells would ring the minute the perfect candidate walked through the door. That never happened" ("Finding a President: A Student's View," Article written by a student committee member, May, 1985). Instead, the committee did not want to let the preferred candidate go. She was able to speak easily with each committee member on a variety of topics, displayed leadership qualities and self-confidence and was judged to be a person able to work with diverse "and often divergent constituencies" (Ibid.).

In the final analysis, there was complete agreement on the preferred candidate because she matched the established 'presidential profile.' "Of course, the final assessment of the perfect match we feel now can only be measured over the years of her tenure.

We feel now, however, that we have made the right decision. We all like her very much and feedback from campus indicates a great deal of respect for her and what she is trying to do" (Interview, chairperson).

Summary

The search committee, comprised of trustees, faculty members, alumni, and students, screened candidates and nominees to narrow the list to a group of finalists to recommend to the board of trustees. The secretary of the committee did not have a great deal of autonomy, conferring with the chairperson on most decisions. The committee decided early to use a search firm to reference candidates and to identify institutional needs upon which to base candidate evaluations. Institutional needs, resulting in development of a 'presidential profile,' were identified through interviews and surveys of faculty, administrators, students, and other college presidents. Interview questions were based on the list of institutional needs and selection of the new president was based on agreement that she matched the selection criteria.

College C

College C is an independent comprehensive coeducational institution founded in the late 1800's, awarding the bachelor's, master's, and doctoral degrees. Located in an urban setting, the campus supports an enrollment of approximately 2500 students. A small percent of the new students are in the top ten percent of their high school class. About half of the 175 faculty have doctoral degrees (Kaye, 1985). The emphasis is on the "education of the total person--the spirit, the mind, the body--with motivation of service to humanity" (College Catalog, 1984). Nearly all students follow careers of human service after graduation.

The Factors, Conditions and Events Leading to the Identification of Institutional Needs and Selection Criteria

At the same meeting at which the incumbent president announced his retirement, the chairperson of the board of trustees announced formation of a Trustees Presidential Selection Committee. The selection committee was comprised of a chairperson, a vice chairperson, ten trustees, and an administrative staff person to serve as committee secretary. The ten trustees were selected by the chairperson, vice chairperson, secretary of the committee and the chairperson of the board of trustees. One of the trustees was the student trustee and another was the alumni trustee. "This was a very committee group of trustees who saw the responsibility of

selecting a new president very important in the history of the institution" (Interview, secretary).

The chairperson was asked by the chairman of the board of trustees "to serve in this awesome responsibility. My role was to direct the selection process from its inception through the appointment of a new president" (Interview, chairperson). The chairperson had previously served as chairman of the board of trustees and was a member of the executive committee of the board. As he was semi-retired at the time of the search and selection process, he had time to devote to the process. The vice chairperson was also the vice chairperson of the board of trustees.

The secretary was selected because she was "respected by the campus community" (Interview, chairperson). She was also an alumna and had worked at the institution in Career Planning and Placement for four years. The chairperson of the committee identified the secretary of the selection committee as "the major force behind establishment of procedures and progression in the search and selection process" (Ibid.). He indicated that the secretary facilitated communications on campus and with candidates and nominees in a way in which people knew the aspects of the process without divulging confidential information. He indicated that as a major reason why the trustees felt good about their job. "Definitely put that in the study somewhere; it needs to be said" (Ibid.). The chairperson is convinced that selection of a respected

competent person to serve as secretary to the selection process is crucial to its success. "There was an orderly progression to the way in which we moved. There was agreement that we must determine institutional needs and selection criteria before we advertised as we might not get what we wanted" (Interview, secretary). This again was attributed to the secretary who "had prior knowledge of presidential search processes and was extremely helpful and blended nicely with the commitment of the trustees" (Ibid.). The committee also relied heavily on suggestions made in Nason's (1984) Presidential Search.

The Patterns of Influence in the Identification of Institutional Needs and Selection Criteria

At the first meeting, the committee decided to identify institutional needs. A blackboard was used to record institutional needs over the next five to ten years. There was agreement on major issues but the trustees decided to do independent thinking and to forward a list of institutional needs to the secretary for tabulation.

At the initial meeting, a suggestion was made for an 'advisory council' to be formed to serve as a liaison group between the Trustees Presidential Selection Committee and campus constituencies (Interview, secretary). This had resulted from faculty and administrators, the Faculty Senate, in particular, lobbying for a "vehicle by which they could influence the selection process"

(Ibid.). The chairperson indicated that he had been invited to meetings with the president of the faculty senate, and that although he agreed with the advisory role such a group might play, he was not ready at the initial stages to grant them voting privileges or membership on the selection committee. He attributed this primarily to the issue of confidentiality.

Although the trustees agreed to work with such an advisory group, the president's cabinet (Deans, Treasurer, Executive Assistant to the President) was refused on a similar request to formally participate in the process. "They were eligible to be on the Advisory Council, but as it turned out, none of them was. This fact particularly bothered one Dean throughout the selection process" (Interview, secretary).

Letters were sent to the chairperson of each campus personnel group requesting that they each select or elect representatives for the Advisory Council. The personnel groups used people currently involved in leadership positions in their personnel policy committees, and selected a few others to complete the group in the case of two groups with five people representing them (Ibid.). The council was formed in the first two months after the selection process was announced. The Advisory Council was comprised of sixteen members: five faculty, five administrators, two staff associates, two students, one physical plant department person, and one alumni representative elected by respective groups. Initial

meetings between the chairperson, vice chairperson, and secretary of the Trustees Presidential Selection Committee and the Advisory Council "did enhance our ability to communicate and recognize that we all wanted the best for the college and that it was important that we work together on this project. They were a very inspired, committed group of people; our committee enjoyed working with them and getting to know them" (Interview, chairperson). "This committee played a very active role in the selection process. They requested that they have a voice in what the institution needed and in what type of leadership that required, that a few representatives from their group meet with the selection committee on a regular basis, and that they have final selection voting privileges" (Interview, secretary).

The Advisory Council developed an institutional needs assessment and related selection criteria; "a list of institutional needs for the next 5 to 10 years" (Campus Memo, November, 1984). This was accomplished through surveys of their constituent groups. Although the trustees had originally stressed that they would be the sole group to vote on the selection of the new president, "we eventually included four representatives of the Advisory Council in our deliberations and in fact they were granted voting privileges during and after interviews of finalists. They really were a great help and their presence fostered a good feeling for all of us" (Interview, chairperson). This representation also quelled faculty

dissatisfaction with the trustees originally preferring to hold control of the entire selection process. "There really was a sense of communication between the groups, even though at the outset of the selection process there was distrust of the trustees on the part of the faculty. Our chairperson, particularly, did a fine job and had much patience and professionalism when working with faculty with anxious concerns" (Interview, secretary).

The institutional needs and selection criteria identified by the Advisory Council, as well as input solicited from the president's cabinet and academic division directors, were reviewed by the Trustees Presidential Selection Committee and found to match very closely their prioritized list (Interview, secretary). "We tabulated them and prioritized them, but we were very pleased that the lists looked very, very similar from group to group" (Interview, chairperson). "Overall, the differences in the two lists were that the trustees were intent on building upon fund-raising efforts and endowment as a priority above curricular and faculty improvements, and the reverse was true of the advisory committee, but through communicating, the selection committee decided that those concerns were of equal value and that we would look for a person first who could achieve these things through leadership rather than merely 'administration' or 'management'" (Interview, secretary). Figure 2 identifies the final institutional needs compiled by the trustees.

Figure 3

INSTITUTIONAL NEEDS

Academic leadership, with vision toward current and future societal needs, while strengthening the Humanities philosophy.

Long and short range innovative curriculum and financial planning.

Increase endowment, with allowance for substantial unrestricted funds for financial aid resources and monies for faculty development and operating and maintenance costs.

Institute effective enrollment management planning, with a focus on improving quality of students. Expand geographic areas for recruitment of students and encourage non-traditional students to apply.

Cultivate balance between professionalism and the liberal arts.

Encourage additional interdisciplinary, interdepartmental, and interinstitutional cooperation and collaboration to reduce duplication and encourage efficiency in underenrolled areas.

Facilitate an atmosphere of cooperation and mutual respect among personnel.

Maintain the quality of, and commitment to, programs and services for international students (Institutional Needs, Trustees Presidential Selection Committee, September, 1984).

Working from the identified institutional needs, the trustees developed the following document that served as the selection criteria:

Figure 4

PRESIDENTIAL QUALIFICATIONS

A prioritized synthesis of input from a variety of campus constituencies.

Proven leadership ability, preferably with experience with and/or an understanding of the academic dynamics and needs of an educational institution.

Commitment to our type of college and the Humanics philosophy.

Experience as a senior administrator, with success in maintaining effective relationships with faculty, students, administrative staff, and others.

Business acumen and successful development/fund-raising experience, including access to new sources of income.

Academic vision and an identifiable educational philosophy.

Fiscal planning and management.

Cultural and intellectual breadth, including a sensitivity and awareness to international relationships and the YMCA.

Skill in public and community relations.

Scholarly distinctions and teaching experience, with an earned doctorate.

A person of youth and high energy, with an appreciation of physical fitness (Presidential Qualifications, Trustees Presidential Selection Committee, October, 1984).

The chairperson indicated that "It is important to mention that there was a major difference between leadership and administrative experience. We knew we needed a leader foremost; someone to guide our institution successfully into its second century. We needed someone who could relate to people, could motivate them to work toward established and yet-to-be established goals" (Interview, chairperson). A quality considered important, a commitment to

the 'Humanics' philosophy of service to others, was a result of the fact that most students at the institution prepare for careers such as teaching, counseling, coaching, and YMCA work.

Extent of Influence of the Identification of Institutional Needs and Selection Criteria in the Selection of the President

Identification of needs and criteria were the basis for the presidential vacancy advertisement and were taken into account during the evaluation and interviewing of candidates (Student Newspaper, Fall 1984). The chairperson related that the committee spent "a long time looking at our needs before we even thought about advertising. That was probably the most important aspect of our success" (Interview, chairperson). The advertisement appearing in The Chronicle of Higher Education appears below:

President

College C

The Board of Trustees of College C invites nominations and applications for the position of President..

Founded in 1885, College C is an independent, co-educational liberal arts and professional studies college with a total enrollment of 2500. The 167 acre campus, situated in an urban setting, contains 29 major buildings. The basic theme of the college, the Humanics philosophy, is education of the total person--spirit, mind, and body--with motivation of service to humanity.

College C has programs for professional leadership in virtually every form of community and international service. Two undergraduate divisions: Arts and Sciences

and Health, Physical Education, Recreation, and Physical Therapy are complemented by graduate programs leading to the Master's, Certificate of Advanced Study, and Doctor of Physical Education degree.

Qualifications preferred:

Demonstrated scholarly competence, including the earned doctorate or its equivalent.

Successful administrative experience.

Demonstrated leadership ability.

Broad understanding of academic affairs as related to long-range planning and implementation.

Demonstrated ability to communicate and work effectively with campus and national and international constituencies.

Achievement in fund-raising and public relations.

Evidence of success in fiscal planning and management.

In the final analysis, the trustees were the ones who identified institutional needs and established the selection criteria. They were, however, aware of the fact that they were supported by other campus leaders. The final draft of institutional needs and selection criteria, drawn up by the secretary, was the basis for the vacancy advertisement. The draft resulted from combining and prioritizing lists from each group.

As College C relies heavily on its relationship with alumni, a special letter was sent to 20,000 graduates of the college. The two-fold purpose of the letter was to inform them of the search and to solicit their assistance in identifying appropriate candidates (Ibid.). The letter identified all members of the Trustees

Presidential Selection Committee, outlined the search and selection procedures, and indicated the preferred presidential qualities (Letter sent to alumni, July, 1984).

It was important to the selection committee that institutional needs be the basis of the selection process for two main reasons: (1) since the incumbent president had served for twenty years, it was important to look at where they had been during his tenure as well as where they were going in the future; and (2) the college has a special mission that needed review and publicizing so that everyone knew what the college stood for (Interview, chairperson). Other important components of the selection process included narrowing the large list of candidates to a short list, involving members of the college community in the process, evaluating candidates, and establishing an interview process that provided an opportunity for the committee to get to know each candidate. "We set a timetable early for a selection to be made by a certain date, even though it meant a no-nonsense approach to the process and many last-minute meetings" (Interview, secretary).

After devoting an entire day to interviewing representatives of three consulting firms, the trustees decided to employ an executive search firm specializing in selection of college and university presidents. The selection committee found the firm to be a valuable resource in identifying and researching candidates. "Without the search consultant we wouldn't have had as thorough a

search" (Interview, chairperson). "Although the search consultant was helpful in identifying some aspects of the process, the trustees maintained control of making the major decisions" (Interview, secretary).

Members of the campus community were informed of progress in the selection process and in the identification of institutional needs and selection criteria through surveys and results, and memos sent out by the chairperson of the Advisory Council. "These newsletters were reviewed by me, but only minor changes were made concerning confidential information of names of internal and external candidates" (Interview, secretary).

The search consultant reviewed and evaluated candidates, constantly reminded by the trustees to weigh them against the established list of needs and criteria. "The consultant was barraged by the committee regarding the required needs and the mission of the institution. We wanted him to know we were unique and that the match of the candidate had to meet that uniqueness" (Interview, secretary). "Although the committee continually reviewed and evaluated applicants and nominees, it was the search consultant who was the most precise and thorough in the evaluation and who came up with the shortened list for us to review" (Interview, chairperson). The trustees selected candidates for interviews based on findings of the committee, background information provided by the search consultant and key people who knew candidates in relation to

professional performance. The secretary, chairperson, and vice chairperson were really able to identify only a few that we considered outstanding in regard to our needs . . . the consultant identified twelve" (Interview, secretary).

The nature of the institutional needs and selection criteria affected the recruitment process because the search consultant understood the needs of the institution and attempted to match any prospective president with those needs, and the committee discussed candidates almost exclusively in relation to the established needs and mission of the college. The list of almost three hundred nominees and applicants was narrowed down to twelve semi-finalists and then down to six finalists for interviews.

Candidates were provided with a great deal of information about the institution related specifically to financial, long-range planning, mission, needs; the problems as well as the successes. "We accommodated anyone's request concerning desired information, at least once we were down to the persons selected for interviews" (Ibid.).

Questions for the interviews were formulated in advance by the trustees, secretary, and division directors, and were designed to determine a candidate's ability to meet the institutional needs and selection criteria. "I think we were consistent in what we asked all candidates, although there was flexibility based on strengths of a particular candidate" (Interview, chairperson). However, "many

additional questions sprang up spontaneously in the interview based on comments made by the interviewee" (Interview, secretary).

Responses to the interview questions were an indication for the committee of whether the candidate had the proper fit for the institution. Assessments were made on responses to the question "what does leadership mean?" and to scenarios of what the committee anticipated would be future issues at the college. There were also questions designed to determine how well the candidate knew the mission of the college. As Figure 4 shows, the Candidate Evaluation Sheet, used in final interviews, identified basic institutional needs. The Candidate Evaluation Sheet disciplined interviewers to focus on specific questions regarding those needs.

Although "as specified by Article 8, Section 1 of the College Bylaws, the board of trustees are responsible for selecting a new president" (Student Newspaper), the Advisory Council members played a significant role in that process by having four representatives sit in on the interviews and the evaluation discussions following interviews.

The preferred candidate was seen as liking the institution and having a feel for the mission of the college as well as the students. "He seemed quite comfortable with all of our questions and to have a self-assurance about his ability to meet our needs and relate to our philosophy" (Interview, secretary). The committee was particularly struck by his commitment to the type of institution,

Figure 5

CANDIDATE EVALUATION SHEET

Name of Candidate: _____

Please indicate your evaluation of candidate responses to question categories below by checking the box to the right of the category with one of the following five numbers:

- (5) Outstanding
- (4) Very Good
- (3) Good
- (2) Fair
- (1) Poor

Leadership QualificationsRating

Ideas regarding curriculum innovation	()
Enrollment management planning	()
Fund-raising experience	()
Evidence of leadership ability	()
Insightful plan for future of the college	()
Public relations ability	()
Business management experience	()

Breadth of Knowledge

Understanding of College Philosophy	()
Understanding of College as a system	()
Understanding of President's Role	()
Understanding of Faculty Role	()
Knowledge of trends in higher education	()

Administrative Style

Evidence of effective management techniques	()
Philosophy of administrative leadership	()
Relations with trustees	()

Personal Characteristics

Human relations potential	()
Educational background	()
Evidence of scholarly achievement	()
Personal competencies (humor, respect for others, communication skills)	()
Family status	()
Physical presence	()

General Summary Comments:

Interviewer: _____

seeing the need for retaining historical values and policies while making needed change. The reference checks were "outstanding, particularly on his ability to relate to people, get the job done, support of faculty, and interest in teaching" (Ibid.). "We felt our appointee was just perfect, and he is" (Interview, chairperson).

Summary

The selection committee was comprised entirely of trustees, although there was an advisory committee to the selection committee comprised of faculty, administrators, staff, students, and alumni. A major role of the Advisory Committee was identification of institutional needs and selection criteria and evaluation of final candidates.

A search consultant was used extensively to research and evaluate candidates and to assist in identifying semi-finalists. The consultant was instructed to base evaluations of candidates on institutional needs and selection criteria. All semi-finalists and finalists were evaluated in comparison with the institutional needs and selection criteria.

University A

University A is a state-supported coeducational university. Founded in 1889, the university awards bachelor's, master's, and doctoral degrees. The university is situated on a 1400-acre campus, with a student population of 12,926. Seventy percent of the 1005 faculty have doctoral degrees. The library has 1.1 million bound volumes (Kaye, 1985).

The Factors, Conditions, and Events Leading to the Identification of Institutional Needs and Selection Criteria

The board of trustees had established selection procedures in 1977 for selection of a previous president, revising the format for the selection of the new president. The selection procedures dictate the "the election of the President-Elect will be by the full Board of Trustees and that a screening committee be established" (Selection Process for President, March, 1985). The Table of Contents of the Selection Procedure for President (1985) appears in Figure 5.

Figure 6

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The University board of trustees established a Screening Committee in the Spring of 1985. The committee was comprised of eleven members:

- two trustees, one named chairperson of the committee;
- three faculty members selected by the faculty, one the president of the senate;
- two students, one the president of the student body and the other the president of the student senate;
- two staff members, one the secretary to the board of trustees and the other appointed by the chairman of the board in consultation with the administration;
- the president of the Alumni Association; and
- the president of the University Foundation.

The role of the screening committee was:

1. It will be guided by this Selection Process.
2. It shall establish guidelines and ground rules on how screening will be conducted in order to protect confidentiality and explore all methods to expedite the steps of this process.
3. It will make the first review of candidates and rate them according to their potential qualifications.
4. It will also be charged with the search for qualified candidates who have not applied, or those who have not had nominations on their behalf.
5. The Screening Committee will have as its goal the development of a list of approximately ten (10) available candidates, all of whom appear to have the desirable qualifications for the Presidency of University A ("Selection Process for President," March, 1985).

A separate selection committee was comprised of six people: the president of the Faculty Senate, the president of the student body, and four trustees. There was no Advisory Committee. The role of the selection committee was to perform the following functions:

1. It will be guided by the revised Selection Process.
2. It shall establish guidelines and ground rules on how its proceedings will be conducted in order to protect confidentiality and explore all methods to expedite the steps of this process.
3. It shall evaluate candidates whose names are submitted to it by the Screening Committee and may include selected personal interviews as deemed appropriate by the Committee.

4. It shall submit to the Chairman of the Board of Trustees the names of no less than four (4) final candidates on or before September 1, 1985
(Memorandum to Selection Committee, Secretary of the Board of Trustees, July, 1985).

As dictated by the "Selection Procedures for President" (1985), the secretary to the board of trustees also served as secretary to the screening and selection committees. He had experience in working with trustees and constituent groups and knew the workings of the university. He was an "expediter, coordinator, and administrator of the process" (Interview, secretary). He set up meetings, arranged interviews, sat in on deliberations and interviews of finalists, providing suggestions and advice when needed. He arranged for off-campus meetings of candidates and college representatives and supervised the videotaping of interviews of semi-finalists (Interview, chairperson). The secretary was charged with responsibility to "coordinate all search efforts, complete background investigations, maintaining confidential records of all candidates" ("Selection Process for President," March, 1985).

Although the board of trustees established the procedures, there was flexibility for the screening committee and selection committee to make appropriate changes. This was not done to any great extent (Interview, chairperson). The screening committee established detailed guidelines at their initial meeting, authorizing the secretary "to place these procedural guidelines in the public domain" (Screening Committee Guidelines, April, 1985).

The guidelines included suggestions for determining time and location of candidate screenings, maintaining confidentiality of candidate names, evaluating candidates, and narrowing the list of candidates for the selection committee.

The components of the selection process, as identified by the board of trustees, were: to determine institutional needs, screen applicants and nominees, and narrow the field of candidates through research of their backgrounds and interviewing (Ibid.). The two most important components were "evaluating and matching candidates to our needs and videotaping of interviews with the semi-finalists" (Interview, secretary).

Information regarding the search and selection process was disseminated throughout the campus in written form, although there was great care taken to protect the confidential nature of identification of candidates and nominees (Interview, chairperson, screening committee). The senate meetings, some meeting minutes, memos, and the student newspaper, news media, were all vehicles of information. The media, particularly, were interested, as there had been great controversy on campus regarding visible problems on campus (Interview, secretary).

The Patterns of Influence in the Identification of Institutional Needs and Selection Criteria

The establishment of institutional needs was partially precipitated by having had a president in place who did not meet with

Board approval. "He did not know how to relate successfully with a land grant institution, nor the conflicts that might arise in different constituent groups" (Interview, secretary). There was an awareness that a new kind of leadership was needed, one that could get the university back on course while soothing constituencies, and could forge ahead in new directions. The establishment of institutional needs, then, arose out of internal controversy and institutional problems (Ibid.).

Institutional needs and selection criteria were established by the screening committee through surveys and discussions with their constituent groups and the board of trustees. The trustees deliberated on the needs of the institution, with a focus on long-range planning.

The "faculty felt they had adequate input in the process" (Interview, chairperson, screening committee). The president of the faculty senate served on the screening and selection committees, and was a valuable resource for each of these committees. His major responsibility was to reflect the desires of the faculty. He sat in on all deliberations and interviews with finalists (Ibid.).

Presidential qualifications were based on institutional needs proposed by the screening committee and the board of trustees. These needs were in informal and written format. Basically, the "screening committee supported what the trustees proposed and added to them from their own resources" (Interview, chairperson, search

committee). The screening committee did a great deal with their constituent groups. The major qualifications identified were leadership ability, previous experience with a land grant institution, and ability to articulate.

There was lack of total consistency in establishing institutional needs and selection criteria, but the screening committee finally felt comfortable with what they established. Although trustees had the greatest influence in determining institutional needs and selection criteria, there was a willingness to listen and heed the input of the screening and selection committee (Interview, chairperson, screening committee). After polling the screening committee, the institutional needs were placed in written form by the board of trustees. In fact, selection criteria were determined primarily by the selection committee (Interview, secretary). The advertisement was general; primarily a tool to publicize the search for a new president rather than to describe specific preferred qualifications. A facsimile of the advertisement appears below:

University A

PRESIDENT

University A invites nominations and applications for the position of President. The President is elected by the Board of Trustees and is charged with the responsibilities of administering the affairs of the University as its chief executive officer. University A is a State university and a land-grant college ("Selection Process for President," March, 1985).

Extent of Influence of the Identification of Institutional Needs and Selection Criteria in the Selection of the President

At the initial meeting of the screening committee, guidelines were set for candidate evaluation in accordance with "Selection Process for President" (1985) approved by the board of trustees. These included responsibilities to the (1) board of trustees, (2) faculty, (3) students, (4) public service, (5) mission of the university, (6) short- and long-range planning, (7) meeting the challenges of the future, (8) public relations, (9) evaluation of results achieved, (10) administration of the board of trustees, (11) institutional research, and (12) manpower development. These responsibilities were based on institutional needs and became selection criteria (Interview, secretary). Figure 6 identifies a list of desirable qualifications developed by the trustees to meet identified needs.

The list of desirable qualifications included specific personal qualities that were identified as a result of the perceived inadequacies of the incumbent president. There had been considerable dissatisfaction with his personal lifestyle.

Committee members had score sheets on which they reviewed and evaluated each candidate. Each committee member individually and privately scored each candidate based on qualifications to meet the "Responsibilities of the President" (Ibid.). There was an independent appraisal for "highly qualified candidates" (Interview,

Figure 7

DESIRABLE QUALIFICATIONS

The Board believes the following to be desirable qualifications for a President. While no candidate will meet all of these qualifications, these are selection criteria for candidate evaluation.

1. Background.

The candidate should:

- (a) Be a recognized scholar or person with an academic background.
- (b) Preferably hold an earned terminal degree.
- (c) Have a wholesome family life.
- (d) Understand fully the teaching, research and public service functions of the University.
- (e) Understand the role of public-supported universities.
- (f) Understand fully the unique role of a land-grant university.
- (g) Be fully sensitive to the needs and desires of students.
- (h) Articulate well and expand on the University's problems, accomplishments and future goals.
- (i) Be able to educate all of the University's constituencies on the development of the institution.
- (j) Be a well seasoned and effective administrator or executive in either the private or public sector.
- (k) Be able to set goals and move toward them with a firm pace.
- (l) Have astute political sense.
- (m) Be able to provide a good evaluation of results.
- (n) Have a demanding and well-groomed appearance.

chairperson, screening committee). This required favorable votes from two-thirds of the committee. The screening committee then searched for additional information. The candidates were discussed by the full committee, with highly qualified candidates asked to submit a statement regarding how he or she met the position specifications and a statement of the candidate's personal philosophy of higher education. Based on this and previous information, the committee selected the top fifteen of the 350 applicants for referral to the selection committee ("Selection Process for President, March, 1985).

The selection committee reviewed credentials of all fifteen people, summarizing pertinent information, including personal characteristics, uniqueness and management responsibilities. Committee members had a file for each candidate so they could tabulate their impressions independently. The list was then narrowed to ten finalists referred for videotaped interviews, using questions developed by the selection committee (Memo, Vice President for Administration, August, 1985). A seasoned interviewer, the Vice President for Institutional Advancement, was used for each of these interviews held at a variety of geographic locations: "consistency was the key" (Interview, secretary). There were five questions for the candidate, a "summarization of what everyone felt about institutional needs" (Ibid.), one question for the spouse, and a request for a concluding statement. The questions were as follows:

1. Why do you want to be the President of University A, and what are your long-term career goals?
2. What is the proper role of intercollegiate athletics in a major land-grant institution?
3. What is the role of institutional advancement in terms of private philanthropic fund raising, and what is your most significant achievement?
4. What is your philosophy of university governance, especially as it relates to the university faculty and student body?
5. What is your management philosophy and the role of institutional planning?
6. (Spouse) How do you view the role of a university president's spouse, especially as relates to entertaining in your home and on campus?
7. Would you make a concluding statement in any area that you choose? (Memorandum to Presidential Selection Committee, Vice President for Institutional Advancement, August, 1985).

The selection committee reviewed the videotapes, and again voted independently to determine a group of four finalists, all of whom met the needs of the institution and fully fit the desired presidential profile. There also was a commitment to identifying finalists who exhibited the appropriate "chemistry" or interpersonal skills and who were able to articulate a match with institutional needs (Interviews, chairperson and secretary). The selection committee served as a liaison group to the board of trustees, making suggestions and evaluations.

Each of the finalists was provided with detailed information about the institution, including the Trustee and Faculty Manuals, Financial Report, and University Catalog. The secretary of the committee had numerous personal conversations with the finalists designed to provide additional information.

Extensive inquiries were made regarding the finalists, with research conducted on their home campuses. The board of trustees conducted extensive interviews with the finalists at an off-campus location. The board of trustees arranged for the incumbent president, small committees of faculty and students, deans and cabinet officers to meet with the finalists. These constituencies were asked to submit written responses of the candidates which were considered by the board of trustees. The trustees voted independently on a written ballot with unanimous support for the preferred candidate (Interview, secretary). There was agreement that he perfectly fit the desired presidential profile.

Summary

There was a very orderly progression, prescribed in advance by established guidelines, to the entire search and selection process. The secretary of the selection process had benefited from the process seven years earlier in which "there were many mistakes made, including leaks of candidate names, lack of campus constituency representation in the process, and selection procedures that did not

fully delve into what kind of president the institution needed" (Interview, secretary). The chairperson of the screening and selection committees was also the president of the faculty senate; he coordinated the identification of institutional needs and selection criteria. The board of trustees held final approval on the needs and criteria, although there was little discrepancy in the final analysis.

The screening committee, which evaluated all candidates and nominees to narrow the list to fifteen for the selection committee, was comprised of a variety of campus constituencies. The list of responsibilities of the president and personal qualities desired was used in evaluating candidates at each stage in the process. Questions posed during videotaped interviews of finalists were based on institutional needs. The candidate selected by the board of trustees was judged to be the best "fit" with institutional needs.

University B

University B is a state-supported coeducational university situated on a 1000-acre campus. Founded in 1906, it awards bachelor's and master's degrees. The student population is 11,771. Sixty-six percent of the 631 faculty have doctoral degrees. The library has 912,000 bound volumes (Kaye, 1985).

The Factors, Conditions, and Events Leading to the Identification of Institutional Needs and Selection Criteria

The board of trustees (Regents) is comprised of eight members appointed by the governor, no more than four of which can be from one particular party; one faculty member, and one student. The board of trustees established a 16-member Presidential Search Advisory Committee to assist the board in the evaluation of presidential candidates. The committee consisted of business, education, professional, student and community leaders. The committee "represented a direct communication link for the university's constituencies and the board of trustees" (Interview, secretary). The Presidential Search Advisory Committee elected a chairperson who was a former regent with knowledge of the institution (Ibid.).

The chairperson was responsible for the total process of search and screening. He was the major representative of the board of trustees, even though he was not a member of the board. He worked closely with the secretary to set up meetings, agendas, and timetable. The chairperson, secretary, and the board of trustees selected members for the Presidential Search Advisory Committee (Ibid.).

The secretary, called the Staff Director, held the position of university attorney, or "House Counsel" (Ibid.). He had previous experience advising the president and the board of trustees and was

asked by them to serve as staff director. He had also served as the staff director for a presidential search at the institution seven years earlier and had advised other colleges and universities on presidential search and selection (Interview, chairperson). The staff director felt that his selection to serve the committee was based on a combination of "respect and knowledge of search and selection. Why is the most powerful position in the Soviet Union the Secretary of the Party? The staff director position was a result of a power base, respected by the constituencies, and in control" (Interview, secretary).

As a result of the previous search, the board of trustees chose not to have an incumbent regent on the committee to quell fears of favoritism or a "political appointment" (Interview, chairperson). They did not want any controversy surrounding the search. The secretary indicated that there were "fifteen members on the committee, which was too many" (Interview, secretary). There were two former regents, one of whom chaired the committee, five or six faculty, two students, and five business executives from the local community, some of whom were alumni (Interview, chairperson).

There was no advisory committee to the selection committee. "We felt we did not need an advisory committee with the cross section representation on the committee. There was no request for one. There was a good feeling about the search process, contrary to that which transpired seven years ago" (Interview, secretary).

The previous search was not without "its hassles and finger pointing. We were faulted for our membership of having too many sitting regents on the committee, lack of confidentiality about candidates, and the institution was going through an upheaval. A feeling of faculty alienation had resulted. The president selected must have been sent from heaven, in spite of the committee, because he has brought calm and prosperity to the institution" (Interview, secretary).

Those involved in the previous search felt they benefited from that process. "There was no divisiveness on campus during this recent selection process; there is a better search conducted when the campus is not divided" (Ibid.).

The Patterns of Influence in the Identification of Institutional Needs and Selection Criteria

Search and selection procedures were established by the chairperson and the university counsel, but the Presidential Search Advisory Committee also had considerable input. The committee had a "non-paid consultant, a retired professor who gave credibility to the process." (Interview, chairperson). The consultant made suggestions regarding the process, specifically recommending the necessity of involving campus constituencies in the process. All members had input into the components of the process while the mechanics of meeting times and agendas were "more easily handled by

the secretary and the chairperson to expedite the process" (Interview, secretary). The secretary stated that the "increasing use of search consultants is deplorable. The board has a duty to wrestle with whatever constituencies or situations exist. Overuse of consultants is susceptible to manipulative abuses--too much delegation, too much rejection of duty. It is, however, desirable to use the consultant for research of candidates" (Interview, secretary).

The major components of the selection process were "narrowing the list of candidates based on review and evaluation, interviewing and researching the candidates" (Interview, chairperson). The secretary indicated that the interviews were the major part of the selection process, although "confidentiality was crucial. The Open Sunshine laws were circumvented when the governor decided that our committee was not a public body because no incumbent regents were on the advisory committee. The committee had no official function other than to make recommendations of finalists to consider, so they found this way not to hang out their dirty linen" (Interview, secretary).

The campus community approved of using needs identified in a previous search as they had resulted in the selection of a president who proved satisfactory to the university community. "Selection criteria were based on assessments done seven years ago of institutional needs during a search for a new president. There was

a need to look at who we were and where we were going" (Interview, chairperson). Institutional needs were established by open discussions and forums on campus with the faculty and student body, the results of which were reported to the board of trustees. The board of trustees and the campus groups had the greatest influence in the determination of institutional needs and selection criteria. The committee felt that with approval from the campus community, these needs and criteria were still valid (Ibid.). The campus community focused their attention on supporting a process that did not have political overtones and was conducted efficiently (Ibid.).

The selection criteria, drafted by the Staff Director, flowed naturally from the institutional needs established in the earlier process (Interview, secretary). The committee felt that "the need is such and such, therefore, we must seek such and such" (Interview, chairperson). The chairperson and secretary concurred on the fact that all campus representatives were involved in the identification of institutional needs and selection criteria seven years ago and that there were no differing priorities of needs and criteria on campus (Interviews, chairperson and secretary).

The committee informed others on campus of the institutional needs and selection criteria, but they were "extremely careful, and successful, in protecting names of candidates" (Interview, chairperson). The campus was aware of what the committee was looking for and the components of the process through faculty representatives and the students on the committee.

Extent of Influence of the Identification of Institutional Needs and Selection Criteria in the Selection of the President

The institutional needs and selection criteria affected the recruitment process in the way in which candidates were evaluated. The advertisement for the position listed criteria for preferred candidates. These criteria were listed in headings above evaluation spaces in a matrix sheet used for evaluations. The advertisement appearing in The Chronicle of Higher Education appears below:

PRESIDENT

Nominations and applications are invited for President of University B.

University B, with an enrollment of 11,500 students, is a center of learning where qualified students may receive general and specialized higher education at the undergraduate and graduate levels.

Criteria for the position include:

- A. Demonstrated scholarly competence with weighted preference to persons holding earned doctorate or equivalent;
- B. Qualities of educational leadership and ability to maintain effective relationships with faculty, students, administrative staff, and others;
- C. Successful experience in a college or university setting with preference given to experience in college or university classroom teaching;
- D. Broad understanding of academic affairs as related to long-range planning and commitment to continued professional development;
- E. An appreciation for and willingness to work in an atmosphere of a "community of scholars";

F. Exceptional facility in human relations, including governmental relations; and

G. Demonstrated administrative competence.

Each committee member had a file of credentials and did an independent appraisal of the written credentials by using the matrix identifying selection criteria for evaluation. Through this process, the list was narrowed to twenty candidates after the first screening meeting (Interview, chairperson). Two long meetings followed, averaging about four hours each, in which open discussions were held concerning qualifications of the remaining twenty candidates. "We went down the list alphabetically to discuss candidates. We did not intend to leave until we had the situation resolved. We narrowed the list to ten semi-finalists based on institutional needs and selection criteria" (Ibid.).

In communications and interviews with candidates, some information was provided to all final ten candidates so they could "talk intelligently about the institution. If someone asked for something, it would be sent to all candidates" (Interview, secretary). "We included things such as financial statements, budgets, catalogs, bylaws" (Interview, chairperson).

Interview questions were formulated in advance, although there was not an extremely formal atmosphere during the interview session; there were many spontaneous questions. "It was not like an investigation" (Ibid.), although interviews were specific at points. Every candidate was asked every question. "There was pretty good

screening and weeding. The chemistry with the candidate was extremely important" (Ibid.).

Specific questions were designed to determine a candidate's ability to meet institutional needs and selection criteria. Questions included "What do you perceive to be the mission of the university? What would be your approach toward long-range planning? What would be some specific steps you would take to establish and maintain communication with the governing board and faculty? What are the key things you would expect to accomplish in your relationship with each?" (Interview, secretary).

After the ten semi-finalist candidates were interviewed, a list of five finalists, "any one of which would have made an outstanding choice, was established" (Interview, chairperson). There was one internal candidate on the list of the final five. The selection of the preferred candidate was based on the personal qualities and the fit with the institution. He was preferred to the extent that an arrangement was made for him to gently filter into our institution from his previous position on a part-time basis until the move could be made fully. He fit what "we had determined we needed" (Ibid.).

The Staff Director, in an interesting observation about the search and selection of college presidents, indicated that "these things we call searches, after having lived through two, are really not searches at all, but rather a post and bid situation. We don't

search. We advertise and then accept in a passive process" (Interview, secretary). A need exists for governing boards to aggressively go out and find someone, "a throwback to our former ways of selecting presidents, when a board of trustees identified one person" (Ibid.).

Summary

There was a sixteen-member Presidential Search Advisory Committee comprised of former regents, six faculty, two students and five business executives from the local community. The state Open Sunshine laws were circumvented when no incumbent regents were placed on the committee. Confidentiality of candidates was thus protected.

The University was determined to conduct a successful selection process after having considerable unrest and alienation during the last presidential selection process seven years ago. The institutional needs and selection criteria identified during the previous selection process were used in this new process. All campus constituencies were represented in identifying institutional needs and selection criteria during the earlier selection process, with the board of trustees having the greatest influence.

Candidates were evaluated on a matrix comparing their background and qualifications with institutional needs and selection criteria. The advertisement appearing in The Chronicle of Higher Education was very specific as to selection criteria.

Some interview questions were designed specifically to determine a candidate's ability to meet institutional needs and selection criteria, with a strong emphasis on the personal qualities or 'chemistry' exhibited by the candidate during the interview process.

Cross Case Summary

The total data assembled from the case studies have been summarized, the details of which follow. For convenient comparison, a summary chart appears at the end of the chapter.

Committee Leadership and Membership

The chairpersons of the selection processes had been either chairpersons or vice chairpersons of the board of trustees, while the secretaries were staff persons at the institutions, four with prior knowledge of the search and selection of presidents in higher education. Three of the four secretaries with prior knowledge had participated in a previous search for a president and the fourth had done research on the selection of college presidents. The chairpersons directed the selection process to the point of identifying finalists for the board of trustees. The secretaries also had extensive responsibility, primarily organizing and implementing the selection process, including corresponding with campus constituencies and candidates, arranging meetings and agendas, and providing

suggestions and advice to the committee. Secretaries from College C and University A worked with trustees in selecting membership for the search and selection committees.

Although the composition of the selection committees varied, four institutions included faculty, students, and alumni from the outset of the search and selection process on either the selection or search committee. At College C, the selection committee was comprised entirely of trustees. This caused alienation among the campus community, particularly the faculty who wanted to be a part of the process. The president of the faculty senate requested that faculty play a role in the selection process. An advisory committee to the selection committee was established following requests made by campus groups to play a role in the selection process. Each campus personnel group and the alumni elected representatives to serve on the advisory committee, and the president of the student board of governors and the president of the student government were invited to serve. The committee was comprised of five faculty, five administrators, two staff associates, one physical plant employee, two students, and one alumni representative.

The advisory committee assumed responsibility for identification of institutional needs and selection criteria. Through surveys and discussions, the committee maintained the lines of communication between campus constituencies and evaluated finalists after participating in their interviews.

The other institutions indicated that they had decided not to use an advisory committee as they had cross-campus representation on their search and screening committees. Colleges A and B had screening committees comprised of trustees, faculty, students and alumni. The screening committees narrowed the field of finalists to be recommended to the board of trustees. University A had a screening and selection committee, each of which had trustees, faculty, alumni, and student representation. Some of these people served on both committees.

Establishing the Selection Process

Although the full committee had input into how the selection process would progress, the chairperson and secretary assumed primary responsibility for establishing the process. At only College B did the chairperson indicate that the chairperson and full committee shared full responsibility rather than indicating that the secretary had significant input. There seemed to be a hesitancy to indicate publicly that committee members would delegate substantial discretionary responsibility to the secretary. This was also the college that was unwilling to share their institutional needs.

At University A, a detailed selection procedure established during a selection process seven years earlier was amended slightly for use in the new process, while the other four institutions established a timetable and major aspects of the search and selection process at the first meeting. There were political

overtones to the selection process at the universities, particularly concerned with protection of confidentiality of candidates and efforts to refrain from having the process become politically motivated.

The use of a professional search consultant was a matter of considerable discussion at each of the institutions. Colleges B and C decided to use a search consultant to help research and evaluate candidates and nominees, and, in one case, to identify potential candidates by conducting screening interviews at off-campus locations. College A decided not to use a search consultant, but indicated that more thorough research of candidates might have been conducted had a consultant been used. At University A, a member of the screening committee had personnel and executive search experience which was shared with the committee. One of the university secretaries expressed disdain for the use of search consultants, indicating that the responsibility for selecting a new president should be assumed entirely by the board of trustees with assistance from campus constituencies.

The following components of the process were consistent at every institution: establishment of a timetable, identification of institutional needs and selection criteria, advertisement of the position, evaluation of candidates and nominees, preparation of meeting agendas, interviews of candidates, confidentiality, and selection of the final candidate. All five institutions indicated

that institutional needs identification was of primary importance in the selection process. University A conducted 20-minute videotaped interviews with semi-finalists and their spouses. The secretary indicated that the trustees were convinced that the videos provided interview consistency. They were satisfied with their decision to ask all final candidates the same five questions, and to direct one question to the spouse. University A was the only institution to include the spouse in a substantial way in the interview process.

Identification of Institutional Needs and Selection Criteria

Institutional needs assessments were gathered from trustees, faculty, administrators, students, alumni, and staff associates. At the three colleges, the long-range plan was used as part of the basis of institutional needs. At College B, the trustees also interviewed approximately twenty college presidents about the role of the president in higher education today. At University A, there were internal controversies, including a focus on the role of athletics in the higher education process. At the other university, the institutional needs identified seven years earlier were used for this selection process as the trustees felt the needs continued to be relevant.

At all three colleges, there was a feeling that after having had a president for many years, it was time to determine the direction of the college. (At College C, the president had been there for twenty years.) Campus constituencies wanted to become

involved in the selection process through the vehicle of identification of institutional needs. The boards of trustees concurred, developing a list of institutional needs after gathering information from campus constituencies.

At the colleges, the long-range plan, board of trustees, faculty, administrators, and staff provided input into the identification of institutional needs. At College C, the Advisory Committee did extensive surveying of campus groups to gather opinions. At University A, there were surveys, informal discussions, and interviews with campus constituencies, particularly faculty.

There were few differing priorities on institutional needs and selection criteria within institutions. At College A, however, there were lengthy discussions revolving around whether the new president should be an internal or external person. It was finally decided that the best way to approach the controversy would be to seek the most qualified candidates, regardless of their internal or external status. At College C, the Advisory Committee's list of institutional needs mirrored those of the board of trustees. At University B, there was not total consistency during the process of identifying the needs and criteria, but, through discussions, they were able to agree on what was best for the institution.

The boards of trustees, long-range planning committees and the faculty influenced the development of institutional needs. The

institutional needs provided some basis for the selection criteria or 'presidential profile.' Selection criteria evolved through discussions leading to subjective assessments of the qualities and experience necessary to fulfill the needs of the institution. The selection criteria specified that preferred candidates would possess experience, evidence of skills and abilities, or philosophy that would match the institutional needs and selection criteria.

Drafts of institutional needs and selection criteria were developed by the secretaries after receiving information from various groups. The secretaries from Colleges A and C indicated that they had considerable influence in prioritizing and defining the lists.

College B chose not to publish the institutional needs internally or externally, and they were not willing to share the needs with this researcher. The other four institutions informed campus constituencies and alumni of institutional needs through letters, memos, newspaper articles, informal discussions, and meeting minutes.

The Recruitment Process

The institutional needs and selection criteria affected the recruitment process in the way in which the position was advertised, the information provided to search consultants, the initial screening of candidates and nominees, interview questions, and the selection of the preferred candidate.

College B and University A used a general, non-specific advertisement void of selection criteria so that they could publish their vacancy immediately. While the advertisement was appearing, the search and selection committees worked on institutional needs. At the other three institutions, advertisements were not published until they had established institutional needs and they could indicate related selection criteria. The advertisements identified selection criteria that were fairly consistent from one institution to another, including leadership qualities, successful administrative experience in higher education, fiscal planning and management ability, scholarly competence, a doctoral degree or its equivalent, fund-raising ability, and good character. One college sent a special letter to all alumni providing information about the search process and soliciting nominations and applicants.

All five institutions limited the information provided to candidates, except for specific requests, until the list was narrowed to finalists. Finalists were provided with specific financial information, institutional needs, long-range plans, catalog, faculty handbook, and college bylaws. At University B, the final four candidates were able to request any information they wanted, as well as to have discussions with college personnel.

Evaluation of Candidates

Evaluation of candidates and nominees was based from the initial stages of the evaluation process on evidence of a match with institutional needs and selection criteria. Secretaries reviewed all credentials submitted by applicants and nominators, making notations of those considered to have preferred qualifications. Thereafter, the screening or selection committees reviewed them independently, making evaluations based on a match with institutional needs and selection criteria. At Colleges B and C, the search consultant also reviewed and evaluated the credentials, adding another dimension to the process. Independent appraisals were done on score sheets or matrices to narrow the field of candidates to a manageable number for thorough discussion. The resulting number ranged between 11 and 25 semi-final candidates.

The qualifications of semi-finalists were either discussed further, sometimes with additional referencing, or they were invited for screening interviews. These group evaluations were conducted during lengthy meetings specifically called for that purpose. Institutional representatives indicated that narrowing the list of candidates using the prescribed institutional needs and selection criteria was efficient because there were guidelines upon which to base candidate evaluations.

The way in which candidates were selected for interviews differed from one institution to another: College A and the

universities selected a limited number of candidates for interviews based on references and qualifications; College B selected twenty-five or thirty candidates for preliminary "conversations" with committees of three or four, and in a second step, finalists were selected from this group; and College C selected candidates with assistance from the search consultant, based on referencing and conversations with potential candidates.

The underlying theme in the evaluations at all institutions, regardless of the process, was to evaluate candidates in relation to institutional needs and selection criteria. The evaluations, although subjective in nature, were done by a variety of people.

At every institution, there were specific interview questions designed to determine a candidate's ability to meet institutional needs. Additional questions evolved during the interview process at all institutions except University A. Some questions resulted from a response to candidate qualifications.

Although questions were based on institutional needs and selection criteria, each institution indicated that the personal qualities displayed by the candidate, the 'chemistry' of whether the candidate would 'fit' the institution, was very important. The selected candidates fit the 'presidential profile' and projected a personal and professional ability to be a match with the institutional needs and selection criteria.

TABLE 2

Comparison Across Cases of Findings Relative to Research Questions of the
Colleges and Universities Studied

Summary Chart

	College A	College B	College C	University A	University B
<u>Committee Leadership and Membership</u>					
Committee Structure	Selection and Screening Committees	Selection and Screening Committees	Selection and Advisory Committees	Selection and Screening Committees	Selection and Screening Committees
Chairperson with Previous Experience in Presidential Selection	Yes	Yes	Yes	No	No
Secretary with Previous Experience in Presidential Selection	Yes	No	Yes	Yes	Yes
<u>Establishing the Selection Process</u>					
Process Established Primarily by	Chairperson and Secretary	Full Committee	Chairperson and Secretary	Previous Search Committee	Chairperson and Secretary
Use of Professional Search Consultant	No	Yes	Yes	No	No

TABLE 2--Continued

	College A	College B	College C	University A	University B
<u>Identification of</u> <u>Institutional</u> <u>Needs and</u> <u>Selection Criteria</u>					
Events Precipitating Identification of Institutional Needs and Selection Criteria	New Time in History of College	New Time in History of College	New Time in History of College	Controversies on Campus	Unrest during Previous Search
Who Participated in Identification of Institutional Needs and Selection Criteria	Trustees, Campus Groups, Long-Range Planning Committee	Trustees and Campus Groups	Trustees, Campus Groups, Long-Range Planning Committee	Trustees, Campus Groups,	Trustees and Campus
Publication of Institutional Needs and Selection Criteria	Yes	No	Yes	Yes	Yes

TABLE 2--Continued

	College A	College B	College C	University A	University B
<u>The Recruitment Process</u>					
Institutional Needs and Selection Criteria Used in Advertisements	Yes	No	Yes	No	Yes
<u>Evaluation of Candidates</u>					
Initial Evaluations of Candidates based on Institutional Needs and Selection Criteria	Yes	Yes (Selection Criteria)	Yes	Yes	Yes
Final Decisions Based on Match with Institutional Needs, Selection Criteria, and Personal Qualities	Yes	Yes	Yes	Yes	Yes

C H A P T E R V

CROSS-CASE ANALYSIS OF THREE INDEPENDENT COLLEGES
AND TWO UNIVERSITIES

The total data assembled from the case studies were subjected to a cross-case analysis, the details of which follow.

1. The factors, conditions, and events leading to the identification of institutional needs and selection criteria in the selection of a new president.

In reviewing the factors, conditions, and events leading to the identification of institutional needs and selection criteria, the researcher became increasingly aware that there were two major categories. The first--the recent history of the presidency--breaks down into categories by type of institution. The colleges indicated that the selection of a new president coincided with a sense that this was a new time in the history of the institution. Given the considerable length of tenure of the incumbent presidents, there was consensus that an ideal opportunity existed to assess the status and mission of the institution and to determine where the institution wanted to be positioned in the future. The universities, on the other hand, seemed preoccupied with specific problems that indicated the need to participate in an introspective process. At one university, internal controversies regarding the way in the which the university conducted the previous search had resulted in unrest

on the campus and dissatisfaction with the athletic policy of the president selected during that search. At the other university, there was a degree of dissatisfaction with the leadership and personal life of the incumbent president. These histories gave each selection committee something specific to avoid.

The second of the factors, conditions, and events leading to the identification of institutional needs and selection criteria is the history of providing for constituency involvement in decision-making processes. Four institutions--two colleges and two universities--had conducted presidential searches within the previous ten years. Having established the precedent of representation in those searches, constituencies gained easy entry into the new search. At the college in which the previous search had been conducted twenty years earlier, there had been little constituency involvement and, therefore, there was no precedent for involving campus groups. This factor was further reinforced by a trustee group that had not been accustomed to joint ventures with campus constituencies. The trustees had little inclination to include constituencies in the process. The selection committee eventually bowed to pressure and included constituent representation in the identification of institutional needs and development of selection criteria and in the evaluation of final candidates. The researcher conjectures that if the selection committee had not eventually provided an opportunity for this participation, the process would have been besieged with accusations and bitterness.

2. The patterns of influence in the identification of institutional needs and selection criteria.

There appeared to be compelling conditions, the presence of which exerted influence in the identification of institutional needs and selection criteria, particularly the process by which the institutional needs were identified and the selection criteria evolved. Compelling conditions that existed at each institution were the level of experience and sophistication of committee leadership, the presence of an on-going introspection process, and the tendency for campus constituencies to be actively involved in the identification of institutional needs and somewhat involved in the development of selection criteria.

The experience and sophistication of committee leadership influenced the process by arranging access for constituent groups, keeping the campus community informed, and maintaining control of the process. Those secretaries and chairpersons with considerable experience in higher education, particularly in presidential selection, seemed to have an effect on the level of communication across campus.

At College A, while there were structured aspects of the selection process, there was from the outset a controlled openness which can be attributed to the sophistication of the chairperson and secretary of the committee. Their considerable experience in higher education provided them with the sensitivity to emphasize their advisory role in the process, to keep the campus community informed,

and to make every effort to achieve campus-wide satisfaction that everyone had been heard. The committee maintained control of an open-ended process, and representatives of the committee were careful to provide full disclosure of everything in the search process that was not in violation of confidentiality.

At College B, in which the secretary had no previous experience in presidential search, the chairperson did not delegate decision-making responsibilities to the secretary. This college chose not to publish the institutional needs. It is possible that given a secretary with greater sophistication in presidential selection or a chairperson with greater sensitivity to the legitimate concerns of campus constituencies, there may have been greater communication of institutional needs to the campus community. Interestingly, there did not seem to be any repercussions from this omission.

At College C, the secretary, without previous experience in orchestrating a presidential search, but with considerable theoretical background in the process, was granted a great deal of autonomy in the tasks of keeping the process on track and communicating frequently with the college community. However, the tension and anxiety created by exclusion of constituency involvement in the initial stages of the search could have been avoided. Whether or not a more experienced secretary could have flagged the oversight sooner and avoided ill will is left to conjecture.

At the universities, the secretaries had served in this capacity in the previous search at their institutions. They indicated that they had benefited from mistakes made in the previous search. At University A, in the previous search, the committee did not adequately determine what kind of leadership was needed, failed to seek constituency representation in the process, and allowed the revelation of candidate names in the midst of the process. The secretary at University B perceived his position to be one of great power and influence. While the previous search had been plagued by fallout from release of candidate names and accusations that the selection process had been politically controlled, the secretary made every effort in the new search to refrain from having incumbent regents serve on the committee, to protect the confidentiality of candidate names, and to involve campus constituencies. Given the fact that problems arose in the previous searches, it is interesting that each of the universities selected the same secretary used in the previous selection process.

The degree to which the colleges and universities engaged in on-going introspection also influenced the process. A planning committee that was on-going in nature could serve as an established resource for a thoughtful assessment of needs, whereas planning data that had been developed two or three years prior to the search was not found to be as relevant. The degree to which the colleges and universities were involved in on-going introspection had direct influence on the composition of the selection committee. The

presence of faculty and students on selection committees at institutions with on-going planning committees and their absence from selection committees at institutions devoid of long-range planning committees is worthy of mention. At Colleges A and B, faculty and students on the long-range planning committees were invited to serve on the selection committees because they were already engaged in needs identification activity. Their presence made the committee less inclined to start from scratch. The planning committees, comprised of representatives of constituent groups, provided another opportunity for constituent involvement in the selection process.

A third compelling condition that influenced the process was the level of participation of campus constituencies in the identification of the institutional needs and the development of selection criteria. Where there was a high level of participation by constituent groups, there was a high level of satisfaction with the process. Although the study subjects indicated that the Boards of Trustees had the final say in the identification of institutional needs and the development of selection criteria, their responses suggested that the board supported and was consistent with the needs identified by campus constituencies. The few exceptions tended to be in regard to the priority of some of the identified institutional needs and selection criteria.

As Tables 3 and 4 suggest, the institutional needs and selection criteria were highly similar across institutions. As a

TABLE 3

Institutional Needs

	College A	College B	College C	University A	University B
Academic and Administrative Leadership	X	X	X	X	X
Development of Effective Relationships with Campus Constituencies	X	X	X	X	X
Strengthen Endowment and Fund Raising	X	X	X		
Long Range Planning			X	X	X
Promotion of Liberal Arts	X				
Cultivation of Balance Between Professional and Liberal Arts Programs			X		
Enrollment Management			X		
Maintain Commitment to International Students			X		
Understanding of the Land Grant Institution					
Sensitivity to Minorities and Women		X			

TABLE 4

Selection Criteria

	College A	College B	College C	University A	University B
Earned Doctorate	X	X	X	X	X
Academic Experience and Leadership Ability	X	X	X	X	X
Administrative Experience	X	X	X	X	X
Personal Qualities for Effective Relations with all Campus Constituencies	X	X	X	X	X
Experience in Fund Raising and Development	X	X	X	X	X
Long Range Planning Ability			X		X
Astute Political Sense				X	X
Goal-Oriented			X	X	X
Business Acumen/Fiscal Planning			X		
Fluency in Foreign Languages		X			
Science Background		X			
Sensitivity to Minorities and Women		X			

TABLE 4--Continued

	College A	College B	College C	University A	University B
Commitment to the Goals of the Liberal Arts	X				
Sensitivity to Students				X	
Ability to Articulate				X	
Demanding, Well-groomed Appearance				X	
Ability to Work With National and International Constituencies			X		

means of giving shape to analysis, the researcher examined for similarities and found three classes of needs and criteria: generic, enduring, and temporal.

The generic needs stem from the nature of the higher education enterprise, requiring in its leadership an understanding of the business of academic institutions, the acumen necessary for its management, and the ability to orchestrate its membership to some productive end. There is a need, therefore, to select a chief executive officer who knows how to run an academic institution. All of the institutions have indicated the generic needs of academic and administrative leadership and development of effective relationships with campus constituencies. Generic criteria, with greater consistency across institutions than needs, include the earned doctorate, academic experience and demonstrated leadership ability, administrative experience, and personal qualities for developing and maintaining effective relationships with campus constituencies. Although goal-oriented behavior was identified at only Colleges A and B, it is assumed that leadership ability would require goal-oriented behavior.

While these generic institutional needs and selection criteria could be considered so self-evident that there is no need for analysis to discover them, the process of establishing them provided an opportunity for campus constituencies to participate and to seek a consensus on what the college needed in a leader. This needs assessment continues to be important, although the substantive outcomes may be little more than rediscovering the wheel.

Enduring needs stem from the nature of the institution and the institution's special attributes (e.g., public/private, liberal arts/comprehensive/land grant, etc.). All of the private institutions, for instance, indicated the need to strengthen endowments through fund raising, while the public universities did not. It is interesting to note, however, that the universities listed fund-raising ability in their selection criteria. Why fund-raising ability appears as a selection criterion for the universities when it did not appear among the institutional needs identified is open to conjecture. The researcher reasoned in this fashion: both universities relied heavily on earlier needs analyses that were probably outdated and failed to reflect the dynamics of institutional needs in flux, especially as regards vicissitudes of federal funding and the mounting costs of research. For present purposes, suffice it to say that this suggests that enduring characteristics may not always endure.

The two universities were specific about the need for political awareness. Other enduring needs include promotion of the liberal arts (at College A), cultivation of the balance between professional and liberal arts programs (at College C), and continuation of commitment to international students (at College C).

Temporal needs, which stem from current but not necessarily lasting circumstances, included such things as sensitivity to minorities and women (at College B), and enrollment management (at College C).

Criteria generally evolved from examining needs and determining the qualities necessary to meet these needs. Typical of this evolving process was (a) if an identified need was to strengthen the liberal arts concept at the institution, a selection criterion would be knowledge of and experience in a liberal arts institution, and (b) in the case of a public university, a criterion would be experience or understanding of the role of the public institution. The selection criteria were considered a 'presidential profile' that could be compared to candidates' qualifications.

Although the subjects of this study at College B were unwilling to share their official list of institutional needs, the researcher had no difficulty in assembling such a list just from reading campus publications. When the researcher reconstructed what the institutional needs were, they included the generic need for academic and administrative leadership and development of effective relationships with campus constituencies, the enduring need of fund raising, and the temporal need to be sensitive to the needs of the student population, specifically minorities and women.

3. The extent to which the identification of institutional needs and selection criteria influenced the selection of the president.

The identification of institutional needs and selection criteria influenced the preparatory activities in the selection process. The subjects reported that they assumed that the publication of the criteria narrowed the application pool. It is

interesting that, although key persons at all five institutions were committed to the identification of institutional needs and derivation of selection criteria, two institutions published non-specific vacancy advertisements in which no selection criteria were listed. This may have resulted in a prolonged candidate evaluation phase.

Knowledge of explicit selection criteria made preliminary paper screening possible. Initial candidate survival in the process was dependent upon ability to meet at least the identified generic criteria. Selection for interviews was dependent upon candidate ability to meet selection criteria. The interesting practice of holding conversations with a large number of semi-finalists, although time-consuming, provided an opportunity for the selection committee to gain in-depth information about a large number of candidates.

Specific criteria guided interviews and confined selection committee assessments to criteria-related judgments. An unexpected twist was the personal qualities or 'chemistry' that all institutions mentioned as important for effective performance in a specific setting. All candidates whose names were forwarded to trustees were judged to be qualified, leaving trustees free to respond to the 'chemistry' of the finalists.

While there was extensive uniformity of institutional needs identified and selection criteria developed at all of the institutions studied, this does not obviate the need for the exercise. The

task of identifying institutional needs and developing selection criteria influenced the selection process at all of the institutions in that they provided a vehicle for involving the campus community, created an awareness of institutional needs, and led to general satisfaction with the selection process.

CHAPTER VI

SUMMARY OF FINDINGS AND IMPLICATIONS

The purpose of this research has been to discover the factors, conditions, and events leading to the identification of institutional needs and selection criteria, the patterns of influence in these processes, and the extent that this information influences the selection of the president in the small independent college.

A Summary of the Stated Objectives and Procedures

The case study method was used in the project. Although the research was designed to study presidential selection in the small independent college, two universities recently having selected a new president were included in the study as a comparative sample to add perspective to the data collected at the three small independent colleges. Using ten primary subjects--chairpersons and secretaries of selection committees at the colleges and universities--the researcher conducted on-site visitations, carried out structured interviews, and reviewed relevant college documents and correspondence. The researcher was guided by three research questions:

1. What factors, conditions, and events led to the identification of institutional needs and selection criteria in the search for a new president?

2. What were the patterns of influence in the identification of institutional needs and selection criteria?, and

3. To what extent did the identification of institutional needs and selection criteria influence the selection process?

Universities as a Comparative Sample

The universities were initially included in the study as a comparative sample. On the basis of preliminary analysis, the researcher found that they were not substantially different from the small colleges in their search and selection procedures. When compared with the small private colleges, however, the public university setting is found to be more prone to external political considerations, including making provisions for an open search that would preclude 'political appointments' to the presidential position and being aware of the legal ramifications of the open sunshine laws requiring publishing candidates and nominee names.

Summative Observation

It was originally hypothesized that institutional needs assessment is useful in the process of selecting a college president. The revelation that all institutions used institutional needs as a point of departure, particularly when such assessment elongated the process, suggests that there is consensus on their importance. Yet the data from this small sample of higher educational institutions appear to suggest that it is not the nature of the

needs per se but the process of involving the campus that is closely linked with satisfaction.

Findings and Observations

1. High degree of similarity of institutional needs and selection criteria among all five institutions in the study suggested that, at one level, all higher education institutions require the same characteristics and qualities in the leaders they select. To a lesser degree, the colleges were similar to one another, and the universities were similar to one another.

2. At each institution, after having gone through the process of finding several finalists satisfying all or most of the criteria, the chairpersons and secretaries indicated that the final selection came down to picking the person who had the best 'chemistry' or personal qualities to match the needs of the institution. The intervention of selection criteria assured objective aspects of the process, whereas the 'chemistry' or personal qualities were a more subjective aspect of the process.

3. There was a high degree of emphasis on needs analysis. The study subjects at every institution theorized that the search and selection procedures were more structured and efficient having first identified institutional needs.

4. The level of experience of the secretaries appeared to be critical in the execution of the selection process.

5. The high degree of involvement of members of the campus community, particularly faculty, in the processes indicates that campus constituencies are no longer bypassed in the search for and selection of a new president. The comparison across cases indicates that there was wide consultation with campus constituencies. Constituency involvement extends from identification of institutional needs to interviewing and evaluating candidates.

Peripheral Findings and Observations

1. Chairpersons and secretaries indicated that confidentiality was very important during the search and selection process. Every attempt was made to protect the names of all candidates and nominees.

2. Varying responses from the subjects indicated that there is a broad range of opinions on the value and appropriateness of using search consultants to assist with the search and selection of college and university presidents. There is strong sentiment that the trustees should not delegate any of their responsibility to a consultant. There is also some sentiment for the use of consultants to assist in identifying, researching, and interviewing candidates.

3. In at least two institutions, subjects indicated that the search was affected by the attitude toward the incumbent.

4. The inclination to overlook the need for constituency groups to participate in the process may be directly related to the length of time since the previous search.

5. While the exercise of determining institutional needs, especially generic needs, seems akin to rediscovering the wheel, it remains the kind of activity that campus constituencies can get their teeth into. Since wide participation at some level in the selection process is an essential element, the exercise warrants the time it takes.

Recommendations

1. The contrast between the internally harmonious experiences of the four institutions that had established procedures for constituency representation and the turmoil experienced by one that did not suggests that a clear indication beforehand of what groups will participate and at what level is clearly recommended.

2. Based on the degree of responsibility and potential influence assumed by committee secretaries for projecting the image of the college and for making decisions regarding institutional leadership, great care is needed in the selection of secretaries.

Suggested Areas for Future Research

1. As committee size, composition, and responsibilities varied from one institution to another, the composition and dynamics of search committees could be explored.

2. The benefits and liabilities accruing from the use of search consultants were not in this study traceable, yet strong opinions were expressed on both sides. Research that identifies

direct consequences of the use or non-use of search consultants is needed.

3. The impact of the "Open Sunshine Laws," dictating that candidate names must be made public, could be studied to assess the long-range implications in searches for college presidents.

4. As there was a high degree of agreement that, in the final stages of the selection process, the charisma and other personal qualities of candidates were of primary importance, it would be helpful to know effective ways search and selection committees can evaluate leadership ability and personal qualities.

5. As one institution based a major part of candidate screening on video-taped interviews, the effectiveness of using video-taping in the interview process is worthy of research.

6. Although only one college in the present study based evaluations of the presidential candidate on a question posed to the spouse, it remains that the role of the spouse in the interview and evaluation process is a promising area of research.

While engaging in the activity of identifying institutional needs does not appear to lead to significant differences across institutions, the process of identifying needs does provide an opportunity for constituencies to participate and assume 'ownership,' creates an environment for team building among selection committee members, increases efficiency of committee functioning, and creates an awareness of institutional needs, all of

which allows for a smoother mode of functioning of the committee when it evaluates candidates.

APPENDIX A

APPENDIX A

SAMPLE LETTER SENT TO THE CHAIRPERSONS AND SECRETARIES OF THE CASE
STUDY COLLEGES REQUESTING PERMISSION TO STUDY THEIR COLLEGE

25 Stonegate Circle
Wilbraham, Massachusetts 01095
November 6, 1985

Chairperson or Secretary
College A
Address

Dear Chairperson or Secretary,

I am writing this letter in reference to your permission to include College A in a study of Presidential Selection Procedures in Higher Education. As you know, this study will be the basis for my doctoral dissertation at the University of Massachusetts at Amherst. At the present time, I am on professional leave from Springfield College while I complete the proposal for the study.

In addition to academic study in the area of higher education, I recently served as the Secretary to the Presidential Selection Committee at Springfield College. These academic and professional experiences have strengthened my interest in the search and selection process.

The higher education literature has focused its attention on the presidential process in general. This research is an effort to study issues underlying the messages found in the literature with an emphasis on the identification of institutional needs and selection criteria. The purpose of the research will be to discover the factors, conditions, and events leading to identification of institutional needs and selection criteria, the patterns of influences in those processes, and the extent to which the identified needs and criteria influence the process of selecting presidents in the small independent college.

Chairperson or Secretary, College
Page Two

I have selected three small independent colleges in Massachusetts for the study. Each of the three colleges has recently selected a new president and the chairperson and secretary in each setting have agreed to participate in the study. As indicated in our telephone conversation, the chairperson and secretary of the presidential selection committee are well informed on the selection process and I believe will be especially good resources.

Following approval of the dissertation proposal by the faculty committee at the University of Massachusetts, I will contact you to describe the project in greater detail. As I recognize how crucial confidentiality is on a continuing basis in regard to aspects of the presidential search, I cannot state emphatically enough that I will honor any protection of confidentiality you deem important.

I greatly appreciate your willingness to include College A in this study. Your help with this research effort is highly valued.

Sincerely,

Carol Smith Taylor

SAMPLE LETTER SENT TO THE CHAIRPERSONS AND SECRETARIES OF THE CASE
STUDY UNIVERSITIES REQUESTING THEIR PERMISSION TO STUDY
THEIR UNIVERSITY

25 Stonegate Circle
Wilbraham, Massachusetts 01095
January 13, 1986

Chairperson or Secretary
University A
Address

Dear Chairperson or Secretary,

I was pleased to have the opportunity to speak with you by telephone to indicate my plans to do a dissertation on Presidential Selection Procedures in Higher Education. Per your request, the following is a written explanation of my interest in such a project, which you may wish to share with other appropriate persons.

As a doctoral candidate in the Division of Adult and Higher Education, University of Massachusetts, I have done research and comprehensive papers and orals on presidential search and selection and presidential leadership. These experiences and serving as the secretary to the selection committee at Springfield College have strengthened my interest in the search and selection process.

Currently, I am doing a case study dissertation on presidential selection in higher education, colleges. I would also like to include two universities. Cooperation from your university would be extremely helpful.

My primary research questions are: 1) What factors, conditions, and events led to the identification of institutional needs and selection criteria; 2) What were the patterns of influence in the identification of institutional needs and selection criteria; and 3) To what extent did the identification of institutional needs and selection criteria influence the selection process.

As indicated in our telephone conversation, the chairperson and secretary of the presidential selection committee are well

Chairperson and Secretary, University
Page Two

well informed on the selection process and, I believe, will be especially good resources. In your case, I would interview via telephone the secretary and chairperson of the selection committee. As I recognize how crucial confidentiality is on a continuing basis, I cannot state emphatically enough the fact that I will respect any protection of confidentiality you deem important.

Enclosed please find an outline of interview questions. Pilot testing indicates the interview will take one hour.

I look forward to hearing from you after your board meeting this weekend. Thank you for any consideration.

Sincerely,

Carol Smith Taylor

SAMPLE LETTER SENT TO CHAIRPERSONS AND SECRETARIES
PRIOR TO THE INTERVIEW

25 Stonegate Circle
Wilbraham, Massachusetts 01095
January 3, 1986

Chairperson or Secretary
College or University
Address

Dear Chairperson or Secretary,

I appreciate the opportunity you are giving me to interview you during your visit January 16, 17, and 19 regarding the factors, conditions, and events leading to the identification of institutional needs and selection criteria and the extent these factors influence the process of selecting presidents in higher education.

Enclosed please find an outline of the questions to be discussed during our interview. This list provides a general focus for the interview, but should not preclude conversation of other relevant matters. Pilot testing indicates that the interview will take one hour. At the time of our interview, I will ask permission to tape record our conversation to serve as an accuracy check to note taking. However, in the written report, I will not quote you directly nor make reference to you personally without prior permission.

If you are able to confirm a specific time for our meeting at this time, you may call me week days at 413-788-3222. In the event I do not hear from you, I will contact your office early in the week of your intended visit.

Again, thank you very much for your assistance with this study.

Sincerely,

Carol Smith Taylor

SAMPLE LETTER SENT TO CHAIRPERSONS AND SECRETARIES
FOLLOWING THE INTERVIEW

25 Stonegate Circle
Wilbraham, Massachusetts 01095
January, 28, 1986

Chairperson or Secretary
College or University
Address

Dear Chairperson or Secretary,

Thank you again for your valuable assistance in my doctoral study. I have had an opportunity to transcribe notes and recollections from our interview of January 17 and find that you were able to convey very meaningful and thorough responses to the questions. Knowing how busy your schedule must be, I am extremely appreciative of the time you devoted to preparing for and participating in the interview.

Best wishes for continued success,

Sincerely,

Carol Smith Taylor

APPENDIX B

INTERVIEW GUIDE

INTERVIEW QUESTIONS FOR CHAIRPERSONS AND SECRETARIES OF PRESIDENTIAL SELECTION COMMITTEES

The higher education literature has focused its attention on the presidential search and selection process in general. This research is an effort to study issues underlying the messages found in the literature with an emphasis on the identification of institutional needs and selection criteria. The purpose of the research will be to discover the factors, conditions, and events leading to the identification of institutional needs and selection criteria, the patterns of influence in those processes, and the extent to which institutional needs and selection criteria influence the selection of the president in the small independent college.

Questions

1. How did you become involved in the selection process?
2. What was your role in the selection process?
3. What was the composition of the remainder of the selection committee?
4. Were there advisory committees to the selection committee?
5. What events led to advisory committees being formed?

6. What processes were used to select members for advisory committees? .
7. What was the composition of these advisory committees?
8. What was the role of these advisory committees in the selection process?
9. Was there a selection process established?
10. Who established the selection procedures?
11. How were the component parts of the selection process determined?
12. What were the major components of the selection process?
13. Upon what were presidential qualifications based?
14. Was identification of institutional needs a component of the selection process?
15. Were there existing and ensuing conditions or events that precipitated or influenced identification of institutional needs?
16. How were institutional needs identified?
17. How were selection criteria identified?
18. Who participated in identification of institutional needs?
19. Who participated in development of selection criteria?

20. Usually in search processes, different groups or committees have differing priorities of institutional needs and selection criteria. In your particular circumstances, how were these circumstances resolved?
21. Who had the greatest influence in the identification of institutional needs?
22. Who had the greatest influence in the development of selection criteria?
23. How was the final draft of the institutional needs developed?
24. How was the draft of the selection criteria developed?
25. Did the selection committee take steps to inform others on campus of the institutional needs and selection criteria?
26. Did the nature of the institutional needs and selection criteria affect the recruitment process?
27. May I have a copy of the presidential vacancy advertisement? If not available, what selection criteria did the presidential vacancy advertisement identify?
28. How were written credentials and research of applicants and nominees evaluated?
29. How were candidates selected for interviews?
30. In communications and interviews with candidates, what information was provided about the institution?

31. Some committees formulate specific questions in advance; others prefer an informal process. What did your committee do in this respect?
32. Were there specific questions designed to determine a candidate's ability to meet institutional needs?
33. Were there specific questions designed to determine a candidate's ability to meet selection criteria?
34. If questions were not specifically designed to determine ability to meet institutional needs and selection criteria, how were assessments made of the candidate's ability to meet institutional needs and selection criteria?
35. Despite extensive planning and detailed criteria, committees sometimes discover a final choice is made on factors not considered important earlier in the process. What factors made the difference in the final selection of the preferred candidate?

APPENDIX C

SUMMARY OUTLINE COMPARING FINDINGS AS REPORTED BY THE COLLEGES AND UNIVERSITIES

Interview Questions	College A	College B	College C	University A	University B
How did you become involved in the selection process?	Chairperson: Senior Trustee Secretary: Professor Emeritus, Former College President	Chairperson: Vice Chairperson of Board of Trustees Secretary: Knowledge of Higher Education Administration	Chairperson: Executive Committee Secretary: Administrator at Search Institution	Chairperson: President of Faculty Secretary: Secretary to Board of Trustees	Chairperson: Former Regent Secretary: Attorney for University
What was your role in the selection process?	Chairperson: Supervise process of selecting finalists for Board of Trustees Secretary: Serve as "Chief of Staff"	Chairperson: Maintain search and selection process Secretary: Serve as "Deputy" to chairperson	Chairperson: Direct selection process Secretary: Select committee members to coordinate the process	Chairperson: Chair Selection Committees Secretary: Administrative Coordinator	Chairperson: Responsible for total process Secretary: Selected committee and coordinated procedures
What was the composition of the remainder of the committee?	6 trustees 6 faculty 4 students 2 alumni	7 trustees 3 faculty 2 students	12 trustees	Selection Committee: 4 trustees President of Faculty Senate President of Student Body Screening Committee: 2 trustees 6 faculty President of Alumni Association President Elect of Univ. Foundation President of Student Body	2 former regents 6 faculty 2 students 5 business executives (some of whom were alumni)

SUMMARY, cont'd.: Interview Questions	College A	College B	College C	University A	University B
Were there advisory committees to the selection process?	No	No	Yes		
What events led to advisory committee being formed?			Faculty requested they be included in a significant way in search and selection process		
What processes were used to select members for advisory committees?			Each personnel group was asked to select representatives		
What was the composition of the advisory committee?			5 faculty 5 administrators 2 staff associates 1 physical plant employee 1 alumni representative 2 student leaders		
What was the role of these advisory committees in the selection process?			Identification of institutional needs and evaluation of candidates		

SUMMARY, cont'd.: Interview Questions	College A	College B	College C	University A	University B
Was there a selection process established?	Yes. A search and screening process.	A schedule and process was established by end of first meeting.	Yes. A schedule was established and a process to follow	Yes. By the Board of Trustees	Yes. The process was dependent upon institutional needs.
Who established the selection procedures?	The Board of Trustees and Screening Committee	Search Committee	The secretary	Yes. By the Board of Trustees, although screening and selection committees had input	The chairperson and secretary with input from the committee
How were the component parts of the selection process determined?	The secretary set up the component parts	The committee decided on the component parts	The secretary, Chairperson, Vice-chairperson, Search Consultant	The Board of Trustees with input from the screening and selection committees	The committee, with assistance from a non-paid consultant, a retired professor
What were the major components of the selection process?	Interviews, commitment to timetable, credential evaluations, confidentiality, internal versus external person	Institutional needs	Research and evaluation of candidates, interviews, communication with campus and candidates	Confidentiality, Institutional needs, qualifications, videotaping of interviews	Interviewing candidates, researching candidates, confidentiality, evaluating credentials

SUMMARY, cont'd.: Interview Questions	College A	College B	College C	University A	University B
Upon what were presidential qualifications based?	Interviews with faculty, staff, administration, long-range plan, trustee opinions	A 'presidential profile' developed after interviews with 20 presidents on needed qualifications	Institutional and leadership needs	Institutional needs, leadership ability, experience with a land-grant institution	Assessments done seven years prior, based on institutional needs
Was identification of institutional needs a component of the selection process?	Yes. The long-range plan was the basis	Yes, the major component, but review of credentials was also important	Yes, and then selection criteria based on them	Yes. Crucial to the success of the selection process	Yes, although the needs were identified during a selection process seven years earlier
Were there existing or ensuing conditions or events that precipitated or influenced identification of institutional needs?	No. We wanted to look at where we were going and constituencies wanted to become involved	It was a new time in the history of the college. We felt interviewing would not be successful without establishment of institutional	After 20 years under the incumbent president, we wanted to determine what was needed in the future	Controversies internally, particularly around the role of athletics in higher education, and a search for a person familiar with a land grant institution	Yes. The campus had been in a state of unrest seven years earlier and it was calm during the search
How were institutional needs identified?	Board of Trustees, long-range plan, college personnel	Board of Trustees interviews with college presidents, long-range plan	Board of Trustees, Advisory Committee, Division Directors, all brainstorming and then prioritizing all information	Surveys, informal discussions, Board of Trustees and Screening Committee	Open campus discussions and related reports to the Board of Trustees

SUMMARY, cont'd.:
Interview Questions

	College A	College B	College C	University A	University B
How were selection criteria developed?	Based on institutional needs	Presidential profile fell into place after institutional needs were established	Advisory Committee, institutional needs, and Board of Trustees	Surveys, informal discussions, Board of Trustees, and Screening Committee	They flowed naturally from needs established seven years earlier
Who participated in identification of institutional needs?	Board of Trustees, faculty, other campus personnel	The selection committee after input from all campus constituencies	Board of Trustees and the entire campus	Campus constituencies, screening and selection committees, and all constituent groups	The Selection committee based upon institutional needs
Who participated in development of selection criteria?	Board of Trustees after receiving input from campus constituencies	The selection committee	Board of Trustees, members of all personnel groups represented in Advisory Committee	Campus constituencies and the screening and selection committee	The Selection committee, although they evolved naturally out of the institutional needs

SUMMARY, cont'd.:
Interview Questions

	College A	College B	College C	University A	University B
Usually in search processes, different groups or committees have differing priorities of institutional needs and selection criteria. In your particular circumstances, how were these circumstances resolved?	Consensus. The differences were not major issues. Discussion was a way to reach consensus	There were common themes and consistency among campus groups and the committee. Having students and faculty on the committee helped with communication on these issues	The lists of needs and criteria looked similar from group to group, but the good communications between the groups fostered by the chairperson helped prioritization and agreement	There was not total consistency, but there was consensus after discussions and surveys	There were no differing priorities because the campus was calm and satisfied with its direction under excellent leadership. The campus wanted more of the same based on needs and criteria developed seven years earlier
Who had the greatest influence in the determination of institutional needs?	Committee on Priorities and Resources, although faculty set the tone for the search	Board of Trustees and the long-range planning committee	The Trustees had the greatest input but the Advisory Committee also had influence in their determination	Trustees, but there was a willingness to incorporate what was provided by campus constituencies	Board of Trustees and the campus constituencies, particularly faculty preferences
Who had the greatest influence in the determination of selection criteria?	Committee on Priorities and Resources and the faculty	Search Committee developed the selection criteria, and they were approved by the Board of Trustees	Board of Trustees and the Advisory Committee and the President's Cabinet and Division Directors	Board of Trustees and the Screening Committee	Board of Trustees and the campus constituencies, particularly faculty input

SUMMARY, cont'd.: Interview Questions	College A	College B	College C	University A	University B
How was the final draft of the institutional needs developed?	"College A in the 80s"; a document drawn up by the long-range planning committee that is frequently revised	Discussions, consistent thoughts. It was an internal document, not published externally	From information supplied by all groups--a prioritized list was developed	Screening Committee drew them up after polling campus constituencies. Some were written and some in the form of a procedure statement by the Board of Trustees	The committee drew up the draft of institutional needs after discussions with constituencies
How was the draft selection criteria developed?	Board of Trustees after interviews with campus personnel and long-range plan	It was a natural result of institutional needs	Board of Trustees drew them up after input from all campus groups	Screening Committee drew them up after polling campus constituencies. Some were written and some in the form of a procedure statement	The selection criteria evolved from institutional needs identified seven years earlier
Did the committee take steps to inform others on campus of the institutional needs and selection criteria?	There were regular bulletins sent to the campus community and newspaper articles discussing the process. Articles appeared in the student newspaper and alumni bulletin	News of the presidential profile was released. Articles appeared in the student newspaper and alumni bulletin	The survey of the campus resulted in feedback to them about the selection process. Memos and newsletters were sent by Selection and Advisory committees. Articles appeared in the student newspaper and alumni bulletin	Process information went in the form of meeting minutes, student newspaper, news media, and was provided at Senate meetings	Yes. The components of the process were relayed to the campus personnel through faculty and student representatives and the secretary

SUMMARY, cont'd.: Interview Questions	College A	College B	College C	University A	University B
Did the nature of the institutional needs and selection criteria affect the recruitment process?	Yes. We were looking for an educator rather than a fund-raiser. Statements of recommendation identified candidate qualifications in relation to needs and criteria	Yes. Candidates were assessed based on selection criteria, including interview questions and the final decision	Most definitely. We evaluated candidates based on needs and criteria. We knew what we were looking for the search consultant was well informed about our mission after institutional assessment	Yes. The way the candidates were assessed, particularly the initial screening and interview processes were dependent upon needs and criteria	Yes, in the way in which candidates were evaluated. The matrix sheet for evaluation of candidates had the needs and criteria identified on these
May I have a copy of the presidential vacancy advertisement? If not available, what selection criteria did the presidential vacancy advertisement identify?	Yes. Available from the secretary	Yes. It was a routine advertisement that did not reflect what we were truly looking for	Leadership, earned doctorate, scholarly competence, successful administrative experience, fiscal management ability excellent interpersonal skills	The advertisement was general, used primarily to advertise specific preferred qualifications	Yes. I will send them along provided you mean what you say about confidentiality

SUMMARY, cont'd.: Interview Questions	College A	College B	College C	University A	University B
How were written credentials and research of applicants and nominees evaluated?	Screening committee reviewed and evaluated credentials and did extensive referencing	The search consultants helped with the screening committee evaluated credentials individually and in three long group sessions	Selection committee secretary and search consultant all reviewed the credentials, continually looking for evidence of a match for institutional needs	There was an independent appraisal done by all members of the search committee on score sheets with opportunity to summarize and remark on uniqueness of candidate	Committee members did independent appraisals on a matrix form, with some discussion, narrowing the field to twenty candidates to screen further
How were candidates selected for interviews?	Ratings by screening committee were based on reference, qualifications, and background	Twenty-five to thirty candidates were selected for preliminary 'conversations' with sub-committee groups, prior to selection for interviews. Those selected for conversations had to meet 'presidential profile'	Discussions of candidate backgrounds by committee and information gathered by search consultant. Candidates had to meet institutional needs	The highly qualified were selected for interviews after votes by 2/3 of the committee. Interviewees had to meet institutional needs	All candidates were discussed in lengthy meetings. Narrowing the list was dependent on institutional needs

SUMMARY, cont'd.: Interview Questions	College A	College B	College C	University A	University B
In communications and interviews with candidates, what information was provided about the institution?	Complete information was provided to semi-finalists, including long-range plan, treasurer's report, president's report, faculty handbook, etc.	College publications and other information that was requested.	Financial, long-range plan, the institutional mission, by-laws, the needs, problems and successes of the institution	Basic information to semi-finalists and finalists received trustee and faculty manuals, financial reports, catalog	Some information was provided to all ten finalists including financial statements, budgets, catalog, by-laws. If one candidate requested something, it was sent to all
Some committees formulate questions in advance; others prefer an informal process. What did your committee do in this respect?	We had specific questions to establish a baseline for selection, but there was flexibility to cover specific points rather than questions	Some specific and some general questions and some evolved in the interviews. Some questions were based on individual candidate qualifications	There were specific questions based on needs, although there were questions that 'sprang up' during the interview	There were five questions for each of the 15 semi-finalists asked in a videotaping session	Every candidate was asked every question. The interviews were specific at points, but it was not all that formal
Were there specific questions designed to determine a candidate's ability to meet institutional needs?	Yes, they followed the candidate's past performance and record, and we were looking for personal qualities	Yes.	Yes. We were consistent in what we asked all candidates, though there was flexibility regarding particular strengths of candidates	Interviewing was built around institutional needs, with five questions that summarized what everyone felt about the needs	Yes. Particularly the five finalists were scrutinized closely on the institutional needs

SUMMARY, cont'd.: Interview Questions	College A	College B	College C	University A	University B
Were there specific questions designed to determine a candidates's ability to meet selection criteria?	These were incorporated into general questions	Yes.	Yes, we would provide scenarios and ask candidates to respond to them and to ask their perception of leadership	Yes, but things such as earned doctorate were given consideration without specific questions	Yes. There were questions formulated that fit our criteria and the way in which the qualities would be used in our institution

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