

# **Collaborative Leadership Development**

**President's Emerging Leaders Program 2007-2008  
University of Minnesota**

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## I. Executive Summary

Since the beginning of Strategic Positioning, various reports and initiatives have identified collaborative work as a vital component for the University of Minnesota (University) to become one of the top three public research universities in the world. Supporting this rationale are the increasing demands and rewards for interdisciplinary research, scholarship, teaching, and creative work – most of which require collaboration and effective leadership.

As a result, Vice Provost and Graduate School Dean Gail Dubrow and the Office of Interdisciplinary Initiatives asked a President's Emerging Leaders team (the Team) to explore collaborative leadership at the University and make recommendations to improve its ability to successfully engage in interdisciplinary work across traditional boundaries.

The Team reviewed relevant literature, conducted 40 individual interviews, and facilitated 6 focus groups from key stakeholders, with approximately 120 respondents. Included were administrators, deans, department heads, directors, postdoctoral fellows, graduate students, and staff, with equal representation from the sciences, social sciences, and humanities.

Project goals included:

- defining collaborative leadership;
- noting institutional resources and barriers;
- identifying collaborative leadership skills;
- suggesting skill assessment and measurement strategies;
- proposing effective delivery methods; and,
- recommending changes to University policies and procedures to facilitate and support collaborative leadership.

From the interviews, a number of themes emerged:

- Collaborative leadership is difficult to define. It means different things to different people. The Team found the definition to be situational:
  - In situations with an **individual leader**, collaborative leadership is someone demonstrating an approach that is inclusive, supportive, cooperative, and trustworthy, constantly working toward the group's shared goals and for the collective good.
  - In situations where there is **no individual leader identified**, collaborative leadership means all members share leadership, power, workload, credit, and responsibility, with equality and without hierarchy. Roles are dynamic, changing based on individual expertise and the needs of the group.

- The current University climate and its influence on collaborative leadership varies. Although the University has been more supportive of collaborative work in recent years, the general consensus is that the culture, strategy, structure, reward systems and processes needed to facilitate such work are not entirely in place. The large size and complexity of the University provides a rich and diverse environment for collaboration. At the same time, it is more difficult to connect and communicate with others.
- Skills specific to successful collaborative leadership were identified. Once the information was analyzed, the Team discovered most of these skills could be characterized as emotional intelligence. Some of those skills and traits include: communication, self-awareness, empathy, vision, advocacy, confidence, ethics, and creativity.
- Common responses related to assessing and measuring individual collaborative leadership skills included methods of observation, such as prior collaborative activity and anecdotal evidence. In addition, a number of assessment tools were identified such as 360° evaluation, 180° evaluation, and self-assessment.
- There are numerous courses at the University to build leadership skills but few specifically address collaborative leadership skills. Most interviewees preferred experiential learning opportunities such as mentoring, observation, and learning on the job. In addition, not everyone believed the skills could be taught or even learned.

Based on its research, information gathering, and analysis, the Team identified the following overarching recommendation:

**The University needs to transform its culture to advocate for collaborative leadership.**

The Team feels the University can accomplish this by:

- Creating professional development programs to cultivate emotional intelligence
- Removing institutional barriers and consolidating resources to support and simplify collaborative efforts
- Investing in additional networking opportunities to facilitate collaborations

## II. Introduction

“None of us is as smart as all of us.”

– *Japanese Proverb*

The University of Minnesota (University) began a new chapter in 2004 when senior leadership initiated a strategic positioning process to become one of the top three public research universities in the world.

Since then, faculty, staff, and students have served on numerous task forces to explore how the University can reach this goal, and several of their reports identified collaborative work as an integral factor. Supporting this rationale are the increasing demands and rewards for interdisciplinary research, scholarship, teaching, and creative efforts--most of which require collaboration and effective leadership.

For example, the Recommendations of the Task Force on Collaborative Research report (2006) states:

“Collaborative research will allow the University to: capitalize on the intellectual energy and synergy provided through these types of interactions; develop and provide national/international leadership in new fields; align with the increasing emphasis on these types of activities in major funding agencies and the increasing recognition of the complexity inherent in modern research.” (p. 4).

Many faculty, staff, and students participate in collaborative work to answer difficult questions and solve complex problems that cannot be addressed by a single person or discipline, as the cartoon below illustrates.



"I'M ON THE VERGE OF A MAJOR BREAKTHROUGH,  
BUT I'M ALSO AT THAT POINT WHERE CHEMISTRY  
LEAVES OFF AND PHYSICS BEGINS, SO I'LL HAVE TO  
DROP THE WHOLE THING."

According to the book *Facilitating Interdisciplinary Research* (Committee on Facilitating Interdisciplinary Research and Committee on Science, Engineering, and Public Policy, 2005), principal investigators said their top recommendations to best facilitate interdisciplinary research were:

- for institutions, to foster a collaborative environment; and,
- for fellow investigators, to increase leadership and team-forming activities.

They also cited the failure of a team to gel or function collaboratively as the most common cause of underperformance of interdisciplinary research.

Collaboration is important for the University in that it results in improved effectiveness, innovation, problem solving, relationships, scholarship, and service. While academia has been a rich environment for these initiatives, there are aspects of the culture that create additional obstacles and highlight the need for skills to collaborate successfully. A concerted effort by the University to mitigate these impediments and support development of these skills is paramount to become a top three public research university.

### **III. Charge**

The Vice Provost and Dean of The Graduate School Gail Dubrow, in partnership with the Office of Human Resources and the Provost's Interdisciplinary Team, is seeking to create a comprehensive and ongoing collaborative leadership development program for interdisciplinary teaching, research, scholarship, and creative work.

To support these efforts, Dean Dubrow proposed a project to the President's Emerging Leaders (PEL) program for a team (Team) to explore collaborative leadership at the University and make recommendations to improve its ability to successfully engage in interdisciplinary work across traditional boundaries (For more information about the PEL program go to [www.umn.edu/ohr/pel/](http://www.umn.edu/ohr/pel/)).

The Team's goals included:

- defining collaborative leadership;
- noting institutional resources and barriers;
- identifying collaborative leadership skills;
- suggesting skill assessment and measurement strategies;
- proposing effective delivery methods; and,
- recommending changes to University policies and procedures to facilitate and support collaborative leadership.

## **IV. Methodology**

The Team's methodology included:

1. Reviewing relevant literature and Internet resources
2. Interviewing 40 individuals and conducting 6 focus groups from key stakeholder groups
  - a. Documents provided to interviewees included a standard list of ten questions, a project summary, and interview protocol to clarify and establish expectations, with confidentiality being of prime importance (see Appendix A).
  - b. Those interviewed included nine deans, five department heads, five directors, eight faculty, four staff, nine administrators and one external leadership expert. Of those who identified their years of service at the University, the average was 13.5 years, with a high of 39 years. The sciences, social sciences, and humanities were equally represented.
  - c. The focus groups included approximately 80 individuals representing the Steering Committee for the Center for Integrative Leadership (6), postdoctoral fellows (7), graduate students (12), Graduate School Deans and Directors (15), College of Liberal Arts Council of Chairs (5), and All-PEL seminar participants (approximately 35). See Appendix B for details.
3. Analyzing information from the interviews and focus groups and identifying themes from the answers. The Team quantified answers to some questions and evaluated others qualitatively.

Throughout the process, the Team deliberately approached the project as a collaborative leadership model in and of itself. On a monthly basis, one member facilitated the meetings while another took minutes. During the interview and focus group process, members took turns interviewing and taking notes. Each member wrote a section of the report, and revisions were made collectively. As presentation opportunities arose, members alternated speaking responsibilities on behalf of the Team.

## **V. Collaborative Leadership Defined**

*Webster's New World Dictionary of the American Language* defines collaborate, or collaboration, as a noun, as "working together, especially in some literary, artistic, or scientific undertaking" (p. 278) and leadership as "the position or guidance of a leader or the ability to lead" (p. 801).

Although the dictionary does not directly define collaborative leadership, a logical definition could be someone who leads by working together, or from a

different perspective, a group that leads itself by working together. These may seem like simple definitions but reaching common understanding about what collaborative leadership actually means is anything but simple.

Factors complicating the issue include the multiple adjectives used to describe leadership, such as integrative and interdisciplinary. These terms cause confusion, cloud understanding, and make it difficult to share common definitions. People often use the words collaboration, cooperation, and coordination interchangeably, and frequently they have different meanings.

As part of its literature review, the Team found the following excerpts useful and insightful to establish a framework for the project:

Mattessich, Murray-Close, and Monsey (2001) write:

Collaboration connotes a more durable and pervasive relationship. Collaborations bring previously separated organizations into a new structure with full commitment to a common mission. Such relationships require comprehensive planning and well-defined communication channels operating on many levels. Authority is determined by the collaborative structure. Risk is much greater because each member of the collaboration contributes its own resources and reputation. Resources are pooled or jointly secured, and the products are shared (p. 60).

Winer and Ray (1994) identify collaboration as “a mutually beneficial and well-defined relationship entered into by two or more organizations to achieve results they are more likely to achieve together than alone” (p. 24).

While Kezar, Carducci, and Contreras-McGavin (2006) don't define leadership directly, their comments validate the subjectivity of what it means to be an effective leader and helped the Team prepare to interview the University community about collaborative leadership:

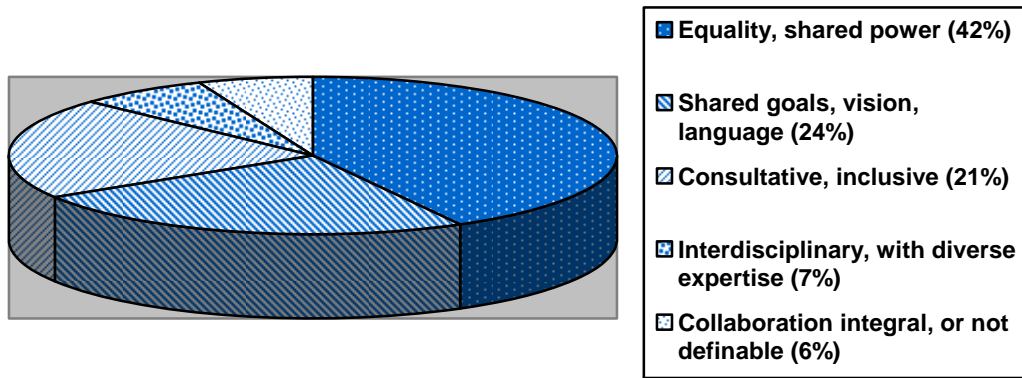
If there is one thing we have learned in the last twenty years, it is that no single way exists to be a "good" leader or that a universally "appropriate" leadership process exists. Thus, we need to consider leadership as a multidimensional phenomenon. If leadership, as social constructivist theory suggests, is an evolving concept that has changed over time as social mores and beliefs have changed, then researchers will continuously reconstruct new visions that fit the emerging social understandings and needs. (p. 176).

## **University Definitions of Collaborative Leadership**

To arrive at a University of Minnesota definition, the Team asked interviewees to define collaborative leadership. Some people directly answered the question, some described collaborations or leadership, some provided examples, some said it wasn't definable or that the terms were redundant, and a few chose to define the opposite of collaborative leadership.

Given the range of responses, the Team looked for common themes among the answers and captured the responses in categories shown in Figure 1.

**Figure 1: Collaborative Leadership Defined**



- **Equality, sharing power regardless of position**
  - Group members are equals, sharing power, leadership responsibilities, and the workload.
  - The leader changes as the needs of the collaboration change.
  - Decisions are made by consensus and without hierarchy.

“Collaborative leadership is the sharing of power, activities, resources, and information, but there is not a merging of authority. It’s leadership in a shared power environment, where the power spills beyond organizational boundaries.”

-- *Faculty*

“Collaborative Leadership is not hierarchical. It’s task-based, and those divisions of duty are agreed upon, held in equal esteem, and everyone is committed to successful completion of the project.”

-- *Graduate Student*

“The leader is the whole team, not one person.”

-- *Dean*

- **Shared goals, shared vision, working for the collective good**

“It’s leadership that puts the interests of the group ahead of the interests of the individual.”

-- *Administrator*

“Collaboration is the concerted effort by two or more entities to employ the strength of their idiosyncratic perspectives, rationale, and methods to achieve a mutually conceived end.”

-- *Graduate Student*

- **Consultative, inclusive, with respectful partnerships**

“Collaborative leadership can be working with the group you lead in a collaborative way, being inclusive, communicating with the group, or bringing them into the decision making process. Build consensus for decisions, but leadership must make decisions while including the people’s input in that decision-making process.”

-- *Faculty*

- **Interdisciplinary with diverse expertise and synergy**

“It’s leading enterprises that are interdisciplinary, bringing together different viewpoints, disciplines, and professional levels to accomplish something.”

-- *Administrator*

- **Collaboration integral to leadership or not definable**

- One cannot lead without being collaborative.
- It is difficult -- if not impossible -- to define.
- It is easier to define the *opposite* of collaborative leadership.

“I know it when I see it.”

-- *Faculty*

“The only successful leadership is collaborative.”

-- *Dean*

“It’s not being a dictator.”

-- *Administrator*

### **Team's Definition of Collaborative Leadership**

Based on the research and interviews, the Team decided the most appropriate definition for the University is as follows:

- In situations with an **individual as the leader**, collaborative leadership is someone who demonstrates an approach that is inclusive, supportive, cooperative, and trustworthy. The individual constantly works toward the group's shared goals and for the collective good.
- In situations where there is **no individual leader identified**, collaborative leadership means all members share leadership, power, workload, credit, and responsibility, with equality and without hierarchy. Roles are dynamic, changing based on individual expertise and the needs of the group.

### **VI. Current University of Minnesota Climate**

One interview question asked, "What conditions at the University of Minnesota help or hinder collaborative leadership work?" To summon responses that reflected a range of factors at the University, the Team devised the following criteria headings: People, Culture, Strategy, Structure, Rewards, Process, and Other. The Team formulated these criteria by combining the *Star Models* as conceived by organizational design experts Galbraith Management Consultants and See Change Consulting (see Appendix D). The models assist leaders in ensuring that strategic objectives are aligned with all facets of an organization. Although the individual headings suggest these influential organizational aspects are separately rooted, in practice these aspects are interwoven and interdependent. As the See Change Consulting Web site informs, "a change in one area will necessitate change in other areas." Although the University has been more supportive of collaborative work in recent years, the general consensus is that the culture, strategy, structure, reward systems and processes needed to facilitate such work are not entirely in place.

#### ***People – selection and development of human resources***

The University offers a wide range of courses related to leadership development, supervisory skills training, and other professional development opportunities. Too often, however, people are uncertain where best to access the education or experience they are seeking.

Even if people do know where to find such resources, supervisors inconsistently offer encouragement to pursue professional development opportunities.

“We should use universal instructional design when coming up with professional development ideas. What would you do for one person you see with potential? Why not do it for everyone?”

-- *Administrator*

Professional development should be expected, encouraged, and easily accessible.

### ***Culture – norms, values and beliefs in the organization***

Interviewees were not able to define the overall culture of the University; in fact, there are many cultures operating at various levels. People and departments seem to exist in cultural silos, speaking their own language and having distinct values and norms.

“When I was on a search committee for another College, things I thought were self-evident were not self-evident to others – from basic things like taking votes to the most complex – like what does collegiality look like?”

--*Dean*

Cultural differences amongst the many diverse units at the University are inevitable. However, there can still be a clear set of core values and cultural norms that are known and accepted by the entire University community. Although ample evidence exists in task force reports and Web sites that collaboration is valued at the University, it has not been widely communicated. Hence, the absence of a clear, overarching culture at the University is generally perceived as a hindrance to collaborative leadership.

### ***Strategy – determines direction***

The University's goal of becoming a top three public research university dominates the broader strategic landscape in nearly everyone's mind. People are aware of this goal, whether or not they believe it is attainable or even desirable. While the four pillars -- exceptional students, exceptional faculty and staff, exceptional organization, and exceptional innovation -- have been prominent, the underlying plan to reach the goal is not widely known. Thus, for people not actively involved in the Strategic Positioning process, it is not obvious that collaborative work is a key element to reach this goal.

In addition, there are deep-seated opinions that collaboration should not be done at the expense of core disciplines. Some people pointed out that it is not always appropriate to collaborate.

“I'm not convinced that interdisciplinary work is always the correct path. Core areas need to be built solidly. If everything is interdisciplinary, the core suffers. Seventy percent of what you do needs to be fully grounded in

your discipline; 30% needs to be interdisciplinary. If you don't have a solid grounding in the discipline, it won't be strong, thoughtful, deep work."  
-- *Administrator*

According to Fairbairn and Fulton (2000), "Interdisciplinary work does not conflict conceptually with disciplinary work. The two are not substitutes, but rather complements, to one another. Interdisciplinary research and teaching are desirable, perhaps indeed are required, in order to revitalize and strengthen disciplines" (p. 2).

With the perception that external agencies such as the National Institutes of Health (NIH) and the National Science Foundation (NSF) are increasingly funding interdisciplinary research, many faculty jointly compete to win these significant awards, thereby increasing collaborative activities around the University. However, these collaborative efforts are due more to the external environment and the complexity of current research issues than to the University's strategy. Administration should more clearly articulate the circumstances and degree under which interdisciplinary and collaborative ventures should be entered, particularly in the context of the strategy for becoming a top three public research institution.

### ***Structure – determines the location of decision-making power***

The University is at once centralized and decentralized in the location of decision-making power despite being organized in a hierarchical manner. Attempting to manage resources across these structures, particularly across Colleges, has hindered collaborative leadership efforts.

"When we formed the new center between our College and another one, every process and system worked against our collaboration. The budget can't be held jointly, hiring can't be done jointly, compensation, performance appraisals – all of these things have to have a home unit. What can be done? Structural issues are at the core of this."  
-- *Dean*

Financial structures arose repeatedly as the most significant barrier to working collaboratively outside one's own College. Specifically, Indirect Cost Recovery (ICR) and tuition sharing were cited numerous times as impediments. In February 2008, a policy called *Sharing Indirect Cost Recovery Among Collaborating Collegiate Units* was amended and approved, but it is too soon to judge its effectiveness. The system of allocating tuition funds is a particular challenge to teaching courses across Colleges.

"Department heads are in a position to stop collaboration because of tuition money. Policy makers underestimate the impact so you have to be creative in working around it. We now have some mechanisms to get

around it (i.e., Memorandum of Understanding). But people get picky when resources are tight.”

--*Director*

While it is encouraging that the University is streamlining policies and structures, particularly with regard to the financial barriers inherent in ICR, much progress can still be made to remove other obstacles that hinder collaborative efforts.

***Rewards – provides motivation and incentives for desired behavior***

Overwhelmingly, the sense is that reward policies do not support collaborative work. Promotion, compensation, titles, and the granting of degrees are awarded to individuals and not groups. People are primarily judged and promoted based on individual merits. When this reality combines with inevitable career pressures, collaboration can even be discouraged.

“For young faculty, with the pressure of being published and getting tenure, they don't collaborate with postdocs. They are so focused on their own stuff. They are so focused on their own pressures, so if you want to develop yourself, just do your job. With some of the more established faculty it may be different.”

-- *Postdoctoral Fellow*

It is promising that the University-level tenure code (section 7.11) was recently altered with language supportive of collaborative work. At the department level (section 7.12) collaboration may be valued, but it is dependent on the disciplinary norms and thus, not consistently interpreted throughout the University.

One interviewee expressed a more altruistic viewpoint towards rewards, particularly in collaborative efforts.

“You have to be willing to relinquish some of the rewards or credit. Go with what's good for the group, and not just receive the accolades.”

-- *Administrator*

While it is admirable for people to not be concerned with their own rewards, as long as promotions, compensation, titles, and degrees are awarded based on individual and not group work, decisions about entering collaborations may be negatively impacted. Administration must continue to update policies and procedures to successfully incent and reward people commensurate with the University's desired level of collaborative work.

### ***Process – flow of information***

For people interested in entering collaborations, it may be difficult to find others who share their interests. The surfeit of information on University Web sites alone can be overwhelming to wade through when seeking potential partners or opportunities. Some relevant internal Web sites include:

- Collaborative Research Services (Vice President for Research)
- Office of Interdisciplinary Initiatives (Graduate School)
- Assistant Vice Provost for Interdisciplinarity (Provost)
- Experts@Minnesota (Vice President for Research and others)
- Academic and Corporate Relations Center (University Relations)
- Interdisciplinary Informatics (Vice President for Research)
- Centers, Institutes and Interdisciplinary Graduate Programs (collaboration of: Academic and Corporate Relations Center, Academic Health Center, Graduate School, Office of the Senior Vice President for Academic Affairs and Provost, and Office of the Vice President for Research)
- The President's 21<sup>st</sup> Century Interdisciplinary Conference Series
- The President's Interdisciplinary Academic Initiatives
- Interdisciplinary Research and Education (Provost)

This last Web site reports, "A recent inventory identified more than 300 interdisciplinary research centers at the University." Perhaps in response to this astonishing number, the Provost recently launched a Web site for centers, institutes, and interdisciplinary graduate programs (referenced above). The University needs to communicate the existence of this new resource as numerous faculty members interviewed lamented that there is not a centralized database they can tap into to assist them in connecting with others pursuing similar research topics.

With the growth of the Internet, there are exceptional tools for collaboration but many people have not kept up with the technology.

"We should set aside money to train people how to use Wiki, blogs, Breeze, etc. – all the technical skills that will help them work collaboratively and have social networking."

-- *Administrator*

A shortage of networking opportunities was a frequent complaint.

"Attending receptions is a critical thing to do to understand the U. The informal hallway conversations are really important. For example, I was sad when they closed the Mayo garage because that was where I would see all the chairs of the Medical School and it was a convenient way to connect.

We need more casual and central places like the Campus Club to engage with others.”

-- *Director*

There were also comments that communications are not always clear and consistent. Compounding this issue is that information is typically disseminated to all of the University community, not necessarily targeted to the pertinent interested people.

“The flow of information in a place like this is problematic. The U and Departments have to think carefully about it and ask what are the absolute key sources to get us the information we need. Typically, you either read the e-mail or the Web page or you are out of luck.”

-- *Administrator*

At such a large institution, it is especially critical that the flow of information is actively and thoughtfully managed.

## **Other**

The large size and complexity of the University referenced earlier is both a help and hindrance to collaborative work. It is helpful in the diversity of activities and disciplines that exist and simultaneously unhelpful because of the difficulty in connecting and communicating with others having similar interests. As one leadership expert expressed it,

“We have some of the world’s most outstanding researchers and teachers here, there’s a richness. But there’s a sense that no one of us has a lock on the knowledge that is pertinent. We don’t know who else is working on the same topics since we’re so siloed.”

-- *Faculty*

Although University members believe support for collaborative activities has increased in recent years, the consensus is that policies and practices should be improved to encourage greater collaboration. As these concerns gain elevated visibility, whether due to importance or to frustration levels, leadership can intercede and continue to make needed improvements.

## **VII. Identifying Collaborative Leadership Skills**

Interviewees were asked, “What are the necessary skills required to launch and lead collaborative efforts?” Evaluating more than 400 responses from interviews and focus groups resulted in two categories of skills:

1) Emotional intelligence (90%), and 2) Project management and facilitation (10%).

Although the term emotional intelligence itself was mentioned consistently, many people also identified specific characteristics that are embedded in the concept.

“High emotional intelligence is essential to collaboration.”

-- *Dean*

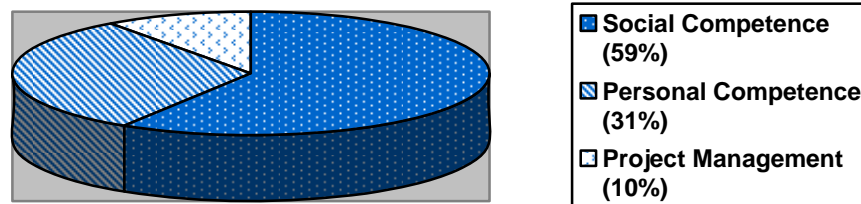
“Any leadership work starts with self-awareness, awareness of others. Emotional intelligence: one's own emotional reactions to situations, when others' emotions are triggered by situations, and how to manage relationships.”

-- *Faculty*

Emotional intelligence has been researched as early as the time of Charles Darwin; cited most frequently during the interviews was Daniel Goleman's *Emotional Intelligence*, published in 1995. Since then, Goleman has published three additional books on the topic: *Working with Emotional Intelligence* (2000), *Primal Leadership: Learning to Lead with Emotional Intelligence* (with R. Boyatzis & A. McKee, 2004), and *Social Intelligence: The New Science of Human Relationships* (2007).

The Emotional Intelligence Framework (Goleman, 1998, p. 26-27), detailed later in this section, is composed of Personal Competence, which determines how individuals manage themselves, and Social Competence, which determines how individuals handle relationships. The data acquired via interviews and focus groups indicated respondents' view that the predominant skill sets required for collaborative leadership are Social Competence (59%), Personal Competence (31%), and Project Management and Facilitation (10%). Expertise in one's own discipline is assumed.

**Figure 2: Collaborative Leadership Skills Identified**



## **The Emotional Competence Framework**

PERSONAL COMPETENCE. These competencies determine how we manage ourselves.

- **Self-Awareness:** Knowing one's internal states, preferences, resources, and intuitions.
  - Emotional awareness: Recognizing one's emotions and their effect
  - Accurate self-assessment: Knowing one's strengths and limits
  - Self-confidence: A strong sense of one's self-worth and capabilities
- **Self-Regulation:** Managing one's internal states, impulses, and resources
  - Self-Control: Keeping disruptive emotions and impulses in check
  - Trustworthiness: Maintaining standards of honesty and integrity
  - Conscientiousness: Taking responsibility for personal performance
  - Adaptability: Flexibility in handling change
  - Innovation: Being comfortable with novel ideas, approaches, and new information
- **Motivation:** Emotional tendencies that guide or facilitate reaching goals
  - Achievement drive: Striving to improve or meet a standard of excellence
  - Commitment: Aligning with the goals of the group or organization
  - Initiative: Readiness to act on opportunities
  - Optimism: Persistence in pursuing goals despite obstacles and setbacks

SOCIAL COMPETENCE. These competencies determine how we handle relationships.

- **Empathy:** Awareness of others' feelings, needs, and concerns.
  - Understanding others: Sensing others' feelings and perspectives, and taking an active interest in their concerns
  - Developing others: Sensing others' development needs and bolstering their abilities
  - Service Orientation: Anticipating, recognizing, and meeting customers' needs
  - Leveraging diversity: Cultivating opportunities through different kinds of people
  - Political Awareness: Reading a group's emotional currents and power relationships
- **Social Skills:** Adeptness at inducing desirable responses in others.
  - Influence: Wielding effective tactics for persuasion
  - Communication: Listening openly and sending convincing messages
  - Conflict management: Negotiating and resolving disagreements
  - Leadership: Inspiring and guiding individuals and groups
  - Change catalyst: Initiating or managing change
  - Building bonds: Nurturing instrumental relationships
  - Collaboration and cooperation: Working with others toward shared goals
  - Team capabilities: Creating group synergy in pursuing collective goals

Goleman, 1998, pp. 26-27.

### **Social Competence**

The majority of the skills were categorized as Social Competence, with **communication** the most frequently mentioned. Active listening and interpretive skills when working across disciplines are included in the data.

“Unlike the individual leadership paradigm, the additional essential skill everyone needs is this translational ability to communicate and share leadership with others.”

-- *Graduate Student*

“Communication is #1 in every way: interpersonal, organizational, technical. Part of communication is to create vision and lead a process in which all are heard.”

-- *Dean*

“Extensive experience in communication – interculturally, interpersonally, cross-culturally.”

-- *Staff*

**Relationship building**, the second most frequently mentioned skill, included empathy, networking, and community building.

“Caring leadership is extremely invitational: ‘Who did you talk to about that? Do you think they should come to the next meeting?’ I have seen this shape an entire community.”

-- *Faculty*

“There must be a willingness to appreciate other people and their ideas, no matter how quirky or off-the-wall they may seem.”

-- *Faculty*

**Team leadership** included motivating and inspiring others, and matching people's expertise with the needs of the group.

“The ability to build teams is difficult, due to the value of independence in academia. Independent thinkers are needed, but they also need to be able to engage others. The notion of the lone scholar is no longer effective, because a single individual can no longer solve the problems. Questions are complex and interdisciplinary.”

-- *Dean*

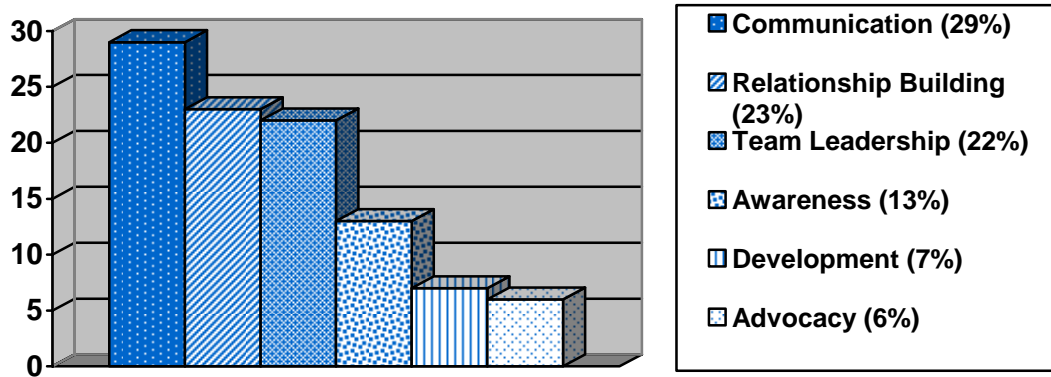
“The attributes of a collaborative leader: inspire people; keep them cohesive and focused without cramping their curiosity; creativeness;

provide logistical support; make people feel comfortable; keep people on track.”

-- Director

The following chart indicates Social Competence skills identified by interviewees. The naming conventions for skills shown in Figures 3 and 4 were determined during the data analysis period of the process. After further investigation of Goleman's research, the Team recognized that the overarching themes fell into both Personal Competence and Social Competence aspects of the Emotional Intelligence framework. For this reason, naming conventions differ between Figures 3 and 4 and the Emotional Intelligence Framework.

Figure 3: Social Competence Skills



The category **awareness** refers to cultural awareness, and organizational and political awareness. **Development** refers to identifying ways in which to develop the abilities of other people. Responses related to **advocacy** included the abilities to influence and persuade others about the legitimacy of the project and obtain resources for the project and participants.

### Personal Competence

Vision, self-awareness, and ethics were the three most cited attributes.

**Vision** included curiosity and creativity, all valuable traits of collaborative leaders.

“You must be creative in looking for solutions, in creating the new out of what already exists. Submit your pure idealistic vision. Be assertive, path-breaking.”

-- Faculty

The category **self-awareness** included accurate self-assessment, humility, and commitment.

“It is important to move outside one’s own ego, but use the energy of the ego to carry forward the project.”

-- *Dean*

“Know what you don’t know and select people for the team accordingly. Be aware of the knowledge and skills you do not have. The team members must be at least as smart as you or smarter.”

-- *Dean*

Many interviewees stressed the importance of **ethics**, honesty, integrity, and trustworthiness.

“Integrity. Character. How you want to show up in this world. That is what makes or breaks leadership, and therefore collaboration.”

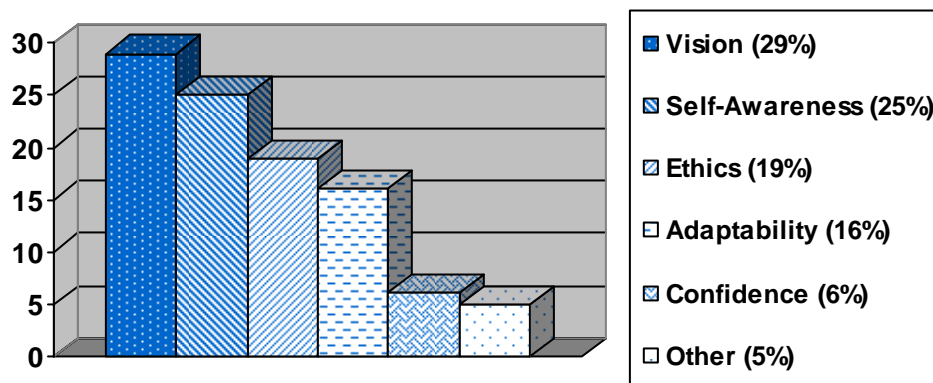
-- *Dean*

“These are important skills in collaborative leadership: 1) Strike a rapport; 2) Develop a sense of trust and respect; 3) Instill in your colleagues that you respect their position.”

-- *Administrator*

Figure 4 indicates Personal Competence skills identified by interviewees. The category **Other** is comprised of single responses related to Personal Competence, including traits such as optimism, achievement drive, the security to share credit with others, and impulse control.

Figure 4: Personal Competence



### **Project Management and Facilitation**

Embedded in this category are organizational skills, time and resource management skills, and the ability to synthesize the array of ideas presented by the participants.

In conclusion, no one possesses all – or even most – of these skills. Determining which skills are most critical for a specific project is the first step. Encouraging individuals and groups to include the assessment and development of emotional intelligence skills when assembling a team will enhance the effectiveness of interaction and develop potential for future collaborative engagements. However, to ensure that people are engaged and motivated to grow, assessment and development of emotional intelligence must be voluntary.

## **VIII. Assessing and Measuring Collaborative Leadership Skills**

Responses to the question related to assessing and measuring collaborative leadership skills are divided between observation and tools.

### **Observation**

Slightly more than half of the responses related to assessing and measuring collaborative leadership skills indicated that the best way to ascertain these skills was by observation.

“Does the individual have a track record of working well with other people?”

*-- Department Head*

“Are they good citizens? Have they worked collaboratively in the department? Do they volunteer to take leadership roles? What are their leadership qualities?”

*-- Director*

Interviewees cited the following methods of observation:

- reporting of collaborative activities on faculty productivity/activity reports or indices
- outcomes of previous collaborative efforts:
  - was the collaborative team sustained over time?
  - was progress made?
  - were relationships created and maintained?
  - were the stakeholders satisfied with the results of the effort?
  - were participants satisfied with the results of the effort?

## **Tools**

The following are assessment and measurement tools recommended by interviewees:

- Self-assessment: self-report.
- 180° assessment: self and peer review.
- 360° assessment: self, peer, customer, supervisor, and direct report review.
- External evaluation: blind review, primarily of teams, to identify strengths for projects.
- Surveys: self-report or group self-report.

## **Emotional Intelligence Assessment Tools**

A variety of tests exist to measure emotional intelligence, but many have not been evaluated empirically. The Consortium for Research on Emotional Intelligence in Organizations cites the following as assessment tools for which there is a body of research; however, the Consortium does not endorse any of these tools specifically.

- BarOn EQ-I Composite Scales and Subscales. A self-report measure developed to assess the model of emotional-social intelligence identified by Dr. Reuven Bar-On.
- Emotional Competence Inventory 2.0: Emotional & Social Competence Inventory. A 360° tool designed to assess the emotional and social competencies of individuals in organizations, based on the research of Dr. Daniel Goleman in *Working with Emotional Intelligence*.
- Genos Emotional Intelligence Assessment. Another 360° tool to measure emotionally intelligent workplace behavior identified by Dr. Benjamin Palmer and Professor Con Stough, Swinburne University.
- Mayer-Salovey-Caruso Emotional Intelligence Test. An ability-based test designed to measure the four branches of the emotional intelligence model of Mayer and Salovey.
- Schutte Self Report Emotional Intelligence Test. Another self-report measure of emotional intelligence, developed by Schutte, Malouff, Hall, Haggerty, Cooper, Golden, et al.

As cited by Kezar, Carducci, and Contreras-McGavin (2006), the following researchers have developed survey instruments for measuring shared leadership abilities: F.M.J. LaFasto and C.E. Larson, in *When teams work best: 6000 team members and leaders tell what it takes to succeed* (2001), and L. Segil, M. Goldsmith, and J.A. Belasco (Eds.), in *Partnering: The new face of leadership* (2003) (p. 76).

### **Collaborative Group Assessment Inventory**

Wilder Research Center developed The Wilder Collaboration Factors Inventory, distributed by Fieldstone Alliance to accompany *Collaboration: What Makes It Work*, 2<sup>nd</sup> Edition. This inventory tool may be used by groups to identify strengths and weaknesses that affect the success of collaborative projects, and may be used to pre-assess the viability of a collaborative project as well as measure its effectiveness along the way. The authors stress the inventory has not been validated via psychometric research.

### **Additional Considerations**

“If a project is truly collaborative, regardless of the outcome, it succeeds because the collaboration has created bridges and connections for other projects.”

– *Administrator*

It is critical to assess and become aware of emotional intelligence skills prior to entering into a collaborative effort. A collaborative effort could be considered a success because the goal was achieved; however, there was evidence of collaborative projects in which the goals were reached but relationships were irreparably damaged. In most cases, an assessment of the individuals' and group's skill sets may have resulted in goals achieved and relationships remaining intact, if individuals had been willing to participate in the development of these skills.

## **IX. Gaining Collaborative Leadership Skills**

Opinions vary among researchers and interviewees whether collaborative leadership skills are an inborn ability, can be taught, or can be learned. Some individuals interviewed believe they are innate characteristics – people either have the skills or they don't.

“There is no way to introduce a program that will make anyone a collaborative leader if they do not already have the skills.”

-- *Administrator*

Some think otherwise:

“All of these skills are teachable or learnable. We are born with this capability.”

-- *Dean*

“...like how musicians can learn to play instruments but some may not have a natural ear.”

-- *Director*

Some interviewees indicated they believed the skills are learned through observation, practice, and experience, and not in a classroom setting:

“Skills are learned by example. They are learned and not taught.”

-- *Graduate Student*

“I grew up in an Italian culture. It's like asking Italians why they have a knack for picking good food. It's because they eat a lot of it.”

--*Department Head*

Emotional intelligence can be introduced by teaching concepts and ideas so individuals have the opportunity to ask questions, understand, and become more self-aware. However, the next step requires individuals to voluntarily take their new knowledge and apply it.

### **Current Learning Opportunities**

Interviewees were asked where collaborative leadership skills are taught, if those opportunities are sufficient, and if not, suggestions for additional opportunities. One item to note is when speaking to this question, most interviewees talked about either collaboration or leadership, not collaborative leadership.

While the Team did not find courses specifically related to collaborative leadership, they found that the University offers a wide range of courses related to leadership development. These include supervisory skills training, and other professional development opportunities found among various units such as the Office of Human Resources (OHR), the Carlson School of Management, the College of Liberal Arts, the College of Continuing Education, and the College of Education and Human Development. Formal leadership development programs like the Provost's Department Chair Training and the Vice Provost for Faculty and Academic Affairs' New Faculty Orientation were spoken of highly and cited as extremely effective (see Appendix F for a select list of University resources).

Although respondents identified a number of training opportunities, most felt they are not sufficient.

Few, if any, of the formalized training programs have collaborative leadership as a component. In commenting on the leadership training currently available, interviewees indicate formal training program

offerings do not apply to collaborative leadership. Although there are training sessions on topics such as conflict management, communication, and change management which fall under the umbrella of emotional intelligence, there is currently nothing in place that addresses the topic of emotional intelligence as a whole. In addition, most of these training opportunities are geared toward individuals. OHR does work with departments to provide custom training, and this could potentially be useful for a group, provided staff in OHR have the necessary resources.

While many training topics can and are handled on an individual basis there are some topics that may make more sense to train groups rather than individuals. One idea is modeling a successful collaboration, another, learning emotional intelligence.

“It is more difficult to develop emotional intelligence unless in a group setting.”

-- *Faculty*

Regardless, the courses and programs must be compelling and worthwhile for faculty and staff to attend.

“It would be useful to have more opportunities to acquire skills. Often times though these would get prioritized last. Finding the time is one of the biggest issues.”

-- *Faculty*

### **Experiential Learning**

Of all delivery methods available for training, experiential learning was vastly preferred by interviewees. Experiential learning includes mentoring, observation, and learning on the job.

“Most collaborative leadership skills are not learned through courses. Seventy percent is learned on the job, twenty percent from people, ten percent in class.”

-- *Administrator*

Involvement in committees and student organizations provides invaluable experience:

“As an activist, my group involved other student groups to help with GLBT issues on campus. We learned about diversity and inclusion; how to talk with someone different from you; how to talk about marginalizations of various types; how to articulate each other's thoughts, find a common language. We had to figure out similarities of struggles, commonalities. We found a shared consensus, wrote the

manifesto, and communicated it to other people. These are our deliverables, our expectations.”

-- *Graduate Student*

Mentoring is also effective if it is available. Some units such as the Department of Chemical Engineering and Materials Science have vital mentorship programs, but many units do not.

“You cannot buy collaborative leaders, you have to grow them. You create an environment where you foster this growth. You have to mentor your leaders and workers, tell them they are “somebody” and that they can make a difference. “

-- *Graduate Student*

“These skills are not taught in any particular place but it can be mentored. Like with a grad student, you will help them give what they can provide. It's good to serve with people who are great collaborators.”

-- *Administrator*

While interviewees stressed the importance of being mentored, no one indicated which skills were needed to be an effective mentor. A PEL project from 2006–2007 entitled *Faculty Mentoring at the University of Minnesota* recommended the University supplement, at the central level, existing faculty orientation programs with workshops and training specifically focused on learning how to mentor. (p. 13)

One of the most common experiential learning opportunities noted was the PEL program. People appreciated the way it integrates leadership theory with project experience and would like a PEL-like program for faculty.

“I think the way the PEL program is set up encourages collaborative work and leadership and you have to go through the group dynamic process, which is not unlike a collaborative model.”

-- *Director*

Students also recommended incorporating collaborative leadership skills into undergraduate and graduate curricula. Because the world's problems are increasingly complex, it is important for students to gain these skills early to excel in their careers.

In this time of increasing collaboration it is essential for people to understand the skills needed to lead and function within a group. The University needs to make available professional development opportunities that accommodate multiple learning styles to nurture and foster these skills.

## **X. Recommendations**

Based on its research, information gathering, and analysis, the Team identified the following overarching recommendation:

**The University needs to transform its culture to advocate for collaborative leadership.**

The University can accomplish this by:

- Creating professional development programs to cultivate emotional intelligence;
- Removing institutional barriers and consolidating resources to support and simplify collaborative efforts; and
- Investing in additional networking opportunities to facilitate collaborations.

**Recommendation: Create professional development programs to cultivate emotional intelligence.**

Goleman (1998) includes a chapter on Best Practices, in which he describes the process by which evaluation and development programs for emotional intelligence can be used to the best advantage. As is evident by the list below, the investment recommended is extensive. "The goal: to use this new understanding of best practices to put the entire enterprise of improving "soft skills" on a sounder, more scientific footing. These guidelines offer a state-of-the-art blueprint for teaching – and learning – emotional intelligence" (p. 259). Chapter subheadings are as follows:

1. Assess the job.
2. Assess the individual.
3. Deliver assessments with care.
4. Gauge readiness.
5. Motivate.
6. Make change self-directed.
7. Focus on clear, manageable goals.
8. Prevent relapse.
9. Give performance feedback.
10. Encourage practice.
11. Arrange support.
12. Provide models.
13. Encourage and reinforce.
14. Evaluate.

- Using the Best Practices model identified above, the University's Office of Human Resources should establish an overarching development

program of greater depth targeting individual growth. Such a program would benefit faculty and staff, the units, the University and positively impact recruitment and retention.

- Encourage staff to complete an Individual Development Plan with their unit, by identifying goals and measuring progress. A possible template is the Individual Professional Development Plan for postdoctoral fellows recently published by Dr. Noro Andriamanalina, director of Academic and Professional Development, Graduate School and Office of Postdoctoral Affairs. This document is available at: [www.grad.umn.edu/postdoctoral\\_affairs/](http://www.grad.umn.edu/postdoctoral_affairs/). Individual development plans could be introduced at new employee/faculty orientation, and nurtured within departments.
- Tailor development programs for groups specifically to support collaborative work. The utilization of Goleman's Best Practices model while identifying the unique strengths and challenges of the group could result in strengthening individual skills and group performance while establishing enduring relationships.
- Support further development of mentoring programs at the University.
  - Develop a cadre of mentors with a variety of skill sets – one mentor need not have all the skills; mentees may learn from many mentors simultaneously.
  - Formalize mentoring by establishing expectations and desired outcomes, then assess to determine if goals have been achieved.
- Add an emotional intelligence component to existing training opportunities, such as the President's Emerging Leaders program; Bush Fellowship; Provost's Department Chairs Leadership Program; Successful Managers Leadership Seminar; the Vice Provost for Faculty and Academic Affairs' New Faculty Orientation; and the multiple offerings from the Office of Human Resources.
- Sponsor learning opportunities to share best practices addressing particular topics or issues, such as co-teaching a class, interdisciplinary research needs, or cross-collegiate projects at the University. Invite experts and individuals from various disciplines. These sessions could take place during a meal to not take additional time out of already-busy schedules.
- Transform undergraduate and graduate curricula to incorporate collaborative leadership theory and practice. For example, create cross-disciplinary curricula that address complex problems from various academic perspectives. As faculty develop their own collaborative leadership skills, they will model this behavior.

**Recommendation: Remove institutional barriers and consolidate resources to support and simplify collaborative efforts.**

- Formally review the current budget model with respect to how Indirect Cost Recovery (ICR) and cross-college tuition sharing support collaborative efforts.
  - Ascertain if the recent update to the *Sharing Indirect Cost Recovery Among Collaborating Collegiate Units* policy has been effective. If not, revise again according to user comments.
  - Review samples of successful Memoranda of Understanding for tuition sharing. Create a template for co-teaching arrangements across colleges for the short term. Obtain tips to guide how to share tuition dollars across colleges for the long-term.
- Convene a group to examine human resources policies regarding joint hires, shared compensation, shared performance reviews and other related concerns.
- Assign one office or administrator to manage resources that support collaborative efforts as well as collaborative leadership development opportunities.
  - Create a One Stop-style office and Web site for collaborative leadership activities.
    - Offer resources that facilitate and assist individuals and groups in the process of developing and sustaining collaborative efforts.
      - Create a list of available experts in areas like facilitation and conflict management to include faculty and staff across colleges and administrative units.
      - Post guidelines on topics related to collaborative leadership such as identifying appropriate skill sets needed for a given project or how to create a governance structure that will address issues like decision-making and conflict resolution.
    - Post a comprehensive list with links to all University leadership development, supervisory skills training, and other professional development opportunities.
  - Commission a study to analyze successful collaborations within the University to identify best practices and feature groups' key findings and tips on the Web site.
  - Develop a review process for collaborative and interdisciplinary databases, Web sites, and similar resources. Separate sources of information with similar content should be consolidated, complement each other, or be eliminated.
- Bolster internal communications efforts being led by University Relations and others, to cultivate a culture of collaboration.

**Recommendation: Invest in additional networking opportunities to facilitate collaborations**

- Provide in-person networking opportunities
  - Sponsor formal and informal networking opportunities that center on topics related to collaborative leadership.
  - Extend the New Faculty Orientation luncheon series beyond the program year.
  - Host an “Interdisciplinary Research Day.” Invite speakers from the National Science Foundation, National Institutes for Health, and faculty to discuss how best to compete for interdisciplinary research funding.
  - Use the University of Minnesota Rochester’s “Speed Dating” concept, as presented at the 2008 Quality Fair, to foster research collaborations.
    - “Invite individuals based on their research interests to a round-robin collaboration-building event.”
    - “Provide physical space and a framework for small-group discussions”
    - “Host follow-up events for presentation of results to date and future plans with opportunities for additional researchers to participate”
- Capitalize on the latest Web-based communication technologies to network more extensively and work more effectively.
  - Create an academic networking Web site similar to *Linked-In*, a professional networking Web site, where University faculty are able to find people with similar research interests across disciplines.
  - Create a more robust *People Search* directory that builds on the *Facebook* and *MySpace* phenomena, called *USpace*. In addition to contact information, a template can be inserted where all faculty, staff, and students can complete and update a standardized profile. Some of the additional searchable fields could include degree major, skills, and professional and personal interests. Resumes and other approved content could also be posted.
  - Train people on how to use more Web-based technologies such as Wiki, blogs, Breeze, iTunes University, webinars, chat rooms, and instant messaging.

## **XI. Conclusion**

Although the Team learned the idea of collaborative leadership was new to many interviewees, there is evidence collaboration is valued and practiced in some areas within the University, flourishing particularly in the sciences and health sciences. Many faculty, postdoctoral fellows, staff, and graduate students are eager to work collaboratively and interdisciplinarily; however, it is not practiced or supported consistently across the University. And sometimes, collaboration is not appropriate. By creating professional development programs to cultivate

emotional intelligence, removing institutional barriers and consolidating resources related to collaborative efforts, and investing in additional networking opportunities, the University will transform its culture to advocate for collaborative leadership and help reach its goal.

### **Acknowledgements**

The Team thanks everyone who participated in interviews and focus groups for sharing their experiences and wisdom related to collaborative leadership development. Their candor and insights are the very essence of this report, and are the inspiration for the depth of investment cited in the recommendations.

We also thank our sponsors Gail Dubrow, Vice Provost and Dean of The Graduate School, and Vicki Field and Char Voight of the Office of Interdisciplinary Initiatives for their insight and guidance.

Finally, we would like to express our appreciation to Dave Dorman and Adi En Gal Bar Nahum of the President's Emerging Leaders program and to our supervisors for their support throughout the year.

## Appendix A: Interview Questions, Protocol, and Project Summary



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### President's Emerging Leaders Program Collaborative Leadership Development Project

#### Interview Questions

1. Tell us your name, your title and how long you have you had a relationship with the University of Minnesota
2. How do you define collaborative leadership?
3. What defines a **successful or failed** collaborative leadership effort? Examples? (for faculty) Can you define **successful or failed** collaborative leadership efforts in interdisciplinary research, scholarship, teaching or creative work?
4. What do you believe are the necessary **skills** required to effectively launch and lead collaborative or interdisciplinary initiatives?
5. How would you **assess & measure** individual collaborative leadership skills?
6. Where, to the best of your knowledge, are collaborative leadership **skills taught** and do you believe **opportunities to acquire these skills** are sufficient? If not, what **additional opportunities** to acquire these skills you would recommend?
7. What conditions at the U of M **help or hinder** collaborative leadership work?
  - a. People – selection and development of human resources
  - b. Culture – norms, values and beliefs in the organization
  - c. Strategy – determines direction
  - d. Structure – determines the location of decision-making power
  - e. Rewards – provides motivation and incentives for desired behavior
  - f. Process – flow of information
  - g. Other
8. Why is collaborative work and/or leadership good for the University of Minnesota?
9. Do have additional thoughts about collaborative leadership that we have not discussed?
10. Is there someone who you consider critical in our process to interview?
  - a. Staff
  - b. Faculty
  - c. Graduate students



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**President's Emerging Leaders Program**  
Collaborative Leadership Development Project

## **Interview Protocol**

1. Sponsors will send "letter of introduction" to interviewees on behalf of the team.
2. A brief description of the project, interview questions, and interview protocol will be supplied to interviewees in advance.
3. Individual interviews will be 45-60 minutes in duration. Focus groups will be 60-90 minutes in duration.
4. Interviews will be recorded with permission of interviewees.
5. Focus group sessions will be recorded.
6. Recordings will not be retained beyond the extent of the project. Confidentiality will be maintained; the information provided by interviewees or focus group participants will not be divulged to individuals outside the project team without prior approval.
7. Quotations will be sent to interviewees for approval prior to being included in the report – or – the information will be paraphrased without identifying the individual by name.
8. Participants will be notified via e-mail when and where the final report will be posted.



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**President's Emerging Leaders Program**  
Collaborative Leadership Development Project

### About the Project

Increasing demands and rewards for interdisciplinary research, scholarship, teaching, and creative work are generating a much greater need for collaborative work among faculty, staff, and students.

One obstacle to successful collaborations is the gap in skills necessary to engage in and lead such work. In addition, while academia has been a rich environment for these initiatives, there are aspects of the existing institutional structure, policies, and practices, historically organized by discipline, that create additional obstacles to collaborative work.

As a result, the Collaborative Leadership Development Project Team with their sponsors in The Graduate School, will explore collaborative leadership at the University to improve its ability to successfully engage in interdisciplinary work across traditional boundaries. The Team will identify:

- collaborative leadership skills
- skill assessment strategies
- best practices
- effective delivery methods
- institutional resources and,
- challenges

Team members include Rachel Hartreeve, Char Klarquist, Vicki Larson, Anne Sumangil, and Bruce Erickson. The Team will conclude their Project in May 2008 with recommendations for a comprehensive and ongoing leadership development program.

### About the President's Emerging Leaders Program

The President's Emerging Leaders (PEL) program provides a structured but flexible leadership development opportunity for high potential P&A, Civil Service, and Bargaining Unit staff. The 12-month program, co-delivered with the Office of the Vice President of Human Resources, features educational and experiential components, fosters a broad perspective of the University as an enterprise and promotes skill development to enhance leadership effectiveness.

Each year, the PEL program sponsors multiple projects for participants to work on that enhance the educational and experiential components of the program and benefit the University. In 2007-2008, the PEL program is sponsoring five of these projects.

For more information about the PEL program, please go to <http://www.umn.edu/ohr/pel/index.html>.

## Appendix B: Interviewees

<b>Name</b>	<b>Title</b>	<b>Unit</b>
Stuart Albert	Professor	Carlson School of Management
Massoud Amin	Director	Center for the Development of Technological Leadership
Noro Andriamanalina	Director of Academic and Professional Development	Graduate School
John Archer	Department Chair	Cultural Studies and Comparative Literature
Brian Atwood	Dean	Humphrey Institute for Public Affairs
Darlyne Bailey	Dean and Assistant to the President	College of Education and Human Development
Heidi Barajas	Associate Dean	College of Education and Human Development
Nancy "Rusty" Barcelo	Vice President and Vice Provost	Office for Equity and Diversity
Frank S. Bates	Department Head	Chemical Engineering and Materials Science
Jean Bauer	Professor	Department of Family Social Science
Lauren Beach	JD/Ph.D. student	Genetics, College of Biological Sciences, & Law School
Bill Beeman	Department Chair	Department of Anthropology
David Bernlohr	Department Head	Department of Biochemistry, Molecular Biology and Biophysics
Hatice Bilgic	Postdoctoral Fellow	Department of Medicine
Carol Bland	Assistant Dean	Medical School
Dan Bolintineanu	Ph.D. student	Chemical Engineering
Brad Bostrom	Information Technology Director	Systems & Data Management, Graduate School
Barbara Brandt	Assistant Vice President	Academic Health Center
Cryss Brunner	Professor	Educational Policy and Administration
John Bryson	Associate Dean for Research	Humphrey Institute for Public Affairs
Arlene Carney	Vice Provost for Faculty and Academic Affairs	Office of the Senior Vice President for Academic Affairs and Provost
Ramil Codina	Master's student	Clinical Laboratory Sciences
Barbara Crosby	Professor	Humphrey Institute for Public Affairs
Peter Cutter	Ph.D. student	Conservation Biology
Alison Davis-Blake	Dean	Carlson School of Management
Gail Dubrow	Vice Provost and Dean	Graduate School
Tim Ebner	Department Head	Neuroscience
Doug Ernie	Associate Dean	Graduate School
Ana Paula Ferreira	Department Chair	Department of Spanish and Portuguese
Vicki Field	Director	Office of Interdisciplinary Initiatives
John Finnegan	Dean	School of Public Health
Tom Fisher	Dean	College of Design
Howard Gadlin	Ombudsman	National Institutes of Health
Judith Garrard	Associate Dean of Academic Affairs & Research	School of Public Health

Collaborative Leadership Development Project  
 President's Emerging Leaders Program

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<b>Name</b>	<b>Title</b>	<b>Unit</b>
Susan Geller	Project Manager	Graduate School and Office of Information Technology
Gunda Georg	Department Head; and Director of the Institute for Therapeutic Discovery and Development	Medicinal Chemistry
George Green	Associate Dean	Graduate School
Toby Greenwald	Executive Office & Administrative Specialist	Graduate School
Melissa Hansen	Master's student	College of Continuing Education
Holly Henslin Link	Ph.D. student	Curriculum & Instruction
Gertrude Hewapathirana	Ph.D. student	Work and Human Resource Education
Annalisa Hultberg	Master's student	Natural Resources Management
Patricia Jones Whyte	Acting Director	Graduate School Diversity Office
Jeffrey Kahn	Director	Center for Bioethics
Mostafa Kaveh	Associate Dean for Research and Planning	Department of Electrical and Computer Engineering
Sharon Kelly	Ph.D. student	Work and Human Resource Education
Carrie Ketel	Postdoctoral Fellow	Diagnostic/Biological Sciences/Genetics/Cell Biology
Alvina Kittur	Ph.D. student	Cognitive and Biological Psychology
Larry Knopp	Associate Dean	Graduate School, Duluth
Uwe Kortshagen	Director of Graduate Studies	Mechanical Engineering
Nadine Lehrer	Ph.D. student	Natural Resources Science & Management
Paul Letourneau	Professor	Neuroscience
Anna Lloyd	Executive Director	Center for Integrative Leadership
Gayla Marty	Director of Communications	Graduate School
Robert McMaster	Vice Provost and Dean of Undergraduate Education	Office of the Senior Vice President for Academic Affairs and Provost
Mel Mitchell	Director of Organizational Effectiveness	Office of Human Resources
Tim Mulcahy	Vice President	Office of the Vice President for Research
Shirley Nelson Garner	Associate Dean	Graduate School
Ray Newman	Professor	Department of Fisheries and Wildlife
Juliet Nguyen	Master's student	Health Care Administration
June Nobbe	Director	Office of Student Engagement & Leadership
Roxanne Ornelas	Postdoctoral Fellow	Public Affairs in Race, Gender and Public Policy
Jim Parente	Interim Dean	College of Liberal Arts
Nora Paul	Director	Institute of New Media Studies
Paula Rabinowitz	Department Chair	English
Jeff Roberts	Department Chair	Chemistry
Mike Rollefson	Associate to the Vice President	Graduate School and Office of the Vice President for Research

Collaborative Leadership Development Project  
 President's Emerging Leaders Program

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<b>Name</b>	<b>Title</b>	<b>Unit</b>
Mila Romanova	Postdoctoral Fellow	Stem Cell Institute
Abdi Samatar	Interim Chair	Department of Geography
Donna Rae Scheffert	Leadership Development Specialist	Extension Services Community Vitality
Andrea Scott	Director	Graduate School Admissions
J.B. Shank	Associate Professor	Department of History
Myrna Smith	Director	Faculty Research and Graduate Fellowship Office
Karen Starry	Director of Student Services	Graduate School
Deb Swackhamer	Interim Director	Institute on the Environment
Jeanie Taylor	Assistant Vice Provost for Interdisciplinarity	Office of the Senior Vice President for Academic Affairs and Provost
Bill Venne	Development Officer	Graduate School Dean's Office
Billie Wahlstrom	Vice Provost for Distributed Education and Instructional Technology	Office of the Senior Vice President for Academic Affairs and Provost
Ann Waltner	Director	Institute for Advanced Study
Michelle Whitcomb Kuhl	Assistant to the Associate Vice President	Office of Public Engagement

## **Appendix C: Selected Interview Quotes**

### Section II: Introduction

“Each discipline brings a perspective that will strengthen the outcome of a project. We have a lot of resources and talent here. I have seen many great things happen through collaboration that couldn't have happened alone.”

-- *Staff*

### Section V: Collaborative Leadership Defined

“It's hard to define. People involved have equal authority and power.”

-- *Director*

“It's when people approach the task as equals even though they may be in a different hierarchy outside the task.”

-- *Dean*

“The two terms are almost an oxymoron. Some people don't have 'leader' in their vocabulary because they don't put people in positions of power. Our own belief system, value and dominant understanding of power, is that it creates dominance, a culture where I am privileged. So it's difficult if I'm successful in this culture for me to lay down the mantle of power – it's not just my own role but other's perception of me that puts the mantle back on my shoulders and makes the assumption that I am rule, law. The greater the positional power the less honest people will be with me.”

-- *Faculty*

“Leadership throughout the process may change. The leader in the beginning could be someone else later on.”

-- *Director*

“I can imagine a group that does not have a particularly identified leader where people play different roles at different points of time.”

-- *Leadership Expert*

“To have authentic collaboration, you must have a shared power arrangement, committing resources to a common endeavor, to a major change effort.”

-- *Faculty*

“It is a team effort, a team that has a clear goal at hand. They act together, collaboratively, different streams that join together moving toward a common ocean, to work on problems/challenges they agree to in advance.”

-- *Faculty*

“It’s hard to define. People involved have equal authority and power.”  
-- *Director*

“Leadership takes various forms. It can be completely top down or leadership by consensus; collaborative leadership perhaps falls somewhere in between.”

– *Administrator*

“Informally, it means being open to participation from others for feedback and brainstorming. It is an inclusive mode of leadership.”

– *Faculty*

“In an ideal world leadership should be collaborative.”

-- *Postdoctoral Fellow*

“I find that an incredibly difficult question to answer.”

– *Leadership Expert*

“All leadership needs to be collaborative in order to be effective, and in all sectors, not just higher education.”

-- *Dean*

“It can’t really be defined, it’s something you either feel or recognize when you see it.”

-- *Faculty*

“An autocratic is one model that is not collaborative.”

-- *Staff*

“I never thought about leadership within a context of a definition.”

-- *Administrator*

#### Section VI: Current University of Minnesota Culture

“We have separated people’s intellectual home, physical home, and financial home from their tenure home. It just doesn’t make sense. The structure should encourage collaboration.”

-- *Director*

“Some pockets really, really encourage professional development, making connections and so on. But I know for a lot of people that is the opposite of what they have. They won’t approve training for their staff...”

-- *Director*

"We have a tradition of high faculty governance but low faculty engagement in the day to day."

--Dean

"The U is on the cutting edge of thought, yet there is huge resistance to cultural change."

--Dean

"We are now in a web-like world - human ecologies. Workers, even leaders, may be nodes but it's not hierarchical, mechanistic. Everyone is a node, part of a network."

-- Dean

"Even now, with this new, enlightened view about developing collaborative leadership, I still think there is a sense that there are only a couple of people who know how to do this, and only a few people are anointed to lead the charge, when in fact they are not collaborative. Projects could be put into the hands of people who talk the talk but do not walk the walk."

-- Administrator

"In my father's day, faculty tended to stay at an organization for life and they had concern for the greater good. Now faculty move around so much and don't have the same commitment to the institution."

-- Dean

"Some will be supportive but others will force you to work additional hours. If you want to collaborate with someone else at the U, it's on your free time."

-- Postdoctoral Fellow

"It's not just about rewards, it's about no punitive sanctions if they collaborate."

-- Postdoctoral Fellow

### Section VII: Collaborative Leadership Skills Identified

"Intellectual humility is important. Interpersonal skills. Emotional intelligence. Diplomacy. Listening skills."

-- Faculty

"Communicating. Even when you think you are doing enough, you are not. This is exacerbated by Minnesotan communication style."

-- Administrator

"Recognize the skills people possess and play to their strengths."

-- Director

“Personal capability and technical capability are key. There is no substitute for a person who will lead an effort and stimulate people. The leader needs to lead by example. There are many people who are technically adept but woefully lacking in abilities to manage people.”

-- *Department Head*

“Above all, patience and humility. Patience because it takes longer to work together than to work alone. Humility, to see the best in others.”

-- *Dean*

### Section VIII: Assessing and Measuring Collaborative Leadership Skills

“Research shows that going through training together is what builds collaborative leadership skills. It enables people to have a common understanding.”

-- *Faculty*

### Section IX: Gaining Collaborative Leadership Skills

“Some of the elements I see for successful collaboration: Agreement or consensus on the intended outcomes, supportive climate to take risks, the ability to think outside the box, having the right players at the table, looking at political feasibility on a continuum.”

-- *Director*

“Skills are taught in experiential learning. Give opportunities to grow – come along with me and learn; then work together on a project, then I watch them do.”

-- *Faculty*

“Include more PEL-like programs to develop the potential of staff at every level.”

-- *Dean*

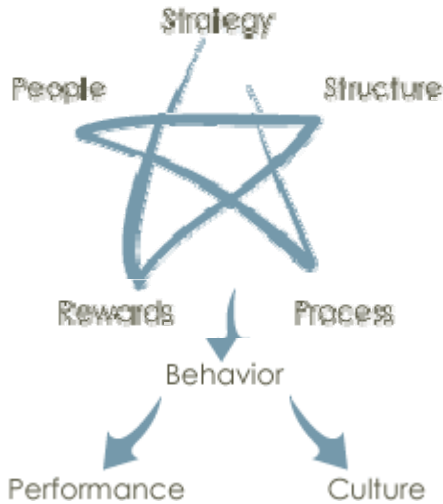
“The ideal training for Collaborative Leadership is itself collaborative, drawing from various disciplines to enable a very special leader, one who is not trained for hierarchy, but to concurrently lead and participate in a unique group structure based on function rather than status. I envision the training of the collaborative leader to encompass many skills. It should also have practical application of these acquired skills.”

-- *Graduate Student*

## Appendix D: Star Models

*Jay Galbraith's Star Model™ --*

*Copied from <http://www.jaygalbraith.com/>*



“The Star Model shows the levers that managers can control, and as a result, can affect employee behavior. By choosing the desired behavior, managers can influence the organization's performance as well as its culture.”

*See Change Consulting's Star Model –*

*Copied from <http://www.seechangeconsulting.com/>*

“The Star Model helps leaders ensure that change initiatives are driven by a strategy, or a set of strategic business objectives. In addition, the Star Model dictates that all elements of an organization – its people, processes, culture, structure, and information technology – are addressed and linked to the strategy. These elements are interdependent; a change in one area will necessitate change in other areas. Employing the Star Model helps prevent the typical problem of myopia, whereby change is so focused in one area that overall organizational performance improvement is road-blocked.”



## **Appendix E: Literature Review**

Collins, J. (2005). *Good to great and the social sectors: Why business thinking is not the answer*. New York, NY: HarperCollins.

Committee on Facilitating Interdisciplinary Research and Committee on Science, Engineering, and Public Policy. (2005). *Facilitating interdisciplinary research*. National Academies Press.

Dorman, D. et al. (2005). *Human resources leadership development project*. Minneapolis, MN: President's Emerging Leaders program.

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Fairbairn, B. and Fulton, M. (2000). *Interdisciplinarity and the transformation of the university*. Saskatoon, Canada: Center for the Study of Co-operatives.

Goleman, D. (1995). *Emotional intelligence*. New York: Bantam.

Goleman, D. (1998). *Working with emotional intelligence*. New York: Bantam.

Guralnik, D., Ed., (1984). *Webster's New World Dictionary, 2<sup>nd</sup> College Edition*. Simon & Schuster.

Kezar, A. (2005). Redesigning for collaboration within higher education institutions: An exploration into the developmental process. *Research in higher education*, 46(7).

Kezar, A., Carducci, R., and Contreras-McGavin, M. (2006). *Rethinking the "L" word in higher education: The revolution of research on leadership*. San Francisco, CA: Wiley.

Knowles, M., E.F. Holton III, and R.A. Swanson. (1998). *The adult learner: The definitive classic for adult education and human resource development*. Woburn, Mass.: Butterworth-Heinemann.

Laird, D. (2003). *Approaches to training and development*. Cambridge, MA., Perseus Books Group.

Lowman, R. (2000). *Successful collaborative projects*. PowerPoint presentation

Martin, R. (2007). *How successful leaders think*. Harvard Business Review. June, 2007.

Mattessich, P., Murray-Close, M., Monsey, B. (2001). *Collaboration: What makes it work*. 2nd Edition. St. Paul, MN: Fieldstone Alliance.

Pearce, C., Conger, J. (2003). *Shared leadership: Reframing the hows and whys of leadership*. Thousand Oaks, CA: Sage.

Winer, M. and Ray, K. (1994). *Collaboration handbook: Creating, sustaining, and enjoying the journey*. St. Paul, MN: Fieldstone Alliance.

*The University of Minnesota: Advancing the public good*. (2005). A report of the strategic positioning work group.

### **Relevant Web Sites**

Assistant Vice Provost for Interdisciplinarity

(<http://www.academic.umn.edu/provost/interdisc/index.html>)

Collaborative Research Services Web site

(<http://www.research.umn.edu/innovatingforU/innovatingCRS.html>)

The Consortium for Research on Emotional Intelligence in Organizations

(<http://www.eiconsortium.org/index.htm>)

Centers, Institutes, and Interdisciplinary Graduate Programs

(<http://www.research.umn.edu/cip/>)

Interdisciplinary Research and Education

(<http://www.interdisciplinary.umn.edu/>)

Recommendations of the Task Force on Collaborative Research

([http://www1.umn.edu/systemwide/strategic\\_positioning/tf\\_final\\_reports\\_060512/res\\_coll\\_final.pdf](http://www1.umn.edu/systemwide/strategic_positioning/tf_final_reports_060512/res_coll_final.pdf))

Office of Interdisciplinary Initiatives

(<http://www.grad.umn.edu/oii/>)

The President's 21st Century Interdisciplinary Conference Series

([http://www1.umn.edu/pres/01\\_init\\_conf.html](http://www1.umn.edu/pres/01_init_conf.html))

## Appendix F: Leadership Resources at the University

<b>Program Name</b>	<b>College/Location</b>	<b>Web site</b>
Medical Industry Leadership Institute	Carlson School of Management	<a href="http://www.carlsonschool.umn.edu/Page6241.aspx">www.carlsonschool.umn.edu/Page6241.aspx</a>
Center for Integrative Leadership	Carlson School of Management / Humphrey Institute for Public Affairs	<a href="http://www.carlsonschool.umn.edu/Page7412.aspx">www.carlsonschool.umn.edu/Page7412.aspx</a>
Emerging Leadership Program for Undergraduate Students	Carlson School of Management	<a href="http://www.carlsonschool.umn.edu/Page4803.aspx">www.carlsonschool.umn.edu/Page4803.aspx</a>
Executive Education	Carlson School of Management	<a href="http://www.carlsonschool.umn.edu/Page5244.aspx">www.carlsonschool.umn.edu/Page5244.aspx</a>
Leadership Black Belt through the Joseph M. Juran Center	Carlson School of Management	<a href="http://www.carlsonschool.umn.edu/Page5309.aspx">www.carlsonschool.umn.edu/Page5309.aspx</a>
Part-Time MBA Leadership Advisory Board	Carlson School of Management	<a href="http://www.carlsonschool.umn.edu/page6189.aspx">www.carlsonschool.umn.edu/page6189.aspx</a>
Women's Leadership Conference	Carlson School of Management	<a href="http://www.carlsonschool.umn.edu/Page7110.aspx">www.carlsonschool.umn.edu/Page7110.aspx</a>
Transformational Leadership Program	Office of Services and Continuous Improvement	<a href="http://www.umn.edu/osci/tlp.html">www.umn.edu/osci/tlp.html</a>
Tom Burnett Advanced Leadership Program	Office for Student Engagement and Leadership	<a href="http://www.lead.umn.edu/tom-burnett/">www.lead.umn.edu/tom-burnett/</a>
Provost's Department Chairs Leadership Program	Senior Vice President for Academic Affairs and Provost	<a href="http://www.academic.umn.edu/provost/faculty/dept_chairs.html">www.academic.umn.edu/provost/faculty/dept_chairs.html</a>
LeaderQuest	Office for Student Engagement and Leadership	<a href="http://www.lead.umn.edu/leaderquest/index.html">www.lead.umn.edu/leaderquest/index.html</a>
The First-Year Leadership Institute	Office for Student Engagement and Leadership	<a href="http://www.lead.umn.edu/first-year/">www.lead.umn.edu/first-year/</a>
Career Leadership Program	Career Center for Science and Engineering	<a href="http://www.ccse.umn.edu/careerleader.html">www.ccse.umn.edu/careerleader.html</a>
Change Management: Leading During Change	Office of Human Resources	<a href="http://www.umn.edu/ohr/trainingservices/changemgmt/index.html">www.umn.edu/ohr/trainingservices/changemgmt/index.html</a>
Change Management: Strategies for Managing Change	Office of Human Resources	<a href="http://www.umn.edu/ohr/trainingservices/changemgmt/index.html">www.umn.edu/ohr/trainingservices/changemgmt/index.html</a>
Organizational Development Consulting	Office of Human Resources	<a href="http://www.umn.edu/ohr/orgdev/index.html">www.umn.edu/ohr/orgdev/index.html</a>
Women's Leadership Institute	Office of Human Resources & Office for University Women	<a href="http://www.umn.edu/ohr/leadership/womens/index.html">www.umn.edu/ohr/leadership/womens/index.html</a>
Successful Manager's Leadership Seminar	Office of Human Resources	<a href="http://www.umn.edu/ohr/leadership/seminar/index.html">www.umn.edu/ohr/leadership/seminar/index.html</a>
Provost's Faculty Development Programs	Senior Vice President for Academic Affairs & Provost	<a href="http://www.academic.umn.edu/provost/faculty/development.html">www.academic.umn.edu/provost/faculty/development.html</a>
UMConnect & Presenter 6 Orientation	University Technology Training Center	<a href="http://www.utt.umn.edu/training/courses/description.jsp?secName=CNPR101">www.utt.umn.edu/training/courses/description.jsp?secName=CNPR101</a>
President's Emerging Leaders Program	Office of Human Resources	<a href="http://www.umn.edu/ohr/pel">www.umn.edu/ohr/pel</a>
New Faculty Orientation	Vice Provost for Faculty & Academic Affairs	<a href="http://www.academic.umn.edu/newfaculty/">www.academic.umn.edu/newfaculty/</a>

## **Appendix G: Recommended Readings**

Autry, J.A., & Mitchell, S. 1988. *Real power: Business lessons from the Tao Te Ching*. Berkley Publishing, New York. (Tom Fisher)

Bland, C., Weber-Main, A.M., Lund, S.M., Finstad, D.A. 2004. *The research-productive department: Strategies from departments that excel*. Jossey-Bass. (John Bryson)

Bryson, J. & Crosby, B. 1992. *Leadership for the common good: Tackling public problems in a shared-power world*. Jossey-Bass. (John Bryson)

Cleveland, H. 2002. *Nobody in charge: essays on the future of leadership*. Jossey-Bass. (Brian Atwood)

Collins, J. 2001. *Good to great: Why some companies make the leap...and others don't*. Collins. (Darlyne Bailey)

George, B. 2007. *True north: Discover your authentic leadership*. Jossey-Bass. (Darlyne Bailey)

Pascale, R.T. & Athos, A.G. 1982. *The art of Japanese management: Applications for American executives*. Warner Books. (Darlyne Bailey)

Rosenberg, M.B. & Gandhi, A. 2003. *Nonviolent communication: A language of life*. Puddledancer Press. (John Bryson)

Wheatley, M.J. 1993. *Leadership and the new science*. Berrett-Kohler, San Francisco. (Darlyne Bailey)