

**AN EXPLORATORY MULTIPLE CASE STUDY OF SUCCESSION PLANNING  
FOR HIGHER EDUCATION COMMUNITY ENGAGEMENT PRACTITIONERS  
IN SELECTED HIGHER EDUCATION INSTITUTIONS IN THE  
SOUTHEASTERN REGION OF THE UNITED STATES**

by

Heidi Louisy

A Dissertation Submitted to the Faculty of

The College of Education

In Partial Fulfillment of the Requirements for the Degree of

Doctor of Philosophy

Florida Atlantic University

Boca Raton, FL

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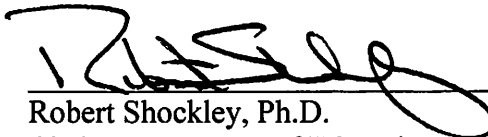
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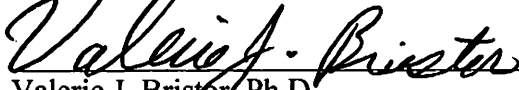
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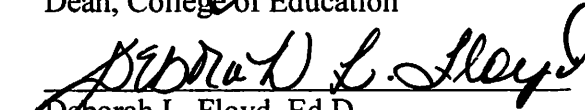
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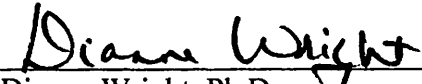
This dissertation was prepared under the direction of the candidate's dissertation advisor, Dr. Dianne Wright, Department of Education Leadership and Research Methodology, and has been approved by members of her supervisory committee. It was submitted to the faculty of the College of Education and was accepted in partial fulfillment of the requirements for the degree of Doctor of Philosophy.

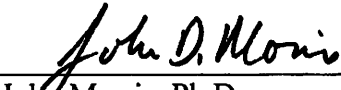
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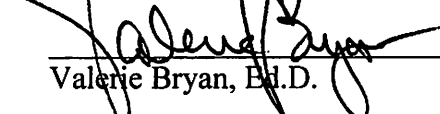
  
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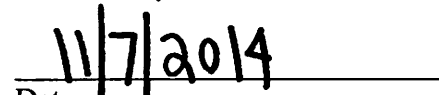
  
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*“The heights by great men reached and kept were not attained by sudden flight, but they, while their companions slept, were toiling upward in the night”* – Henry Wadsworth Longfellow (Scudder, 1893)

When I decided to apply to graduate school, my intention was simply to acquire the knowledge and resources to enable me to be a guide to my daughter as she embarked on her pursuit of higher education. However, nearly six years later this simple intent has culminated in not only my daughter being accepted into graduate school, but also in research that contributes to and adds value to the higher education community. This entire process would not have been possible without the patience and support of my outstanding dissertation committee. I must first acknowledge Dr. Dianne Wright, my committee chair for the many years of hard work and dedication to my dream. I am still confused as to why she stuck with me as a student for six years. Dr. Wright, I am grateful for your patience, your knowledge, your guidance, your perseverance, your friendship, and for walking through this journey with me. Dr. Bogotch, Dr. Bryan, and Dr. Morris: thank you each for sharing your wisdom, insights, and new perspectives. Your combined dedication to excellence propelled me to achieve so much more.

Pursuing this doctoral degree was a constant reminder of the signature line created in my personal email in 2010: “I can do all things through Him who strengthens me” (*Philippians 4:13*). My Heavenly Father used many experiences and successes to stretch

my faith and to solidify my reliance on him. Father, even when escape doors appeared to be attractive, you gently guided me back to the course of perseverance. I am grateful.

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## **ABSTRACT**

Author: Heidi Louisy

Title: An Exploratory Multiple Case Study of Succession Planning for Community Engagement Practitioners in Select Higher Education Institutions in the Southeastern Region of The United States

Institution: Florida Atlantic University

Dissertation Advisor: Dianne Wright

Year: 2014

Succession planning is a relatively new construct within higher education institutions (HEIs). The researcher explored the extent to which selected HEIs employ succession planning strategies in reference to the Higher Education Community Engagement Practitioner (HECEP) role and in support of HEIs earning the Carnegie Community Engagement Classification (CCEC). Four HEIs served as study sites for this research, along with a nationally recognized professional development program.

Study results revealed that HEIs are not currently using succession planning strategies for the HECEP role. Further, although the study revealed that professional development opportunities for HECEPs exist, only 50% of institutional study participants were aware of, and participated. Finally, based on the credentials of individuals currently in HECEP roles and data obtained from this study (including data from an expert judge linked to the professional development program analyzed as part of

this study), the researcher provides a job specification template for determining if institutions have a pipeline of individuals who could be prepared to assume the HECEP role in the future. This study, although limited in scope as it relates to succession planning, provides insight into the attitudes and perceptions of specific higher education professionals toward the professional development of employees, and more specifically, the HECEP role.

## DEDICATION

This manuscript is dedicated to my daughter Karla Antoinette Louisy. I could not complete this work without her unwavering support, understanding, encouragement, and confidence in my abilities. Karla, you are my sole motivation for traveling this journey. You and I made a pact that we would see each other through college, and we have. You gave me permission to be *Me* during this journey, and you continuously reminded me that I was capable of completing the course. Karla, your permission enabled me to trust God so much more, knowing that he would take care of you as he promised, and that “I can do all this through him who gives me strength” (Philippians 4:13).

Karla, you made so many sacrifices throughout this journey; you sacrificed many birthday celebrations, many vacations, many home-cooked meals (even those thanksgiving and Christmas meals), and many mother-daughter tete-a-tete moments. Even through these occasions, you always maintained a cheerful and understanding disposition, while allowing me to pursue this dream. Karla, you had confidence in me when I did not. Your unconditional love kept me going, even when I did not “feel like it.” I pray you know and appreciate the value of perseverance and education, and when you get the choice to sit it out or dance, I pray you choose to *Dance*. Thank you for allowing me to fulfill this dream. Thank you hon!!!

*In loving memory of Peter and Martha Louisy (mommy and daddy). You both set the stage for this accomplishment and I am confident that I have made you proud with this achievement.*



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## I. INTRODUCTION

Higher education institutions (HEIs) (see Table 1 for this and other operational abbreviations used in this study) have been called upon to adopt many corporate processes and practices, some of which have already been adapted in a variation of models. For example, many institutions have incorporated strategic planning, fiscal management, technology advancements, marketing, and branding strategies (Lineman, 2007; Scarborough, 2007; Zastrocky & Schlier, 2000) into their internal practices. In addition, the concept of talent management, which is widely accepted by corporations external to higher education, is viewed as an umbrella under which organizations execute integrated practices, processes, and systems for managing the lifecycle of employees (Butterfield, 2008; Byham, 2001; Heinen & O'Neill, 2004; Lewis & Heckman, 2006; Olsen, 2000). Although the concept of the talent management has been introduced in the higher education environment, only some talent management strategies have been incorporated into higher education systems (Stockley, 2007; Tarique & Schuler, 2010).

For example, talent identification, talent acquisition, performance evaluation, maintenance of personnel records, labor relations, payroll and compensation processes, are some talent management strategies that appear to be integrated in the employee lifecycle within many HEIs. However, according to Fusch and Mrig (2011), it appears that the higher education enterprise has an uneven track record for developing its leaders.



Table 1

*Operational Abbreviations*

| Abbreviation            | Organization  |
|-------------------------|---|
| Carnegie Foundation     | Carnegie Foundation for the Advancement of Teaching         |
| Carnegie Commission     | Carnegie Commission on Higher Education                     |
| Carnegie Classification | Carnegie Classification of Institutions of Higher Education |
| CCDF                    | Carnegie Classification Documentation Framework             |
| CCEC                    | Carnegie Community Engagement Classification                |
| EAUL                    | Engagement Academy for University Leaders                   |
| HECEP                   | Higher Education Community Engagement Practitioner          |
| HEIs                    | Higher Education Institutions                               |
| Qualtrics               | Qualtrics Research Suite (Qualtrics) (Qualtrics Labs, Inc.  |

Leadership development strategies (processes, activities, and techniques to empower employees to be effective in their role), and more specifically related to this study, succession planning and professional development, are corporate practices that are not yet fully embraced by HEIs (Groves, 2005; Lockwood, 2006; Scullion & Collings, 2011; Scullion, Collings, & Caligiuri, 2010; Vaiman, Scullion, & Collings, 2012). Succession planning is a deliberate and systematic effort to ensure leadership continuity, to develop and retain intellectual knowledge capital, and to encourage individual advancement (Rothwell, 2005). Further, succession planning is one option to addressing leadership development, whereby organizations “tap into quality people already in their organization, thus growing and keeping their own leaders” (Byham, Paese, & Smith,

2002, p. 1). Aversa (2005), notes that succession planning “assures continuity of leadership, organizational memory, and smooth leadership transitions; it is one component of organizational health” (p. 86).

According to Butterfield (2008), higher education is historically an egalitarian culture, resistant to formal identification of heirs apparent; whereas many corporations tend to look to their internal talent to preserve their business continuity and have developed sophisticated processes of identifying, recruiting, developing, and retaining that talent (Lockwood, 2006). However, succession planning in higher education does not merely mean the selection and announcement of a successor chosen in advance of a current employee’s departure. Rather, succession planning in higher education connotes that the institution has given careful thought to the abilities of one or more staff members to be viable candidates to fill positions within the institution. It also means that professional development opportunities have been provided to those who show the potential to assume leadership roles (Association of Governing Boards of Universities and Colleges [AGB], 2012).

Guskey (2000) presents professional development as purposeful and intentional activities meant to enable the acquiring of knowledge and skills related to one’s profession, job responsibilities, or work environment. Few HEIs have established formal programs to support the professional development and succession of their existing employees and related human capital (Lynch, 2007). An institution’s human capital refers to the knowledge, experience, skills, expertise, and creativity which employees possess (Weatherly, 2003). When offered to employees, professional development, education, or training, are forms of investment in an organization’s human capital

(Schultz, 1961, 1963) and help to create a sustainable, talent-rich culture (Allen & Doladee, 2011). Allen and Doladee (2011) posited that, “a talent-focused, supportive company culture is part of what drives individuals to join and stay within an organization which can have a tremendous impact on the bottom line” (p. 1). Furthermore, the potential exists for the development of the organization’s cultural capital that is more highly evolved and recognizes whole systems.

Colleges and universities are relying more on hiring external candidates to assume leadership positions within their institutions. The general sentiment is that institutions should be able to maintain the option to hire external talent, particularly since there may be a strong possibility that new talent may bring prestige to the institution (González, 2010), fresh ideas, and in some cases financial support. Further, many leaders brought in from external sources may have the ability to positively impact the institution and therefore it may be easier to effect change within the institution. González (2010) warned that institutions should not disregard their internal employees who have interest, passion, institutional knowledge, and leadership potential to be effective and successful leaders within the institution. Butterfield (2008) recommended that when preparing to fill positions, institutions should determine their options by evaluating and maintaining a balance between their internal and external hiring processes. Although institutions should exercise the options of hiring externally or promoting internally, caution must be taken to ensure a high quality and diverse workforce, as required by individual States’ and institutions’ equal employment opportunity statutes.

Currently, higher education institutional leaders in the United States are considering whether their institutions will voluntarily participate in the 2020 assessment

process to earn the Carnegie Community Engagement Classification (CCEC) designation (Carnegie Foundation for the Advancement of Teaching [Carnegie Foundation], 2012a). However, the concept of community engagement, based on the Carnegie Classification of Institutions of Higher Education (Carnegie Classification) and the HECEP role, are both still relatively new to HEIs (Clyburn, Saltmarsh, & Driscoll, 2011; Driscoll, 2009). As such the HECEP role is an ideal unit of analysis through which to view succession planning within the context of higher education. As this role emerges and becomes a main stay in higher education, the more critical the need to maintain the HECEP institutional knowledge and memory by ensuring successors who have been prepared to lead institutions' community engagement initiatives.

This elective classification was initially introduced in 2005. However, during the 2006 and 2008 assessment periods, institutions were able to earn the classification under the categories of curricular engagement, outreach and partnerships, or both. By the end of the 2006 assessment period five institutions had earned the classification based on curricular engagement; nine based on outreach and partnerships, and 62 based on the combined categories; one of which was a Florida institution. By the end of the 2008 assessment period, two institutions had earned the classification based on curricular engagement, six based on outreach and partnerships, while 112 earned the classification based on the combined categories, seven of which were Florida institutions (Carnegie Foundation, 2012d).

Beginning in 2010, the three separate categories were reduced to one, the CCEC, although institutions were expected to demonstrate that they were qualified to earn the classification based on curricular engagement and outreach and partnerships. By the end

of the assessment review period, December 1, 2010, an additional 115 institutions had successfully earned the classification, five of which were Florida institutions, creating a total of 311 institutions which had earned the classification since the implementation in 2006, with 13 of these institutions in the state of Florida (Carnegie Foundation, 2012d).

The next opportunity for other HEIs to earn this classification designation will be in 2015, and the application process began in early 2013. However, the institutions that currently hold the CCEC designation will not need to reapply until the 2020 assessment period. This new classification has a positive impact on institutions as it is an opportunity for them to share information with stakeholders and the local community, which in turn empowers appropriate actions, potentially leading to more positive outcomes, such as financial commitments. The impact of the classification is vast as institutions understand that not all knowledge and expertise comes from academics. Rather, by engaging their communities, institutions have the opportunity to live out their purpose to produce and to share knowledge that benefits society and prepares individuals to be productive and participative members of society (Fitzgerald, Burns, Sonka, Furco, & Swanson, 2012).

Although some institutions are already perceived as prestigious among peer institutions for quality research or for grant-funding efforts, many of these same institutions are now preparing for and will choose to participate in the assessment for the elective CCEC. This classification enables institutions to shift from being internally focused to becoming externally focused on building stronger relationships, being more aware of their communities, and to become more relevant in and to their communities,

thereby contributing to reaching institutional goals (Carnegie Foundation, 2012d; Driscoll, 2009; Fitzgerald et al., 2012).

The Carnegie Commission on Higher Education (Carnegie Commission) established the Carnegie Classification in 1970. The purpose of the Carnegie Classification was to support research and policy analysis in HEIs in the U.S. (Carnegie Foundation, 2012a; McCormick, 2006). The original intent of the Carnegie Foundation was to use the Carnegie Classification system primarily as a descriptive tool. As such, the Carnegie Classification system was to describe the makeup of higher education by focusing on institutional characteristics to determine groupings (McCormick, 2006; Shulman, 2001; Zhao, 2011). Further, the expectation was that the tool would neither insert nor create any judgment about the importance, the value, or the quality of instruction provided by the institution (Zhao, 2011).

The Carnegie Classification system has been in existence since the early 1970s, and continues to be highly esteemed within higher education as evidenced by the many institutions identifying themselves based on how they are classified in the Carnegie Classification system. For example, there are institutions still claiming to be Research I universities (Carnegie Foundation, 2012b; Olson, 2011), even though that category has not existed since 2000 (Jaschik, 2008). Research I was a category formerly used within the Carnegie Classification system to group institutions that demonstrated a high priority on research and dedication to graduate education. In the 2000 listing of the Classifications, the use of Roman numerals was discontinued to alleviate the inference that the categories signified difference in quality (Carnegie Foundation, 2012c).

Still, there are institutions that perceive the classification to be a pyramid or ranking system, reflecting the most prestigious institutions at the top (Jaschik, 2008; Olson, 2011). Further, it is perceived by many that Carnegie status creates opportunities for institutions; for example, the respect of peer institutions, funding for research, prospects for partnerships, ability to recruit and to retain esteemed faculty and students, and the greater potential to increase employee salaries. Some institutions even establish the strategic goal of “rising” in their Carnegie Classification system (Olson, 2011).

The CCEC was introduced in 2005 as an elective Carnegie classification requiring specific data that institutions do not typically collect, such as documentation of community engagement activities or initiatives. The CCEC designation is upheld as an indication of an institution’s commitment to deepen community service, strengthened bonds with community partners, and that the practices of community engagement are aligned with the identity and the culture of the institution (Driscoll, 2009; McCormick, 2006). Community engagement is one of the core functions of HEIs globally (Australian Universities Community Engagement Alliance [AUCEA], 2008). For example, the AUCEA, a coalition of 35 universities committed to community involvement, maintains that engaged universities are essential for Australia’s economic and social future (Garlick & Langworthy, 2008). Colleges and universities in the United Kingdom are called upon to increase partnerships with schools and communities in order to achieve the government’s aim of attracting 60,000 more students into higher education (Spencer, 2008).

According to MacGregor (2008), community engagement is perceived to be embedded in South Africa’s higher education system as a core value. Institutions are

accountable and must systematically develop, maintain, and document engagement activities, along with teaching and research. HEIs in South Africa are expected to demonstrate social responsibility. One of the goals of the higher education system is “to promote and develop social responsibility and awareness among students of the role of higher education in social and economic development through community service programmes” (Lazarus, Erasmus, Hendricks, Nduna, & Slammat, 2008, p. 58). HEIs in South Africa receive a large share of the country’s public resources that are used to support a student population that primarily comes from communities that are in dire economic need. MacGregor (2008) notes that community engagement initiatives are of vital importance in the South African higher education system.

In the U.S., the value of the CCEC is evidenced by the increasing number of HEIs that applied for and received the designation since it was established in 2005 (Carnegie Foundation, 2012b). In addition, many institutions have undertaken transformation strategies requiring an expanded view of their missions as their campuses are being reinvented because of the concept of community engagement being embraced by the institutions. Having an expanded mission enables the institutions to invigorate their communities with participation from faculty, students, and staff which contributes to helping to shape the lives of the citizens and the community in general (Rodin, 2007).

To ensure that institutions can earn the CCEC, it is imperative for participating institutions ensure that the right leader is in the Higher Education Community Engagement Practitioner (HECEP) role to facilitate and guide the institution’s community engagement initiatives and internal processes for the Carnegie Foundation’s assessments and evaluation requirements (Weiss, Anderson, & Lasker, 2002). In



addition, according to Pena (2013) institutions should be prepared for an unplanned departure of the current HECEP role so that there is a pool or pipeline of prepared individuals from which to select an individual to assume the HECEP role. In this regard, when such unforeseen events occur, the programs, services, and initiatives under the responsibility of the HECEP do not stop and the institution can continue to maintain related business processes.

After the fact is not the time to initiate a succession plan, or succession planning program, nor initiate employee development for the HECEP role. The manner in which both tacit and explicit institutional knowledge is captured, preserved, and transferred by the HECEP role is of significance to the effective sustenance of this role and the community engagement unit. Most importantly, determining how institutional community engagement knowledge and information is transferred once it is acquired is necessary for sustaining an institution's community engagement unit's activities. If institutions do not have internally prepared successors who can easily be deployed, even with normal advance notification, hiring externally can prove to be costly, time-consuming, and can impede the ability to capture and transfer institutional knowledge (Fusch & Mrig, 2011).

### **Statement of the Problem**

The problem investigated in this study is the extent to which HEIs use succession planning strategies in relationship to their HECEP role. As previously noted, both the CCEC designation and the HECEP role are still considered new to HEIs, and as such there is still room to define and develop the HECEP role (Clyburn et al., 2011; Driscoll, 2009). While studies are starting to appear that address succession planning in higher

education, there appears to be no significant research conducted, to date, relative to the succession planning and the HECEP role. In addition, there does not appear to be defined requisite qualifications for the HECEP role.

### **Purpose of the Study**

This qualitative multi-case study explored the extent to which selected institutions of higher education employ succession planning strategies with regard to the HECEP role in support of earning the CCEC. Additionally, the researcher sought to discover, what if any, programs or program designs institutions were using as professional development opportunities for the HECEP role. The researcher also aimed to determine the perceived requisite qualifications in terms of knowledge, skills, abilities, professional experiences, and education level for the HECEP role. Based on the credentials of individuals currently in HECEP roles, and data obtained from this study, including data from an expert judge linked to the professional development program analyzed as part of this study, the researcher provides a job specification template for determining if institutions have a pipeline of individuals who could be prepared to assume the HECEP role.

### **Research Questions**

The following are the research questions that this exploratory multi-case research study aimed to answer:

**Primary research questions.** Two primary questions this exploratory multi-case study aimed to answer were:

1. What is the demographic profile of each of the selected study institutions having attained the CCEC designation in 2010?

2. What succession planning strategies do higher education institutions use relative to the newly established HECEP role and/or unit?

**Secondary research questions.** Two secondary questions this exploratory multi-case study aimed to answer were:

1. What professional development strategies do HEIs use as development opportunities for the HECEP role that may contribute to the institution earning the CCEC?
2. What are the requisite qualifications in terms of knowledge, skills, abilities, professional experiences, and level of education for the HECEP role in order to lead institutions to attain the CCEC as perceived by the participating HECEPs and PDPR?

### **Significance of the Study**

The concept of community engagement based on the Carnegie Classification is still a relatively new designation (Clyburn et al., 2011; Driscoll, 2009). There does not appear to be any research related to succession planning and the HECEP role, however, the CCEC designation is becoming more widely recognized by HEIs. As the CCEC designation and the HECEP role emerge and become a main stay in higher education, the more critical the need to ensure the institutional knowledge and memory, experienced by the pioneering HECEPs are maintained, and that available successors who have been prepared to lead institutions' community engagement initiatives. This need is even more significant, in part, because the HECEP role is considered a key role in HEIs.

This research study aimed to explore the extent to which selected institutions of higher education employ succession planning strategies with regard to the HECEP role in

support of earning the CCEC designation. Additionally, the research sought to discover, what programs, if any, or program designs institutions were being used as professional development opportunities for the HECEP role. The research also aimed to determine the perceived requisite qualifications in terms of knowledge, skills, abilities, professional experiences, and education level for the HECE role. Findings from this study were used to fill the gap in literature as well as to create a much needed template reflecting the requisite qualifications for the HECEP role, along with best practice development opportunities for the HECEP.

Over the years, HEIs have adopted many effective corporate processes and practices. The concept of succession planning is yet another example of corporate process and practice that is slowly finding its place into higher education. To the extent that it is employed (Lynch, 2007), and specifically with regard to the HECEP role, adds significance to this study. Fusch and Mrig (2011) strongly stress that, “in an increasingly competitive marketplace, how institutions capture and transfer knowledge, and identify and develop the next generation of leaders will be key determinants of their futures” (p. 3).

### **Conceptual Framework**

Two theories frame this study: talent management theory and human capital theory. Elements from both theories facilitated the construction of the research questions, construction of the study, and the research methodology. The components of succession planning and professional development as leadership development strategies within a talent management system also provided a context for the literature review. The components of human capital theory: knowledge, skills, abilities, experiences,

educational level, professional and educational background, also helped in responding to the research questions and in designing a template for determining individuals who could be considered to assume the HECEP role within HEIs. The researcher used the constructivist paradigm in developing the design of this qualitative case study.

**Talent management theory.** The concept of talent management, as it relates to effectively managing employees, emerged in the early 1990s. Theorists have noted varying definitions of talent management (Collings & Mellahi, 2009). For example, Stockley (2007) defines talent management as a deliberate approach undertaken to attract, develop, and retain people with the aptitude and abilities to meet current and future organizational needs. More recently, theorists have presented talent management as a compilation of human resource practices, functions, activities, or expert areas like recruitment, selection, development, and career and succession management (Byham, 2001; Heinen & O’Neill, 2004; Hilton, 2000; Olsen, 2000). Lewis and Heckman (2006) presented talent management as “projecting employee and/or staffing needs, and managing the progression of employees through positions” (p. 140).

Ashton and Morton (2005) contended that there “isn’t a single consistent or concise definition” of talent management (p. 30). Other related research demonstrates that the term “human resource management” is often substituted with the term “talent management” (Lewis & Heckman, 2006). Still in other cases, the terms “talent management,” “talent strategy,” “succession management,” and “human resource planning” are also often used interchangeably (Lewis & Heckman, 2006).

For purposes of this study, talent management is defined as a systematic and deliberate approach of combined human resource strategies that support the life cycle of

employees. These functions and processes include recruitment, selection, development, performance evaluation, rewards and recognition, career and succession planning, and retention and separation of employees (Byham, 2001; Chowanec & Newstrom, 1991; Heinen & O'Neill, 2004; Hilton, 2000; Olsen, 2000). Although the term has not been clearly defined specifically in the higher education arena, there is evidence that a small percentage of HEIs have developed processes/programs (formal or informal), for overseeing their internal talent (Lynch, 2007; Wolverson & Gmelch, 2002).

Lewis and Heckman (2006) noted that there is “a disturbing lack of clarity regarding the definition, scope, and overall goals of talent management” (p. 139). Regardless of an agreed upon definition, the common defining elements of talent management focus on human capital (Collings & Mellahi, 2009; Lewis & Heckman, 2006), and the processes used to anticipate the need for an organization’s human capital. To provide a manageable framework to capture all of the talent management strategies, and for purposes of this study, talent management is an umbrella under which a group of integrated human resource functions emerge (Butterfield, 2008; Lewis & Heckman, 2006).

**Human capital theory.** Elements of human capital theory encompass the knowledge, experience, expertise, capability, capacity, and creativity that individuals possess (Weatherly, 2003), or any form or stream of knowledge, skills, or characteristics employees possess (either innate or acquired), that contributes to his or her ability to be productive. This theory views human capital as a resource that organizations can invest in and is of value to the organization to the extent that it makes the organization productive or profitable (Kessler & Lulfesmann, 2006; Lepak & Snell, 1999; Nafukho,

Hairston, & Brooks, 2004). The key aspect of the theory is the investment for the future. A secondary, or more evolved element of human capital theory is cultural capital. Cultural capital refers to the transmission of values that influence attainment. For example, it can allow the labor market to compare applicants, both quantitatively and qualitatively (Barrett, 2010). Schultz (1961, 1963) theorized that professional development, education, or training offered to employees are forms of investment in an organization's human capital and are the main elements in creating successful organizations. Becker (2002, 2009) suggested that the processes that relate to training, education, and other professional development initiatives are geared toward enhancing the knowledge and skills of employees and have a direct impact on employee satisfaction and on the performance of both the employee and the organization. Rouse (2012) contended that there are several embedded assumptions made by organizations and employees relative to human capital and employee development, one of which is that the future worth of either party can be enhanced through investment in learning opportunities.

From a constructivist perspective, it is understood that employees can actively construct meanings from their learning experiences and apply or relate that meaning to their job functions (Babcock, 2004; Becker, 2009; Sveiby, 1997). The human capital theory proposes that employees are just as significant and essential as any other resource to an organization; therefore, investing in employees (human capital) has the propensity to reap profits for the employer, and benefits for the employees, the employer and society (Becker, 2009).

**The constructivist paradigm.** Constructivists claim that truth is relative and that it is dependent on one's perspective. In addition to talent management and human capital theory, the researcher used a constructivist lens to examine succession planning and professional development relative to the HECEP role relative to the CCEC designation. In doing so, the researcher specifically aimed to determine the perceived requisite qualifications in terms of knowledge, skills, abilities, professional experiences, and level of education for the HECEP role in order to lead institutions to earn the CCEC.

Wiske (1998) posited that constructivism refers to the process by which human beings make sense out of the world around them, the way humans understand, which is always personally contextualized. Based on that interpretation, the manner in which the Carnegie Classification classifies HEIs is influenced by a variety of constructs imposed by the Carnegie Foundation (Carnegie Foundation, 2012c; Douglass, 2005; Zhao, 2011). Each institution uses its own defined constructivism to create its own reality that fits into a determined Carnegie Classification. Constructivism supports the notion that one of the primary methods organizations can use to ensure continuity, is to invest in training and development opportunities for employees, which, for the organization, enhances and protects their human capital (Guskey, 2000; Lepak & Snell, 1999; Sparks & Hirsh 1997).

## **Method**

Using a multiple-case study method within the context of HEIs allowed for the in-depth exploration of participants' views on the talent management strategies of succession planning and professional development. That study method allowed the researcher to thoroughly explore study participants perceptions of the requisite qualifications for the newly established HECEP role. The use of a multiple-case study



design, combined with cross-case analysis, enabled the researcher to examine the differences within and among the cases, and contributed to the richness and depth in the study (Anaf, Drummond, & Sheppard, 2007; Stake, 2000; Yin, 2003).

The five individual cases in the study include four HEIs located in the state of Florida and one professional development program located in the state of Virginia. The survey method, interviews, and document analysis were used as research tools to obtain the study data. The researcher performed within-case analysis of each individual case, followed by cross-case analysis of the institutions and the professional development center. The data from the individual institutional cases helped to determine the extent to which the institutions employed succession planning and professional development strategies, specifically within their community engagement units and for their HECEP role. Data from the professional development program helped to determine the content validity of a best practice program design. Survey data were used to determine perceived requisite HECEP position qualifications. The data were analyzed using within-case analysis and cross-case analysis.

### **Assumptions**

Two assumptions were made in terms of this proposed study. First, HECEP study participants were experienced leaders in the field of community engagement as they are either currently employed within HEIs in a role that leads community engagement initiatives within their respective institutions, or the PDCR was in a role that promotes the development of community engagement leaders. Second, because of the nature of their roles, it was assumed that study participants have a broad knowledge of, and

understand the significance of, the CCEC to their respective institutions or places of employment.

### **Limitations**

The primary limitation of this study, due to the small sample size, is the ability to generalize its findings across all types of HEIs in the U.S. The sample size consisted of four HEIs located in the state of Florida and one professional development program located in the state of Virginia. In addition, there is a probability of convenience bias, as the five selected institutions are located in the state of Florida, the same residence of the researcher, as well as researcher bias since the researcher is an employee within one of the participating institutions.

Additionally, the study is limited only to the exploration of succession planning strategies employed in the institutions that participated in the study, and only in relationship to the HECEP role and the CCEC designation. Therefore, the study results should not be generalized across all HEIs, including those having received the CCEC designation. The geographic location of study participants was a limitation, as it forced telephone interviews with some participants, while it was possible to have face-to-face interviews with others. To ensure there were no inequities because of the two formats used for the interviews, the researcher recorded all interviews. An additional limitation of this study is response bias, as there is no feasible strategy to ensure sincerity in the participants' responses.

### **Delimitations**

A delimitation of this study is that the research was confined to four institutions in the state of Florida that successfully earned the CCEC during the 2010 assessment. At

the time that this study was conducted, there were 311 institutions with the CCEC designation. Another delimitation of this study is that the research is focused only on succession planning in relation to the HECEP role and relative to the CCEC designation. Although numerous centers and associations provide professional development for higher education professionals throughout the U.S., the professional development program selected for participation in this study is the one most closely affiliated with the Carnegie Foundation. Henry (1990) notes that in non-probability sampling, subjective judgments play a specific role, and therefore, researchers must be careful not to generalize results based on non-probability sampling to the general population. Selection of the institutions and professional development program for participation in this study was based primarily on the judgment of the researcher (Frey, Botan, & Kreps, 2000; MacNealy, 1998).

### **Definitions**

The definitions of terms used throughout this study are as follows:

*Ability:* Enduring intellectual, physical, and sensory capabilities necessary to successfully perform in a position by linking processes and practices to positive outcome (Society for Human Resource Management, [SHRM] 2006).

*Carnegie Community Engagement Classification:* An elective classification, which is based on voluntary participation by institutions. The classification involves data collection and documentation of important aspects of institutional mission, identity, and commitments, and requires substantial effort invested by participating institutions. It is an institutional classification; it is not for systems of multiple campuses or for part of an individual campus (Carnegie Foundation, 2012d).

*Community engagement:* Refers to the collaboration between institutions of higher education and their larger communities (e.g., local, regional, state, national, and global) for the mutually beneficial exchange of knowledge and resources in a context of partnership and reciprocity (Carnegie Foundation, 2012d).

*Cultural capital:* “A measure of the value that can be placed on the way of being, or personality of a group, collective entity, or an organization” (Barrett, 2010, p. 1).

*Higher education community engagement practitioner (HECEP):* For purposes of this study, the HECEP is the individual responsible for leading an institution’s community engagement initiatives, the assessments, and the evaluation requirements of the Carnegie Community Engagement Classification (CCEC).

*Human capital:* The set of skills which an employee acquires while on the job, through training, coaching and experience, and which increases that employee’s value in the workforce (Crook, Todd, Combs, Woehr, & Ketchen, 2011).

*Human capital theory:* The processes that relate to training, education, and other professional development initiatives designed to enhance the knowledge and skills of employees (Becker, 2002, 2009).

*Job description:* A document outlining the general nature of the work to be performed, specific responsibilities and duties, and the employee characteristics required to perform a job (SHRM, 2008a).

*Job specification:* A document outlining the specialized knowledge, skills, and abilities, the educational requirements, and the desired experience an employee needs to possess to effectively perform a job. Job specifications complement job

descriptions and are written into the job description. Sometimes job description and position description are used simultaneously (SHRM, 2008a).

*Knowledge:* The intellectual possession and an understanding of the operations and processes necessary to qualify for and perform successfully in a position (SHRM, 2006).

*Leadership development:* One component of succession planning processes which includes opportunities for personal and professional growth through a variety of activities, including internal and external professional development opportunities, and other growth assignments (Groves, 2005).

*Professional development:* A leadership development strategy that is continuous, purposeful, and is intentionally designed to bring about improvement by acquiring new knowledge and skills, or by enhancing existing knowledge and skills that relate to one's profession or job responsibilities. Such activities and processes include training, on-the-job assignments, job rotations, coaching, mentoring, projects, and workshops. Professional development plays a key role in maintaining trained, informed, and motivated employees (Guskey, 2000). Professional development includes both internal and external development opportunities for employees.

*Professional development program:* A program designed to enhance related job skills, knowledge, abilities, and experiences that relate to one's profession and job responsibilities.

*Professional development program representative:* An individual recognized as the subject matter expert and identified to represent the program in this study.

*Skill*: Proficiency or mastery acquired to perform actions that achieve a desired outcome (SHRM, 2006).

*Succession planning*: A proactive, deliberate, and systematic effort by an organization to ensure leadership continuity, to retain and develop knowledge capital through planned training and development activities, both internally and externally.

“Succession planning is...any effort designed to ensure the continued effective performance of an organization, division, department, or workgroup by making provision for the development and replacement of key people over time”

(Rothwell, 2005, p. 10).

*Talent management*: A systematic and deliberate approach of combined human resource strategies that support the life cycle of employees. These functions and processes include recruitment, selection, development, performance evaluation, rewards and recognition, career and succession planning, retention and separation of employees (Byham, 2001; Chowanec & Newstrom, 1991; Heinen & O’Neill, 2004; Hilton, 2000; Olsen, 2000).

## **Chapter Summary**

In this chapter, the researcher describes the purpose and significance of the study, outlining the research questions and puts forth the study’s conceptual framework, and research design. Succession planning is defined as a proactive, deliberate, and systematic approach to cultivate leaders by providing professional development opportunities that enhance the knowledge, skills, and abilities of an institution’s human capital. Such investments help ensure institutions have individuals who are prepared to assume a role in the event of an unforeseen departure of a key personnel. The primary purpose of this

study was to explore the extent to which selected HEIs use the talent management strategies of succession planning and professional development relative to the HECEP role and in support of earning the CCEC designation. The research also aimed to determine the perceived qualifications for the HECEP role. Human capital theory (Schultz, 1963) and the talent management theory (Fegley, 2006), through a constructivist lens, are put forth as the conceptual framework for the study. Finally, the study method, limitations, delimitations, and definitions are presented in this chapter.

In Chapter 2, a review of the literature on talent management is presented with a specific focus on the strategies of succession planning and professional development in higher education in particular to the HECEP role. This literature focuses on a historical perspective of the Carnegie Foundation, with a concentration on the CCEC, and on the HECEP role. Chapter 3 describes the research design, sample plan, site and participant selection, the data collection and data analysis modes, and a summary of the pilot study for purposes of this study. Chapter 4 presents the study findings including within-case and a cross case analyses. In Chapter 5, the researcher presents a discussion of the findings, study conclusion, and recommendations.

## **II. LITERATURE REVIEW**

This literature review examines research and publications relevant to talent management with specific focus on the processes of succession planning and professional development, and with emphasis on higher education practices. In addition, research and related publications concerning the HECEP role within HEIs which has responsibility for implementing and overseeing engagement initiatives, and with responsibility for the documentation reporting and self-assessment processes related to earning the CCEC are also examined. The literature selected for review in this study includes dissertations, books, media sources, scholarly reports, journals, and peer-reviewed documents.

In order to facilitate and provide a clear and substantial understanding of this study, the literature review is divided into four additional sections: current higher education leadership; the HECEP role; talent management in higher education, and a discussion of leadership development and the strategies of succession planning and professional development. A historical perspective of the Carnegie Classification and the CCEC are also provided.

### **Current Higher Education Leadership**

Betts, Urias, and Betts (2009) noted that, in general, “there is a need to expand the leadership pipeline in higher education, as visible career paths are necessary to recruiting and retaining employees” (p. 6). Further, there is support in the current literature to suggest that higher education leadership is not aggressively developing leaders capable of ensuring leadership stability (Hill, 2005; Riccio, 2010). According to Day (2007):



When a sudden leadership void is experienced, it makes no sense to then jumpstart the development process. It is too late, because proper development can take months or even years; for this and other reasons, succession planning and leadership development initiatives must be linked in explicit and coherent ways to best manage the leadership talent of an organization. (p. 1)

According to Brukardt, Holland, Percy, and Zimpher (2004), institutions must invest in their human capital, and undertake strategic, innovative, and deliberate efforts to identify and develop leaders. In addition, HEIs must become proactive and implement processes to manage and develop individuals. Short of the latter, it must be recognized that the potential exists for the development of cultural capital that can serve as a form of professional development amongst employees within institutions (Barrett, 2010). Much as human capital evolved from intellectual capital, and encompassed a broader, more holistic perspective of the talent within organizations, cultural capital is more highly evolved and recognizes the whole system (Barrett, 2010).

If proactive strategies are not considered and executed, then effective leadership transition and succession may prove difficult, if not impossible, for that role (Brukardt et al., 2004). Fusch and Mrig (2011) stated that “in an increasingly competitive marketplace, how institutions capture and transfer knowledge, and identify and develop the next generation of leaders will be key determinants of their futures” (p. 3).

Succession planning is strategically significant to proactively prepare effective leadership in higher education (Amey & VanDerLinden, 2002; Appadurai, 2009; Davis, 2008; Fain, 2008; Leubsdorf, 2006; Marsh, 2008; Neeffe, 2009; Powers & Maghroori,

2006; Selingo, 2003) and is a strategy that institutions should not be ignored for the HECEP role. Investing in the development of internal employee talent is crucial (Fulmer & Conger, 2004), as institutions should be able to identify, select, and adequately prepare internal employees to assume the HECEP role, because there is no guarantee that an outsider will be found in good time and who will be a perfect fit for the institution (González, 2010; Hill, 2005). Developing a pipeline of leaders responsible for leading an institution's community engagement initiatives is important, as that pipeline can be a successful feeder for an institution's succession planning system (Fulmer & Conger, 2004), also referred to as *grow your own* leaders (Byham et al., 2002).

There is support in the current literature to suggest that higher education leadership is not aggressively developing leaders capable of ensuring leadership stability (Hill, 2005; Riccio, 2010), particularly in the HECEP role. Butterfield (2008) recommends that when preparing to fill positions, institutions should determine their options by evaluating and maintaining a balance between their internal and external hiring processes. With consideration for Title VII of the Civil Rights Act of 1964 as amended that regulates employers, appointing or hiring current employees into positions has been a lessened practice. Many institutions now have an Equal Employment Opportunity (EEO) office, or staff dedicated to oversee EEO compliance, in part, to ensure employers do not abuse hiring, selection, and internal promotion practices.

To the credit of employers, specifically HEIs, hiring externally may bring prestige, fresh ideas, cross-industry insights, and may help with ensuring a diverse workforce (as required by either the institution or the state's equal employment opportunity or affirmative action goals and statutes) (González, 2010; SHRM, 2008b).

However, with the HECEP role, this hiring process may not result in a HECEP with the institutional knowledge, or ability to influence institutional constituents and to effect change within the institution. Moreover, hiring externally can produce discontentment among current internal candidates and employees, leading to employee morale problems (Ezarik, 2008; González, 2010; Korkki, 2012; SHRM, 2008b). However, with financial challenges, as well as economic and political changes, there are innovative colleges and universities that are starting to consider deliberate and effective talent management as a cost effective means of transitioning or transferring power, authority, skills, and expertise (Clunies, 2007).

### **Talent Management**

Personality and organization theory (Argyris, 1957), Herzberg's two-factor theory of motivation (Herzberg, 1987), and the concept of achievement orientation (McClelland, 1961) are early management theories that provide a foundation for talent management theory (Langbert, 2010). Although talent management began to gain prominence in the early 2000s, there still appears to be a lack of clarity relative to the definition (Lewis & Heckman, 2006) as noted in the conceptual framework of this study. Talent management provides a deliberate approach to attract, select, develop, and retain highly productive and promotable people with the aptitude and abilities to meet current and future organizational needs (Byham, 2001; Chowanec & Newstrom, 1991; Heinen & O'Neill, 2004; Hilton, 2000; Olsen, 2000; Rothwell & Kazanas, 1994; Stockley, 2007).

The concept of talent management can be considered as an umbrella under which institutions can execute certain personnel related strategies. These strategies are viewed as a set of integrated practices (rather than individual processes) that encompass

identifying, recruiting, training, developing, retaining, and strategically deploying talent internally to fill positions (Butterfield, 2008; Collings & Mellahi, 2009; Lewis & Heckman, 2006). Fusch and Mrig (2011) profoundly stated: “In an increasingly competitive marketplace, how institutions capture and transfer knowledge, and identify and develop the next generation of leaders will be key determinants of their futures” (p. 3).

The CCEC designation affirms an institution has institutionalized community engagement in its identity, culture, and commitments; therefore, it is of extreme importance that each institution’s talent management system reflects the institution’s culture (Clunies, 2007; Driscoll, 2009). Thus, an institution’s talent management system must be made-to-fit or customized for each individual institution (Edwards, 2008). Although all elements of a talent management system are critical and must work together, however, for purposes of this study, only the strategies of succession planning and professional development as elements of leadership development will be addressed. These processes are critical elements of a talent management system as they are instrumental in funneling identified leaders through an institution’s leadership pipeline.

Developing a pipeline of leaders is an important component of a talent management system and can be a feeder to an institution’s succession planning system. Institutions should determine their options of filling the HECEP role by evaluating and maintaining a balance between their internal and external hiring processes (Butterfield, 2008). Institutions should be able to tap into an internal employee pool, and aggressively and adequately prepare internal employees to assume that role because there is no

guarantee that an outsider will be found in good time and be a perfect fit for the institution (Fusch & Mrig, 2011; Hill, 2005; González, 2010).

### **Leadership Development**

Leadership development is defined as the process of expanding an individual's capacity to determine direction, create alignment and commitment, influence a group, and direct it toward a specific goal or organization (Lockwood, 2006; McCauley, Van Velsor, & Ruderman, 2010). Leadership development entails the activities, processes, and techniques used to enhance individuals to be effective in their role; this includes opportunities for personal and professional growth through a variety of activities, including internal and external professional development opportunities, and other growth assignments (Groves, 2005). Leadership development is about broadening an individual's capacity to be effective in leadership roles and processes, and is not a stand-alone system or set of processes, it is generally a 12- to 36-month process of preparation, not pre-selection (SHRM, 2012). McCauley et al. (2010) posited that the foundation for the design of a leadership development initiative should be the organization's succession management program, which is a committed component of the organization's talent management system. The concept of leadership development requires commitment, resources, and planning (Morris, 2012). One way to approach leadership development is offering professional development opportunities.

**Leadership development in higher education.** Available literature on leadership development in higher education did not reveal any studies that specifically addressed the development of an institution's HECEP; however, there were studies and scholarly literature addressing leadership development in higher education in general.

Studies conducted to date reveal that while some HEIs may have programs and initiatives to enhance the work-life of employees (e.g., executive coaching, employee benefits programs, mentoring relationships, and wellness programs), it appears that there is a lack of general employee development programs; and where such programs exist, they tend to be offered at the presidential or board level (Buffone, 2009; González, 2010; Hull, 2005; Luzbetak, 2010; Mateso, 2010; Mercer, 2009; Neefe, 2009; Richards, 2009). In addition, the programs oftentimes lack sound formal and transparent structures (Hull, 2005; Mateso, 2010; Mercer, 2009).

Lynch (2007) notes that very few HEIs have any formal programs that support the development of current talent. Davis (2008) posited that “higher education needs to create a system that actively develops leadership skills much earlier in people’s careers than we do today” (p. 64). A systemized, comprehensive, well-executed set of processes, which touch each phase of the life cycle of employees, will help ensure the effective identification, development, and succession of personnel.

Several researchers posit that although HEIs in America are focused on educating, training, and developing their students and the corporate workforce to become future or better leaders, the irony is that it appears HEIs are not focused or concerned about opportunities to develop their own internal talent (Clunies, 2007; Coy, 2012; Lynch, 2007). This is evident from the elements captured in the mission and vision statements of institutions, which appear focused on and driven only by the student population and the external community, and not on the contributions of the institutions’ human capital talent, which is in place to support the institutions’ mission and vision. Marsh (2008) posits that it is necessary for colleges and universities to design and implement comprehensive talent

management systems, in order to ensure leadership stability, and avoid significant disruptions to the achievement of institutional goals during any leadership transition period.

Luna (2012) conducted a qualitative research study to determine the proactive leadership planning strategies HEIs were using for mid-to-high-level administrative positions in colleges and universities. The researcher utilized open-ended interview questions to collect necessary data and employed qualitative methods to analyze data using a grounded theory approach through a broad conceptual lens of theoretical frameworks related to succession planning in the business sector. Although the study findings could not be generalized to all HEIs due to several variables, including size, location, funding sources, governing bodies, and educational mission, the results revealed that the leadership development opportunities in academia were prevalent for mid-to-high-level administrative positions (Luna, 2012).

In a 2010 study of higher education managers from both public and private institutions, 176 administrators (senior- and mid-level managers) responded to a survey which focused on the identification and development of employees. The findings highlighted the extent to which higher education was unprepared to fill administrative positions with individuals who had been groomed to assume leadership roles. The most significant finding from the survey revealed that 48% of the respondents gave their institution a C, D, or an F grade in assessing the level of commitment they believed their institution had toward their (the participants) development as a leader. Respondents further revealed that support for participating in leadership development opportunities was dependent on the supervisor, revealing a lack of systematic and deliberate efforts

toward leadership development. Additionally, less than 20% of participating respondents expressed that their institutions offered formal coaching or mentoring relationships. Furthermore, only one-third acknowledged that their institutions had some form of in-house leadership development program (Fusch & Mrig, 2011).

In presenting the findings of a research study on leadership development being viewed as a strategic imperative for higher education, Hill (2005) shared her perspective on three challenges of leadership development in the higher education environment. The researcher maintained that, first, most institutions did not analyze their leadership supply and demand system; however, if that analysis was made, the institutions tended to underestimate the negative impact of poor leadership. Second, the researcher noted that leadership did not come naturally to academics as the identity of academia came from their professional expertise, which was research. Third, the researcher documented that hiring and promotions in academia were based on the amount and the level of research and had nothing to do with leadership potential. So, although from the title of the paper, one may have assumed that leadership development is imperative in higher education, the study only focused on faculty and their role in the classroom, with no reference to the administration outside of the classroom in higher education.

### **Succession Planning**

Rothwell (2010) defines succession planning as a deliberate and systematic effort to ensure leadership continuity, to develop and retain intellectual knowledge capital, and to encourage individual advancement. Succession planning is a focused process for keeping talent in the pipeline. Steele (2006) defines succession planning as filling vacant key positions within an organization by either promoting internally or hiring



externally. Cantor (2005) posited that, “succession planning cannot take place in a vacuum. It should also be an intensive, comprehensive initiative” (p. 1). Succession planning is an element of succession management, and succession management is one element of talent management.

**Succession planning in higher education.** Although it appears that studies and literature that call for succession planning for the HECEP role are non-existent, there is a wealth of information that addresses the need for succession planning, in general, in higher education. The results of the research studies on succession planning in higher education revealed that only a few institutions of had undertaken formal succession planning programs (Buffone, 2009; Heuer, 2003; Hull, 2005). These studies, however, had focused on the presidential and board levels or on the role of faculty serving within various academic departments (Buffone, 2009; Hull, 2005; Neefe, 2009; Richards, 2009) as opposed to other roles in the university setting.

During a Higher Learning Commission’s Annual Conference, Crain (2010) presented a white paper titled “What AQIP Institutions Say about Succession Planning,” which provided responses from 68 participating HEIs of the Academic Quality Improvement Program. The participants were responding to questions addressing their institution’s preservation of the mission, vision, values, commitment to high performance, and the implementation of leadership succession plans. The results indicated that leadership development should include succession planning as a critical component.

The implementation of succession planning in higher education can be complicated by numerous internal and external institutional factors, to include multiple

stakeholders, institutional traditions, leadership support, resources (human resource and financial resources), and a lack of commitment (Barden, 2009; Rosse & Levin, 2003). The concept appears to be difficult to apply to academia primarily because of the cultural influences and traditional practices, such as open hiring practices and shared governance. With strong involvement from institutional governing boards, boards of trustees, faculty groups, employee/faculty unions, the heightened focus and involvement of affirmative action laws, and the highly political nature of academia, higher education may continue to be challenged to successfully develop and execute succession planning programs (Barden, 2009; Clunies, 2007; González, 2010; Luna, 2012; Neefe, 2009; Richards, 2009). Institutional presidents and boards of trustees have been urged to become actively involved in their institution's leadership development planning (Clunies, 2007; Vaughan & Weisman, 2003). Failure to assume an active role in leadership development has the propensity to "shrink a critical responsibility of senior leaders" (Vaughan & Weisman, 2003, p. 60). Fusch and Mrig (2011) posited that in an increasingly competitive marketplace, the manner in which HEIs capture and transfer knowledge, and identify and develop the next generation of leaders may be key determinants of their futures.

In higher education, when an individual is selected and groomed for a particular position, the process is viewed as unfair and is considered a violation of the democratic philosophy upon which the higher education system operates (Barden, 2009; Clunies, 2007; González, 2010; Luna, 2012; Neefe, 2009; Richards, 2009). However, Barden (2009) indicated that for compelling reasons the time has come for succession planning in higher education. These compelling reasons include data from several reports of research conducted by the American Council on Education that reflects that the pipeline of

potential leaders in academia is drying up. In addition, the job and the job requirements of individuals in academic administration have fundamentally changed over the past few years, and new positions are being created to reflect the changing landscape of institutions.

Heuer (2003) conducted a qualitative study of human resource officers at seven Ivy-plus institutions (Columbia, Cornell, Harvard, Massachusetts Institute of Technology, Stanford, University of Chicago, and Yale). Heuer (2003) employed purposeful sampling based on the institutions having “similarly selective admissions and high endowments” (p. 2). The focus of the study was to identify similarities and differences in the impediments to succession planning, and the possible strategies that could be implemented to support succession planning in the participating institutions. The researcher utilized a review of institutional documents and interviews with one or more of the institutions’ chief human resource officers as data collection modes. The results of the study revealed that although it may have been easier to predict staffing needs in higher education, succession planning was not occurring at the participating institutions. However, there were various leadership development programs in place.

Hull (2005) conducted a random sample quantitative study that explored leadership development in American 2-year community colleges and on the perceptions of study participants, community college presidents, regarding the value and effectiveness of existing programs. The study results revealed that 86% of the respondents initiated leadership development programs within their respective institutions to address the need to prepare future leaders. The results further revealed that there was a lack of research on succession planning related to middle-level academic leaders. The

researcher recommended the implementation of formal succession planning in community colleges.

A multiple-case study conducted by Buffone (2009) examined how department chairs from a public research institution thought about leadership development in their departments. Three elements were derived from the study analysis: context, process, and person. The study described how these elements influenced the strategies that the department chairs used to enhance leadership capacity in their departments. The study revealed that although succession planning did not occur in academia, as it did in the corporate world, participating department chairs were being deliberate about preparing and cultivating potential leaders who had the necessary knowledge, skills, and abilities and can easily assume the role as chair in the event of a leadership transition.

A research study which examined the relationship between the organizational characteristics of strategic and succession planning on the career management of academic leaders was conducted in 2009 by Neefe. The study employed a mixed-methods approach of interviews, surveys, and document reviews to explore leadership development in higher education. One of the results of the study indicated that although some institutions were attempting to identify future leaders, these institutions did not have a systematic process for identifying potential future leaders. The research study conducted by Richards (2009) explored governance models, organizational culture, and approaches used by some HEIs to identify, develop, and assess candidates for leadership positions as they related to an institution's engagement in succession planning. However, the participants in the study were presidents or executives of HEIs. The study revealed that although there was a large amount of literature addressing the career development

and leadership transition of higher education's faculty community, there was little research exploring career development as a system or the succession planning process in general in the higher education administrative arena.

Higher education professionals, professional societies and organizations, and researchers have called upon HEIs to undertake succession planning strategies. However, many of these individuals and organizations have also acknowledged and identified potential barriers to succession planning in higher education (Barden, 2009; Leubsdorf, 2006). Witt/Kieffer (2008) conducted a survey of higher education presidents and board members in an effort to determine existing or potential barriers to succession planning, as well as to identify related best practices in higher education.

Concerning the practice of succession planning, 74% of the respondents reported that their institutions practiced some form of succession planning. However, among institutions where succession planning was found to exist, the focus was primarily on turnover at the board member or board leadership level, followed by turnover at the senior administrative and president-chancellor level. The potential barriers identified in this study included balancing succession planning with the institution's commitment to diversity, shared governance, lack of trust and lack of accountability in the succession planning processes, and the current higher education culture. Notwithstanding what has been noted in the studies above, additional barriers to succession planning in higher education include a lack of administrative infrastructure to support the processes involved in succession planning. In addition, the higher education culture does not appear to value the contributions of administrative personnel, and academia does not appear to provide

clear career tracks, specifically, opportunities for faculty to “learn the practical aspects of the job” in order to assume administrative roles (Aversa, 2005, p. 88).

At the 2009 AGB Conference, discussions about the need for succession planning in HEIs arose. It was suggested that every institution in the country should consider developing and implementing a succession planning program sooner than later. In 2008, at the same conference, only three people participated in a roundtable on the topic of succession planning compared to 50 participants at the 2009 conference (Barden, 2009). In higher education, succession planning does not mean the selection and announcement of a successor in advance of a current employee’s departure. Rather, succession planning in higher education means that the institution carefully considered the abilities of one or more staff members who could be possible candidates for a specific leadership role within the institution. In addition, the expectation is that mentoring and leadership development opportunities have been provided to those who demonstrate the potential to assume leadership roles (ABG, 2012).

**Succession planning for the HECEP role.** Despite the growing need to ensure successful attainment of the CCEC, there does not appear to be a pipeline of individuals prepared to lead community engagement initiatives in HEIs. Leadership development and succession planning are strategically significant to proactively preparing effective leadership in higher education (Davis, 2008; Fain, 2008; Leubsdorf, 2006; Marsh, 2008; Neeffe, 2009; Powers & Maghroori, 2006; Selingo, 2003) as is needed for the HECEP role.

## **Professional Development**

The National Professional Development Council defined professional development as a collaborative learning process that nourishes the growth of individuals and teams through daily job-embedded, learner-centered, focused approaches (DuFour, Eaker, & DuFour, 2006; Speck & Knipe, 2005). Professional development is also presented as continuous, purposeful, and intentional processes designed to bring about change and improvement by acquiring new knowledge and skills that relate to one's profession, job responsibilities, or work environment. These processes or activities are either; formal, informal, or non-formal learning or training that assists in the expansion of leadership skills and styles (Guskey, 2000).

One crucial way to fill leadership roles in an organization is to cultivate the knowledge and skills of current employees. As a leadership development strategy, professional development opportunities for leaders or potential leaders encompasses all types of facilitated learning opportunities, such as attendance at workshops, seminars, training programs, college degree, non-degree programs or coursework, mentoring, coaching, 360-degree feedback, strategic job assignments, and job rotation (Chappelow, 2004; Marsick, 2002; Ohlott, 2004, Ting & Hart, 2004). Such opportunities play a key role in maintaining trained, informed, and motivated employees and enhance their knowledge, skills, abilities, and experiences, thereby preparing employees to take on positions of greater visibility and influence in their institutions (Speck & Knipe, 2005).

Guskey (2000) posited that professional development processes should be intentional, should be ongoing, and should be systemic (i.e., integrated and related to the system where the professional practice takes place). Professional development programs

may extend beyond the traditional workshops to include informal and formal learning opportunities such as mentoring, coaching, action research projects, seminars, and job shadowing (Guskey, 2000). Institutions must find innovative approaches and experiences to develop their employees who have the potential to assume leadership roles. Professional development in educational settings is described as collaborative learning activities that systematically nourish adult learners and are embedded in employees' job processes (Speck & Knipe, 2005). Although it is important to select intelligent, creative, and forward thinkers to assume leadership roles, it is also necessary to recognize the importance of developing internal high potential employees. Hill (2005) posits that organizations renowned for quality leadership have moved from "selection of the fittest" to "development of the fittest" approaches (p. 29).

Formal training and learning are characterized as activities that occur within a structured or organized setting, normally guided by established goals or recognized credentials (Canadian Council on Learning, 2007; Cofer, 2000; Foley, 2004; Merriam & Caffarella, 1991). These activities may include classroom-led instruction and/or computer-based training which leads to a degree or certificate. Formal learning and training are normally geared toward enabling leaders to deal with a variety of situations that help to determine direction, create alignment and commitment, and increase ability to influence groups and direct them toward a specific goal or organization (Day, 2000; Lockwood, 2006; McCauley et al., 2010; Morris, 2012).

Informal learning for professional development has been defined by learning by association and affiliation (Swartz & Bryan, 1998). Further, informal learning and training are considered to be casual and incidental, loosely structured, self-paced, and



self-directed activities by which people learn outside the realms of formal education and training (Cross, 2007). With informal learning processes, learners set their learning goals and objectives, suggesting greater flexibility or freedom for learners (Cofer, 2000; Conlon, 2004; Eraut, 2000; Foley, 2004). Non-formal learning or training happens either in formal or loosely organized settings but does not lead to formal credits, certificates, or degrees. Non-formal learning may be provided through activities offered by professional associations, organizations, or groups, or as continuing education opportunities (Eraut, 2000; Hanley, 2008). Cantor (2005) contended that the process of providing development opportunities for any organization's employees can lead to a strengthened and more secure institution by increasing employee retention, improving employee morale and job satisfaction, and cultivating a sense of trust and commitment. Additionally, the pay-off to companies for developing their employees is the cultivation of a sense of trust and commitment, as well as evident improvement in employee morale and job satisfaction.

Developing a strong succession planning program and investing in internal or external professional development opportunities through a combination of programs and experiences, HEIs can empower current employees to develop professionally. By providing such opportunities, HEIs create avenues for employees to acquire or develop the necessary knowledge, skills, abilities, and experiences, and further create and contribute to a pipeline of prepared individuals who may be able to assume other positions which they are prepared for, if the need arises (Conger & Fulmer, 2003).

Cantor (2005) contended that by providing development opportunities for employees, organizational leaders may realize a strengthened more secure organization

with increased employee retention, improved employee morale and job satisfaction, and a cultivated sense of trust and commitment. Fusch and Mrig (2011) posited that if HEIs do not invest in developing employees, institutions will not be adequately prepared to survive and sustain their mission. These researchers encourage institutions to provide meaningful, intentional, and deliberate development opportunities for employees. If institutions do not have internally prepared successors who can easily be deployed, the option may be to hire externally. However, even with normal advance notification, hiring externally can prove to be costly, time-consuming, and can impede the ability to capture and to transfer institutional knowledge (Fusch & Mrig, 2011).

**Professional development for the HECEP role.** Although the concept of community engagement is not new to the higher education environment, as it relates to the CCEC designation, it is still a developing concept. Further, the HECEP role is also relatively new to HEIs. As community engagement, relative to the CCEC continues to evolve in higher education, maintaining and preserving the tacit and explicit aspects of institutional knowledge becomes paramount for institutions. Explicit knowledge is specific to processes, and is normally thought to be acquired by attendance at workshops and training sessions. This form of knowledge is easy to document, and therefore can easily be shared with others in any format (Aiman-Smith, Bergey, Cantwell, & Doran, 2006). Tacit knowledge is believed to emerge from one's experiences, making it personal and relative to an individual, and therefore more difficult to record or explain (Calo, 2008; Jackson, 2010). In fact, even if given the opportunity and ability to document tacit knowledge, an individual may not realize the full scope of the tacit

knowledge they possess, or how one piece contributes to another (Aiman-Smith et al., 2006; Jackson, 2010).

The growing significance of the HECEP role necessitates the need to ensure that institutional systems and processes are in place to support and sustain the current and future activities required by the role. When key institutional knowledge is lost, it can be difficult or impossible to replace, and time and resources previously devoted in developing and acquiring that knowledge, specifically in the community engagement unit, can be reduced or completely lost if internal proactive systems and processes to retain or record institutional knowledge have not been activated or are nonexistent (Pena, 2013). The loss of institutional knowledge, or institutional history is costly, in terms of time spent recreating or reinventing processes, which can also affect productivity and efficiency (Pena, 2013). By ensuring proactive systems are in place to capture best practice institutional processes and knowledge, HEIs can avoid the expense and time of recreating the knowledge wheel.

Pena (2013) suggested that institutions exercise a workforce assessment, which includes identifying and documenting critical knowledge held by existing employees, and further offer specialized training, document processes, provide job sharing, formulate work-place learning communities. The learning communities should include new faculty and staff, as well those that have been with the institution for long periods, as a way to address the risk of losing knowledge because of other employees leaving an institution. The concept of creating diverse institutional committees allows for the flow of information that can be captured by newer staff members. Further, these diverse institutional committees help to ensure institutional knowledge, personal stories,

institutional heroes, and memories of significant events, and processes are retained within the talent of the institution (Bolman & Deal, 2008; Patton, 2013). The results of such diverse committees may also help to explain symbolism within the institution allowing employees to develop respect for the institution's culture (Bolman & Deal, 2008). Peet (2012) posits that succession planning can be a useful tool in managing the transfer of institutional knowledge, and may also help to generate new knowledge.

Literature, in terms of research studies about the HECEP role and relative to succession planning and professional development for the role (Clyburn et al., 2011; Driscoll, 2009) appear to be non-existent. However, there is literature that addresses qualifications for individuals responsible for facilitating community engagement initiatives in HEIs. Driscoll (2009) and Zuiches et al. (2008), acknowledged that a HECEP needs to be equipped with the knowledge, the skills, the expertise, the resources, and the ability to assess and to evaluate institutional practices and policies that guide community engagement initiatives. In addition, being able to articulate the institution's mission and vision, and understanding necessary change management processes are important, but the HECEP must have the ability to motivate key stakeholders, to promote collaboration and team effort, to understand and to be willing to distribute leadership, and clearly communicate the institution's commitment to educational development (Hudson, Craig, & Hudson, 2007).

### **The Carnegie Classification of Institutions of Higher Education**

Often asserted in the higher education environment is the long standing reputation of the Carnegie Foundation, as a leader in education research and in efforts to shape the education enterprise (Douglass, 2005; Driscoll, 2009; Jaschik, 2008). The Carnegie

Foundation, established in 1905 as an independent research and policy center, played an important role in shaping education in the U.S. by helping to create a national system of secondary, collegiate, graduate, and professional education (Driscoll, 2009). Throughout its history, the Carnegie Foundation has had several prominent accomplishments, which have created visibility and value of the Carnegie Foundation. The achievement most relevant to this study is the national effort lead to guide research in higher education that resulted in the establishment of the Carnegie Commission in 1967. The Carnegie Commission was given the charge to define the role of higher education in society by focusing on the needs and contributions of HEIs to society (Carnegie Foundation, 2012d; Douglass, 2005; Driscoll, 2009; McCormick, 2000).

In the early 1970s, the Carnegie Commission, with support of the Carnegie Foundation, established the Carnegie Classification of Higher Education Institutions (Carnegie Classification). The original intent of the Carnegie Commission was to have the Carnegie Classification used as a descriptive tool to define the makeup of HEIs. This would be accomplished by focusing on institutional characteristics, thereby enabling researchers to make comparisons and contrasts between and among similar and different institutions of higher education. Furthermore, the Carnegie Classification was to support higher education research studies in the U.S. (Carnegie Foundation, 2012c; Douglass, 2005; McCormick, 2000; McCormick & Zhao, 2005; Shulman, 2001; Zhao, 2011).

As research by HEIs became more complicated, a more comprehensive and sophisticated classification structure with the ability to identify unique and meaningful groupings of colleges and universities and allow researchers to perform more in-depth study analysis was required (Zhao, 2011). Therefore, the Carnegie Commission designed

and developed a new classification structure, which used empirical data to group institutions that were identical in respect to institutional functions and characteristics of students and faculty (Carnegie Foundation, 2012d; McCormick, 2000; McCormick & Zhao, 2005). Shulman (2001) noted, that the new Carnegie Classification system established categories of colleges and universities that were “homogeneous with respect to the functions of the institutions and characteristics of students and faculty members” (p. vii). Today, the Carnegie Classification is used to recognize, describe, and to organize HEIs according to their mission and in the design of research studies to ensure adequate representation of sampled institutions, students, or faculty and staff (Carnegie Foundation, 2012c; McCormick & Zhao, 2005; Shulman, 2001; Zhao, 2011).

The Carnegie Commission published the first listing of its classification of colleges and universities in 1973. That initial listing was well received in the higher education arena, and it continues to receive wide acceptance because of the Carnegie Commission is a respected authority and trusted source in higher education research and policy studies (Zhao, 2011). In addition, the credibility of the data used to determine the appropriate classification, the public recognition, and the visibility of the Carnegie Commission contribute to the acceptance of the Carnegie Classification (Douglass, 2005; Driscoll, 2009; McCormick & Zhao, 2005; Olson, 2011).

Unfortunately, the Carnegie Classification is also criticized as it has not always been used for the intended purpose and has moved from a way to describe American higher education to a pyramid or ranking system (Brewer, Gates, & Goldman, 2001; Jaschik, 2008; Shulman, 2001; Thelin, 2004). This is evidenced by the tendency of some institutions identifying themselves based on how they are categorized in the Carnegie

Classification listings (Jaschik, 2008; Olson, 2011; Shulman, 2001). There have been cited reports of schools that set about changing their Carnegie Classification as a goal, a process sometimes referred to as “moving up the Carnegie Classifications” (Carnegie Foundation, 2000; McCormick, 2000). Even industry organizations contributed to this misuse. *U. S. News and World Report*, recognized as a leader for its ranking system and annual reports on American colleges, graduate schools, and hospitals, uses the classification to organize its influential college rankings (McCormick, 2007). The idea that the Carnegie Classification is used as a ranking system is a source of discomfort for the Carnegie Foundation as it is seen as an inappropriate use, and this is what propelled the changes to the classifications (McCormick & Zhao, 2005).

As the nature of higher education changes, so do institutions. Therefore, since its first publication in 1973, the Carnegie Classification was updated in the following years, 1976, 1987, 1994, 2000, 2005, and 2010, to reflect changes in the higher education environment. Over the history of the Carnegie Classification, new institutions have been established, some of the initial participating institutions no longer exist, or others have evolved into different types of institutions (Carnegie Foundation, 2012c; McCormick & Zhao, 2005; Zhao, 2011). When the Carnegie Classification was revamped in 2005, a multiple classification approach was introduced. This multiple classification approach was launched to help mitigate the effects of the Carnegie Classification system being used as a ranking system. The multiple classification approach further helped with accounting for the increasing complex and diverse nature of higher education, as it became impossible to encompass all of the important elements of institutional diversity in a single framework (Carnegie Foundation, 2012b; Zhao, 2011).

**Carnegie community engagement classification.** The 2005 publication of the Carnegie Classification listing introduced the CCEC as an elective or voluntary classification and as an opportunity for HEIs to embrace and affirm their civic responsibilities to promote inclusivity (Driscoll, 2009). This elective classification allows institutions to select whether or not to participate in the assessment to earn the CCEC designation and be listed in the Carnegie Classification as an “engaged institution.” To earn this designation, institutions are required to demonstrate and document the existence of deliberate activities geared toward community engagement, and additionally to demonstrate that such activities are embedded in the institution’s identity and culture (Zuiches et al., 2008). Institutions must apply and provide extensive documented evidence of community engagement initiatives and practices that benefit both the institution and the community.

The CCEC designation requires supporting documentation from institutions which help to uphold the range of diversity among HEIs, and further reaffirms an institution’s commitment to deepen community service and to strengthen bonds with community partners (Carnegie Foundation, 2012d; Driscoll, 2008, 2009; McCormick, 2006). The rationale for the CCEC is to expand the existing categories of HEIs in addition to commending the contributions and achievements institutions make toward improving their communities.

The Carnegie Foundation defines community engagement as “the collaboration between institutions of higher education and their larger communities (e.g., local, regional/state, national, global) for the mutually beneficial exchange of knowledge and



resources in a context of partnership and reciprocity” (Carnegie Foundation, 2012a, para.

4). Community Engagement means:

applying institutional resources (e.g., knowledge and expertise of students, faculty and staff, political position, buildings and land) to address and solve challenges facing communities through collaboration with these communities. The methods for community engagement of academic institutions include community service, service-learning, community-based participatory research, training and technical assistance, capacity-building and economic development. (Gelmon, Seifer, Kauper-Brown, & Mikkelsen, 2005, p. 1)

During the 2006 and the 2008 assessment periods, institutions earned the classification based on three distinct categories, namely: (a) curricular engagement; (b) outreach and partnerships; and (c) curricular engagement and outreach and partnerships, enabling a total of 196 to be successfully classified as engaged institutions. However, in 2010, the three categories were reduced and all applications for the community engagement classification had to successfully meet the criteria for curricular engagement and for outreach and partnerships. By the end of the 2010 assessment period, an additional 115 institutions were successfully classified under the CCEC (Carnegie Foundation, 2012a; Driscoll, 2008, 2009; Jaschik, 2008).

HEIs are called upon to work in collaboration with communities to help solve societal problems and to contribute to the economic and social advancement of the community (Boyte & Kari, 2000). Institutions have embraced the importance of community engagement not only as a tool for student development but also as a

responsibility of the institution to address societal needs and problems (Smerek, Pasque, Mallory, & Holland, 2005). While addressing the nation's most pressing social needs, the President of the United States, Barack Obama, strongly placed a high priority on supporting the role Higher Education plays by the deliberate involvement in communities. To this end, the President's Higher Education Community Service Honor Roll was formed as a national program. This program recognizes HEIs that reflect and promote the values of community service and accomplish significant, measurable civic outcomes in the communities they serve. In 2012, five HEIs were awarded the President's Higher Education Community Service Honor Roll, which is the highest federal recognition that can be bestowed on an institution that demonstrates its commitment to community service (Warfield, 2012).

The CCEC designation is awarded to HEIs that are able to demonstrate "the practices of community engagement have been developed to the extent that they are aligned with the institutional identity and an integral component of the institutional culture" (Driscoll, 2009, p. 5). To assess the commitment level of HEIs that elect to participate in the CCEC assessment processes, the Carnegie Foundation developed a documentation framework. To successfully earn the CCEC designation, participating institutions need to document and demonstrate that their institution has institutionalized community engagement practices and that those practices are aligned with the institution's mission, culture, and leadership (Clyburn et al., 2011). The Carnegie Classification Documentation Framework (CCDF) is a reference that provides guidance in responding to the application questions and helps to identify the type of information participating institutions need to provide in support of their responses to the application

questions. The CCEC has two main elements, i.e., foundational indicators and categories of community engagement. In terms of the foundational indicators, participating institutions are expected demonstrate the institution's commitment to community engagement, by establishing how community engagement has been institutionalized through institutional identity and culture. As it relates to the second element, categories of engagement, institutions are to identify and provide data, descriptions, and examples of the focus of their community engagement in terms of curricula engagement, outreach, and partnership (Sandmann, Thornton, & Jaeger, 2009).

The value of this designation is further evidenced by the increasing number of institutions that applied and received the designation since it was established in 2005; many of which again received the designation in 2008 and 2010. Institutions that have gone through the review process expressed that they are better able to recognize and appreciate the role of Community Engagement within their campuses and incite pride in these efforts (Jaschik, 2008). This is substantiated both in the popular and peer-reviewed literature as evidenced by HEIs strategically marketing being classified as an engaged institution and their deliberate commitment to engaging their communities. Although many institutions may already be viewed or perceived as prestigious among peer institutions for quality research or grant funding efforts, many of these same institutions may choose to participate in the assessment for the CCEC designation, as they strive to achieve a more holistic institutional description (Driscoll, 2009), and to demonstrate their level of commitment to the community.

## **Chapter Summary**

Research on succession planning in higher education remains scant. The studies that have been conducted thus far tend to focus on executive and academic leadership, or more broadly leadership development. This chapter provided a comprehensive review of the available literature and research that have been conducted on leadership development and succession planning in higher education, as well as the methodologies employed. Further, the review of available literature concerning the CCEC placed emphasis on ensuring the right individual is in the HECEP role. Additionally, the chapter provides some insight into some necessary requirements for leading an institution's community engagement initiatives. The next chapter describes the research design methods and procedures used to conduct the study as well as the sample, data collection, data analysis techniques, and steps taken to ensure the validity and reliability of the instruments used in the study.

### **III. METHODOLOGY**

#### **Research Design**

An exploratory qualitative multiple-case study design was used to explore the extent to which HEIs employ succession planning for the newly established HECEP role; to discover if and what professional development opportunities institutions were providing for the HECEP role; and to determine what qualifications are required for the HECEP role in terms of knowledge, skills, abilities, professional experiences, and education level, as perceived by study participants. Gathering information directly from current HECEPs and professional development program representatives allowed for the collection of valuable contextual and multi-perspective information.

The exploratory approach was used (Creswell, 2008) because although succession planning has been widely studied in corporations, little research has been conducted on succession planning in higher education. Further, it appears that research on succession planning for the HECEP role, and specifically as it relates to the CCEC, is non-existent. Considering the value placed on earning the CCEC designation by the Carnegie Foundation as well as HEIs, it makes sense for institutions to place a priority on ensuring that the right individual is selected to serve in the HECEP role. Ensuring that there is a pipeline of individuals who have been groomed for the HECEP role is a forward-thinking strategy.

Another rationale for using a case-study design approach is that it enables participants to relax and tell their stories (Crabtree & Miller, 1999). Storytelling is a

commonly accepted method for purposes of data collection when conducting qualitative research. This study design allowed participants to be descriptive in sharing their views of their reality. Further, qualitative research allows the researcher to better capture and understand the participants' role in relationship to the research topic (Lather, 1992; Robottom & Hart, 1993).

As Creswell (2008) notes, case studies are used to explore one or more individuals, programs, events, processes, institutions, or organizations. Using a qualitative multiple-case approach provided more substantial evidence than a single-case would, thereby adding confidence to the findings of this study (Miles, Huberman, & Saldaña, 2013; Yin, 2008). Additionally, the multiple-case study approach allowed the researcher to determine in what ways the cases were both similar as well as dissimilar. By using this approach, the researcher was able to identify commonalities within the cases, as well as across the cases, recognizing multiple instances of a theme or idea, which helped to determine that the results in the cases selected are similar enough to be treated as instances of the same thing.

Since case studies rely on multiple sources of evidence (Yin, 2008), the researcher also used a researcher-developed survey, an interview protocol, and document review as research tools. The use of these selected data collection methods helped the researcher in answering the primary and secondary research questions.

### **Sampling Plan**

The study employed a purposive convenience sampling method to select study sites and study participants. Purposive sampling is frequently used in qualitative research (Glaser & Strauss, 1967; Morse, 1991) as this form of sample selection allows the

researcher to choose participants who are able to contribute information that is both rich and suitable for the research (Babbie, 1990). The study sample consisted of five HEIs located in the Southeast region of the U.S. and successfully earned the CCEC during the 2010 assessment (Carnegie Foundation, 2012d). In addition, two professional development centers, one located in the state of Virginia, and the other located in the Northeast region of the U.S., were invited to participate in this study. Both professional development centers offer professional development opportunities for higher educational leaders and specifically to HECEPs.

**Site selection.** Of the five HEIs selected to participate in the study, only four actually participated; reasoning for which will be discussed in more detail in the data collection section of this chapter. The four HEIs that served as sample sites for purposes of this study, all successfully earned the CCEC designation during the 2010 classification cycle (Carnegie Foundation, 2012d). In addition, selection of the sample institutions was based on convenience in terms of geographic location and proximity to the researcher's domicile and work, allowing for greater ease in terms of scheduling interviews.

In addition to the institutional sites, two professional development sites were invited to participate in this study. These professional development sites were invited to participate in this study because they are known for facilitating professional development programs for institutional leaders, and specifically in terms of the HECEP role, with regard to the development of necessary competencies needed for leading an institution's community engagement unit and related initiatives. These two professional development sites are designed to help participants become more effective as they navigate their institution through various innovative strategies and change processes related to

institutional assessments for the CCEC designation. Although numerous centers and associations throughout the U.S. provide professional development opportunities focused on the CCEC designation for higher education professionals, these two centers were invited to participate in this study because they are closely affiliated with the Carnegie Foundation. However, only one site completely participated in the study; reasoning for which, again, will be addressed in more detail in the data collection section.

**Participant selection.** The study employed a purposive non-probability or non-random convenience sampling method to determine study participants (Babbie, 1990; Creswell, 2008; Fink, 1995; Frey et al., 2000; Glaser & Strauss, 1967; Henry, 1990; MacNealy, 1998; Morse, 1991). Purposive sampling is frequently used in qualitative research as this form of sample selection allows the researcher to choose participants who are able to contribute information that is both rich and suitable for the research (Babbie, 1990; Glaser & Strauss, 1967; Morse, 1991). Henry (1990) notes that in non-probability sampling, subjective judgments play a specific role, and therefore, researchers must be careful not to generalize results based on non-probability sampling to the general population. Selection in non-random sampling is based primarily on the judgment of the researcher and on a particular characteristic of the population (Frey et al., 2000; MacNealy, 1998).

**Higher education community engagement practitioner.** The researcher identified each HECEP via their respective institution's website. This was based on the assumption that, because of their role, each HECEP possessed expert knowledge regarding their institution's community engagement initiatives, and are accountable for facilitating their institution's assessment processes during the CCEC assessment period.



**Professional development center representative.** The researcher identified the PDPR through a referral from the center's former director. The PDPR was selected because in this role the representative possesses the expert knowledge regarding the CCEC designation and institutional requirements to earn the CCEC. In addition, the PDPR also holds the responsibility for designing, developing, and coordinating professional development programs focused on the CCEC. The PDPR is also equipped with the internal knowledge of the management and facilitation of the professional development programs offered, program curriculum and has oversight of the programs offered.

### **Data Collection**

Data collection for this multi-case study was in two phases. Phase I was a pilot study; phase II was the study of succession planning and professional development for the HECEP role in selected HEIs. The following tools were used as qualitative data collection techniques. The document review included visiting selected institutional and professional development program websites to identify relevant professional development programs available to individuals in the HECEP or and/or for members of institutional engagement units. In addition, the researcher accessed the websites of the participating institutions to review the organizational charts to determine the reporting structure for the HECEP role (Marshall & Rossman, 2006; Yin, 2003). The researcher-developed web-supported surveys (see Appendixes D and E) and the semi-structured interview protocols (See Appendixes F and G) were also used as data collection tools.

## Procedures

**Pilot study.** The purpose of the pilot study was to: (1) test the data collection instruments (researcher developed open-ended surveys and semi-structured interview protocols); and (2) gain experience in the use of the Qualtrics Research Suite (Qualtrics) (Qualtrics Labs, Inc., 2013) as a tool to disseminate survey questions and collect qualitative data. Based on results of the pilot test, the researcher refined the study's instrumentation, eliminating some questions and adding others (Baker, 1994; Tashakkori & Teddlie, 1998). Themes emerging from the data obtained from the pilot study were used as a basis for themes developed and used during the actual research study to further code and categorize the data into subgroups (see Table 2).

Table 2

### *Pilot Study Data Categories*

---

| Pilot Student Data Categories                                   |
|---|
| Participant demographics  |
| Site (Institution/ Professional Development Center) Information |
| Talent Management   |
| Succession Planning   |
| Professional Development  |
| HECEP Requisite Qualification                                   |
| HECEP Knowledge Of CCEC Documentation                           |
| Professional Development Program information                    |

---

Upon completion of the pilot study, and once approval was obtained from Florida Atlantic University's (FAU) Institutional Review Board (IRB), research began for purposes of this study to examine succession planning and professional development for

HECEPs in the selected HEIs. This second phase of the data collection process began with the researcher's initiated communication with the selected study participants, via email, requesting their participation in the study (see Appendixes A and B). In order for study participants to complete these two researcher developed surveys, each was required to read and electronically sign an Adult Consent Form prior to accessing the electronic survey (see Appendix C) as per the study's IRB approval. The study survey process was followed-up by the researcher with an interview protocol.

**Study of succession planning for the HECEP role.**

*Review of documents.* The first source of data collection was the review of relevant documents obtained from the HEIs and the professional development program represented by study participants. The choice of selected documentation was guided by the researcher's experience in higher education, specifically in the field of human resources. Upon study participant's consent to participate in the study, the researcher requested that each participating HEI provide specific documents pertaining to the HECEP role (e.g., organizational charts, professional development program materials, HECEP position descriptions, and institutions' definition of position description). In addition, the researcher conducted a review of each participating institution's website to obtain institutional information to support the study. The researcher was able to access information, reflecting how each participating institution defines position description. Organization charts were provided by the participating institutions, which helped to identify the reporting structure for the HECEP and the engagement unit. The researcher was not provided, nor able to locate program material for professional development

programs relative to HECEPs; also, the researcher was not provided position descriptions for the participating HECEPs.

The researcher requested and received program material from the participating professional development program. The material received outlined the programs that are offered as professional development opportunities for individuals in a HECEP role, or to higher education leaders who impact HEIs engagement units.

*Electronic surveys.* The second source of data collection consisted of two researcher developed surveys (see Appendixes D and E) that were developed for purposes of this study. Using Qualtrics software to distribute the two researcher developed electronic surveys and to collect survey data, the researcher transmitted the electronic surveys to the study participants by way of an email containing a uniform resource locator (URL) link to the Qualtrics data source. This data source was password-protected, which allowed participation by invitation only. This collaborative software technology enabled the researcher and study participants to seamlessly work through the data collection process (Jones & Kochtanek, 2004) in a timely fashion (Evans & Mathur, 2005), and allowed the researcher to monitor all responses as they were submitted. Study participants were able to respond to the study survey at times that were most convenient for them, and allowing as much time as needed to respond.

*Survey 1: HECEP survey administration.* Based on *a priori* criterion, the researcher invited HECEPs from five institutions to participate in the study. Four of the five HECEPs agreed to participate in the study. Using Qualtrics, the researcher-developed HECEP Survey (see Appendix D) was electronically transmitted to the HECEPs who agreed to participate in the study. Part 1 of the two-part surveys consisted

of eight demographic questions pertaining to the HECEPs, while Part 2 of the two-part HECEP survey consisted of 29 open-ended questions related to the HEI and the HECEP role.

*Survey 2: PDCR survey administration.* Part 1 of this two-part survey consisted of eight demographic questions pertaining to the PDCR. Part 2 of the two-part survey consisted of 16 open-ended questions. Using Qualtrics, the researcher-developed the PDCR Survey (see Appendix E) that was electronically transmitted to the two identified PDCRs of the two identified national centers with professional development programs offered to enhance and support community engagement initiatives undertaken by HEIs. However, only one PDCR followed through in terms of their agreed upon participation in this research study.

Thus, future reference to the study participants will include four HEIs each represented by a HECEP, and one professional development program, represented by a Professional Development Program Representative (PDPR).

*Interview protocols.* This third method of data collection, for purposes of this study, consisted of two semi-structured in-depth interview protocols (see Appendixes F and G). These two protocols focused on obtaining responses to help answer the primary and secondary research questions.

*HECEP interview protocol.* The HECEP interview protocol (see Appendix F) consisted of 21 semi-structured, in-depth qualitative interview questions. Fifteen of these questions focused on the HECEP role, and encompassed questions addressing talent management, succession planning, and professional development opportunities and

strategies related to the HECEP role. The remaining six interview questions focused the Carnegie Community Engagement Classification Documentation Framework.

*PDPR interview protocol.* The PDPR interview protocol (see Appendix G) consisted of 11 semi-structured, in-depth, open-ended qualitative interview questions. Of the 11 questions, six questions focused on the programs offered by the center, and five questions focused on requisite qualifications of a HECEP.

***Participant recruitment and interview procedures.*** As the researcher received study participant's survey responses, the researcher simultaneously contacted each study participant via email requesting a date and time for a follow-up interview. While it was the intent and preference of the researcher to conduct each planned interview face-to-face, as this format has the tendency to allow for more in-depth questioning (Neuman, 2006), due to schedule conflicts and workload challenges of study participants the researcher was able to conduct only two of the five planned in-person interviews.

Patton (2002) points out that there are advantages to face-to-face interviews in that the format allows the researcher to observe participants, making note of any non-verbal messages, and thus, enhancing the overall data collection experience. The two face-to-face interviews were conducted in the work location of the two HECEPs, and both interviews lasted approximately one hour and a half in length. Interviews with the remaining three participants were conducted as telephone interviews. Skype, an internet-based software program that enables participation via videoconference, using computers and webcams (Garfinkel, 2005), was considered and was suggested to the participants. Each of the three participants, however, indicated a preference for the use of the telephone in terms of convenience and accessibility. The three telephone interviews were

held and lasted approximately two hours. During the telephone interviews, the researcher was careful to document all participant responses in writing, including responses to prompts.

Prior to beginning both of the face-to-face and telephone interviews, the researcher obtained permission from each participant to use a digital audio recorder during the interview process. A digital audio recorder was used in conjunction with hand written notes to ensure accurate reporting of interview responses and complete and precise documentation during the transcription phase. The researcher assumed the role of a reporter and kept the interviews focused while maintaining a conversational tone and avoiding awkward pauses between questions. In order to avoid missing any responses, the researcher intermittently verified that the digital audio recorder was working throughout each interview conducted.

The researcher maintained field notes, including documenting relevant observations made during the interview process. The researcher also obtained feedback from the study participants to determine the accuracy of the identified categories and themes. In addition, during the interview with the PDPR, the researcher was informed of recent changes relating to the structure of the professional development programs. It was at that time that the PDPR explained that the professional development program that focused on the HECEP relative to the CCEC designation were no longer housed within the center, and that the programs and program faculty were instead now housed within the institution's continuing education department as opposed to a stand-alone center. As such, for the remainder of this study, the Professional Development Center Representative is referred to as the Professional Development Program Representative

(PDPR). Finally, at the conclusion of each interview, the researcher debriefed with each participant to ensure that an initial understanding of the data that had been gathered during the interview.

***Member checking.*** Upon completing the transcription of the interview transcripts of the study participants, and to enhance trustworthiness of the interview data, member-checking was initiated. The researcher shared the interview transcripts with study participants for their review. However, only four participants responded to the request to review and approve the interview transcript. The intent of member-checking was to afford participants the opportunity to review their interview transcription and make any corrections (Merriam, 1998).

### **Data Analysis**

In order to ensure confidentiality, the researcher developed a chart, and assigned each study participant a pseudonym. The pseudonyms replaced the names of participating study sites and study participants. Participating institutions were assigned the following pseudonyms: Univ. 1, Univ. 2, Univ. 3, and Univ. 4; the professional development program was assigned the pseudonym, PDP. The study participants were then also assigned the following pseudonyms respectively: Univ. 1-HECEP, Univ. 2-HECEP, Univ. 3-HECEP, Univ. 4-HECEP and PDPR. The chart with the assigned pseudonyms has been retained by the researcher in a digital password-protected environment.

The data analysis results emerged from several steps of data coding, grouping, and categorization of study data collected between March 2013 and December 2013. As the researcher received study participants' responses, the respective pseudonym for each



study participant and study site was assigned to the respective data source. The initial themes, groups, and subgroups, which resulted from the pilot study, were used as basis for coding and grouping the study data.

**Content analysis.** The researcher conducted content analysis, which focused on the presence or absence of an idea or concept using institutional data. First, the organizational chart for each study institution was reviewed to determine the exact job title of each study participant and the kind of infrastructure that houses the engagement unit. A representative from each institution informed the researcher that the respective institution does not create nor maintain a position description for the HECEP role. Therefore, the researcher accessed each institution's website and obtained the institution's definition of position description. The institutional definitions of position description were analyzed across the institutional cases to identify commonalities or differences in definitions and other elements, and to further determine if data from that source would contribute to answering the research question(s).

The result of the analysis of the position description definitions is reported in the cross-case findings section of Chapter 4. In addition, the program material for the professional development program used in this study that several study participants highlighted, was content analyzed. The analysis of that program material helped to determine the mode of program delivery, duration of program, the target audience, and program content, relative to a best practice professional development opportunity for the HECEP role. The data from this source also helps to answer the secondary research question and is also presented in the cross-case analysis in Chapter 4.

**Within-case analysis.** The researcher employed a within-case analysis (i.e., an in-depth exploration of a single case as a standalone unit) of the data obtained from each study site and study participant. The data from the data sources of each study site and study participant were analyzed separately using the HyperRESEARCH (ResearchWare, Inc., 2013) software program to identify themes which were coded and categorized. The software program generated a frequency report for each established category, enabling the researcher to determine the most frequently occurring themes within each case. Using an open coding and axial coding processes, the researcher was further able to identify and create two new categories from that the themes that emerged (Creswell, 2008). The researcher incorporated the two new categories identified from the within-case analysis to form a structure to report the within-case findings in Chapter 4.

**Cross-case analysis.** The researcher then employed a cross-case analysis of the study data from the five cases. Using the auto-code feature in the HyperRESEARCH (ResearchWare, Inc., 2013) software program, the survey and interview responses from the participants were analyzed. Additional themes emerged during this coding process as well. Thus, five new categories were added to that initial list of categories. These cases were analyzed to determine if any congruence or differences existed across the cases. Also, using the categories that resulted from the within-case analysis, the researcher incorporated the five new categories identified from the cross-case analysis to build upon the structure, and report the results of the within-case analysis in Chapter 4. The final categories identified during the analysis processes, and which form the structure of the reporting of the results of the research, are presented in Table 3.

Table 3

*Themes, Groups, and Subgroups*

| Themes   | Groups                    | Subgroups   |
|--|---------------------------|---|
| Site Information   |                           |   |
| Participants Profile   |                           |   |
| Talent Management  |                           |   |
|  | Leadership<br>Development |   |
|  |                           | Succession Planning<br><br>Professional<br>Development  |
|  |                           | Professional<br>Development<br>Program for<br>HECEP Role<br><br>Engagement<br>Academy for<br>University<br>Leaders (EAUL) |
| HECEP Requisite<br>Qualification<br><br>HECEP Perceived<br>Requisite<br>Qualifications-PDPR<br>Perspective<br><br>HECEP Knowledge Of<br>CCEC Documentation<br><br>Position/Job<br>Description Definitions<br>Summary<br><br>Preserving/Transferring<br>Institutional<br>Knowledge of HECEP<br>Role<br><br>Barriers to Succession<br>Planning for the HECEP<br>Role |                           |   |

## **Validity and Reliability**

As Creswell (2008) suggests, this study used multiple strategies to ensure trustworthiness. In conjunction with the pilot study strategy, data were triangulated by the use of multiple corroborating data sources to include interviews, survey responses, and the review of documents (Baker, 1994; Denzin, 1978; Merriam, 1998; Tashakkori & Teddlie, 1998). The researcher examined and analyzed the data collected from different collection methods in order to corroborate findings across the data sets, which helped to reduce researcher bias (Denzin, 1978; Patton, 2002). This triangulation employed the use of data from surveys, interview transcripts, and the review of documents to help determine if data from one source either supported or refuted the themes identified in the other sources. To verify further reliability, the researcher is able to compare the descriptive results with the study participants' survey and interview responses. Further, the participants' responses were linked to each identified theme to develop a detailed description of each of the themes (Patton, 2002).

Many researchers have suggested that peer debriefing enhances the trustworthiness and credibility of a qualitative research project (Creswell 2008; Janesick 2004; Lincoln & Guba 1985; Spall 1998; Spillett, 2003). Upon completion of recording the findings, the researcher sought assistance from peer de-briefers who reviewed the analysis of all the data and the recorded findings to ensure that care was taken not to over or underemphasize any portions of the findings and the report. It was also important that the peer de-briefers identified any vague descriptions presented by the researcher, and also identify and provide guidance to any errors in the data ensuring neither biases nor assumptions were made by the researcher (Spillett, 2003; Tashakkori & Teddlie, 1998).

Peer de-briefers are familiar with the research methodology of qualitative data analysis, with community engagement in general, the CCEC and the assessment requirements and/or understand the concept of talent management, specifically the leadership development strategies of succession planning and professional development in the higher education environment. The peer de-briefers in this study examined the HECEP and PDPCR survey responses, and interview transcripts, the recorded interviews, the researcher's field notes, the analysis the institutional definitions of position descriptions, and the material obtained from the professional development program.

The peer de-briefers also reviewed the researcher's final report of the findings. The de-briefers confirmed that the research made neither biases nor assumptions; they also provided feedback that enhanced the study's credibility and confirmed validity of the findings. The combination of triangulated data, member-checks, and validation from peer de-briefers limited the possibility of researcher bias.

### **Chapter Summary**

This researcher used a multi-case study approach as a qualitative research design strategy to explore the extent to which selected institutions of higher education employ succession planning strategies within their community engagement units. As institutions seek to earn or aim to maintain the CCEC designation, this exploratory multi-case research study approach also aimed to determine the requisite qualifications in terms of knowledge, skills, abilities, professional experiences, and education level for the HECEP role as perceived by the study's HECEPs and the PDPCR participants. Additionally, the research sought to discover, what if any, programs or program designs the participating institutions were using as professional development opportunities for the HECEP role.

Non-random, purposive convenience sampling was used to select the study participants. Qualtrics, a web-based software, was used to develop and disseminate the researcher-developed survey instruments and to store collected data. Pilot study results were used to refine the study instrumentations. The pilot study results were used to determine initial coding and classification schemes and to develop the foundation for reporting the study findings. Data from all data sources was triangulated to determine if data from one source either supported or refuted the themes identified in the other sources. The researcher used the qualitative software program HyperRESEARCH (ResearchWare, Inc., 2013) to code, sort, and analyze data results into recurring themes. Using rich, descriptive text, the researcher presents the setting of the study, documents that were analyzed, an analysis of the study participants' responses to the interview and study survey questions, and the study's findings based on the themes and categories that emerged. Peer de-briefers provided feedback to enhance the study's credibility and to help ensure the validity of this study. The essential meanings, which derived from the data analysis, are discussed in Chapter 4.

#### **IV. FINDINGS**

This chapter presents the research findings of a qualitative multi-case research study that explored the extent to which four selected HEIs employ succession planning strategies within their community engagement units. Specifically, the study focused on the HECEP role that is newly established in institutions as a support in earning the CCEC designation. An intent of this study was to determine what professional development programs, if any, the research study institutions are using to develop and prepare internal employees to assume the HECEP role, should the need arise, and to identify perceived requisite qualifications for the HECEP role are also presented.

The first part of this chapter presents the findings pertaining to each within-case analysis. The second part of the chapter presents study findings that emerged from the cross-case analysis of the institutional HECEP responses as well as an analysis of the PDPR's responses. In addition, a synthesis of the results of a comparison and contrast of responses to common questions posed to the HECEP study participants and the PDPR are presented. Findings pertinent to the primary research question are presented: What succession planning strategies do HEIs use relative to the newly established HECEP role and/or unit as part of their talent management processes? followed by findings pertinent to secondary research questions: (1) What professional development strategies do HEIs use for their HECEP role as part of the institution's talent management processes that might contribute to earning the

CCEC?, and (2) What are the requisite qualifications in terms of knowledge, skills, abilities, professional experiences, and level of education for the HECEP role in order to lead institutions to successfully earn the CCEC as perceived by the participating HECEPs and PDPR?

Finally, a job specification template is presented that could be used when filing the HECEP role, and for determining if there is a pipeline of individuals within HEIs who could be prepared by the identified professional development program to assume the HECEP role within their institution.

### **Within-case Analysis Findings**

This section describes the findings that emerged from the data analysis of each of the four institutional cases and the professional development case. The institutional case findings are presented numerically (i.e., Univ. 1, Univ. 2, Univ. 3, and Univ. 4) based on the pseudo name assigned by the researcher for each institution. The fourth institutional case study is followed by the professional development program case study with the pseudo name (PDP). A summary of the interpretations of the findings and supporting evidence are presented sequentially as represented below.

#### **Univ. 1. case analysis.**

***Primary research question 1: What is the demographic profile of each of the selected study institutions having attained the CCEC designation in 2010?***

*Univ. 1 case demographics.* Univ. 1 received the CCEC from the Carnegie Foundation during the 2010 CCEC assessment processes. Univ. 1 earned the CCEC less than one year after the institution established its Office of Engagement. Univ. 1's HECEP had served the institution for 19 years prior to assuming the role of HECEP, in



various capacities in both academic and administrative roles, including professor, director, and Vice-Provost for Academic Affairs.

In April 2013, the institution's president appointed the HECEP to the position of Vice President for Community Engagement after having served as the interim Vice President for Community Engagement from May 2012, following the departure of the former HECEP under whose leadership Univ. 1 received its CCEC designation. The HECEP earned a doctor of philosophy in technology in the field of electrical engineering, with a focus on knowledge management systems. The HECEP holds two official job titles within the institution: vice president and professor. For purposes of this study, as the institutional leader who coordinates and facilitates community engagement initiatives and activities, and leads the institution's assessment process for the CCEC, this individual is referred to as the Univ. 1-HECEP.

***Primary research question 2: What succession planning strategies do higher education institutions use relative to the newly established HECEP role and/or unit?***

*Univ. 1-HECEP on succession planning for the HECEP role.* The Univ. 1-HECEP explained that in general, the institution does not have an official definition of succession planning. The Univ. 1-HECEP believes that the subject of succession planning is one that academia does not discuss. However, the Univ. 1-HECEP expressed that succession planning is “about transitioning and getting the next generation of academic leaders ready for leadership roles, whether the next generation of employee are current employees or hired externally.” The Univ. 1-HECEP indicated that although Univ. 1 does not have a succession planning program for the HECEP role, the institution would benefit from a succession plan for the HECEP role, and suggested that the

institution consider implementing a succession plan for the HECEP role. The Univ. 1-HECEP went on to explain that:

It is important to get ready for the next generation of leaders. In academia there is not a lot of turnover, but it is good to also bring in new people as they can help to refresh the organization and open opportunities for others.

The Univ. 1-HECEP expressed belief that succession planning for the HECEP role is not a bad idea, but believes that the concept is difficult to implement and support in academia. The Univ. 1-HECEP went on to explain that, “if resources are in place and there is support from the many institutional stakeholders for such a program, then there is nothing bad about succession planning.” The Univ. 1-HECEP shared that the Univ. 1 should implement or consider implementing a succession planning program for the HECEP role as succession planning can help to ensure that an employee or employees are properly identified and developed with the knowledge, skills, and experiences necessary to fill the HECEP role as it becomes necessary. The Univ. 1-HECEP further expressed the belief that with the 2020 CCEC assessments approaching, it would be dangerous not to consider succession planning now in the institution’s engagement Unit. The Univ. 1-HECEP further shared:

But again, this plan has to be well thought-out, well designed, very detailed, and must have levels of accountability; and must be communicated to everyone. It is not something that should be rushed or done in secret as it takes time to identify the best successor for this role or any role.

*Univ. 1-HECEP's perceived barriers to succession planning for the HECEP role.*

Concerning perceived barriers to succession planning, the Univ. 1-HECEP shared the belief that the biggest complication to succession planning is the lens through which succession planning can be viewed. The Univ. 1-HECEP expressed that:

The many stakeholders involved in the institution, each wearing a different lens, each with a different definition of what succession planning means, and each with a different view of how community engagement initiatives are facilitated or applied in the community are major barriers to succession planning for the HECEP role. By nature, academia lacks mechanisms for planning for the future, and as a result, the culture is one that is reactive. Higher education is not known for picking people in advance to fill positions therefore, the transparent hiring processes in academia is another barrier to executing succession planning.

The Univ. 1-HECEP believes that although it may not be possible to eliminate or marginalize those barriers, the institution may benefit from investing in a proactive system for filling key roles such as the HECEP role. The Univ. 1-HECEP went on to explain that:

I know not much could be done about multiple stakeholders as this is the make-up of public higher education, so the institution must define succession planning for the University and communicate that definition globally. However, there needs to be clear processes that are approved and that are documented. I believe institutions have to be deliberate about

succession planning and plan for it, this process is one that has to be proactive and not reactive in order to be successful.

*Univ. 1 on equal opportunity and affirmative action.* As it relates to the institution's stance on equal employment opportunity and affirmative action, and the impact on succession planning in the institution, the Univ. 1-HECEP explained:

In my opinion, a succession planning program must be available to everyone, which does not mean that everyone must participate, but it is important that there is transparency about the program and open communication. As with any other program, there has to be guiding policies and criteria, so if individuals meet the criteria, the opportunity should be open to them.

*Univ. 1 capture and transfer of institutional knowledge.* The Univ. 1-HECEP reported that although the institution does not have succession planning programs, there are institutional processes and systems to capture and transfer institutional knowledge. For example, the exit interview process is used widespread within the institution, but is managed by the institution's human resources office. In addition, the new employee onboarding orientation, also managed by the institution's human resources team, is an opportunity to acclimate new employees to the institution and to the institution's culture. Additionally, departments and colleges within the institution also have an internal process to orient new employees and to provide them with the necessary information to enable an easy transition to the department and to their role. Further, some departments and colleges maintain systems and databases where information is stored and maintained to capture department specific information related to the various key roles within the

department. As it relates to the HECEP role, the Univ. 1-HECEP disclosed that the unit has established internal processes that help to ensure the continuity of duties if someone departs with little notice. For example, a departmental database which houses information about ongoing community engagement projects and key initiatives is available to staff within the unit. These staff members have access to review and report on the institution's engagement activities as needed. The Univ. 1-HECEP shared that the engagement unit functions as a strong working team, where each team member is cross-trained to provide accurate information when called upon.

***Secondary research question 1: What professional development strategies do HEIs use as development opportunities for the HECEP role that may contribute to the institution earning the CCEC?***

*Univ. 1-HECEP on professional development for the HECEP role.* The Univ. 1-HECEP defines professional development as acquiring the knowledge and the skills to advance in one's career. The Univ. 1-HECEP expressed that the institution's leadership is focused on identifying, implementing, and supporting strategies for developing institutional leaders. The Univ. 1-HECEP stated that:

As an institution, there are ongoing discussions about developing our leaders. Under the umbrella of human resources, we now have the new Leadership Development Institute supported by the President. The Institute requires anyone in a supervisory role to participate in this program; this is one of the many ways the institution invests internally in employees.

The Univ. 1-HECEP further expressed the belief that it is necessary for HEIs to focus on professional development for the HECEP role, mainly because the CCEC is a new classification designation. The Univ. 1-HECEP explained that:

It is imperative for institutions to learn about what community engagement means to higher education, to understand the various elements of community engagement, and how those elements can impact an institution. I understand the role is still developing and expanding, but all the requirements for the CCEC designation are still not clear. We need to know how requirements should be interpreted because the way we interpret them now may not be correct. We are still trying to understand what activities are documentable. We really need to formulate how the activities of the entire institution can be captured and documented.

The Univ. 1-HECEP shared that Univ. 1 offers internal professional development opportunities for faculty and staff. However, these internal opportunities are not specific to the HECEP role, members of the engagement unit, or related to the CCEC designation. Further, the Univ. 1-HECEP is not aware of any external programs that offer opportunities to learn about the CCEC assessment requirements. Univ. 1-HECEP shared the belief that if external sources are identified the institution would be willing to make an investment, specifically in the HECEP as evidence of its commitment to community engagement. The Univ. 1-HECEP expressed that the opportunity to participate in professional development opportunities also create avenues for professionals to not only share practices, but also helps to enhance existing competences and to develop new knowledge and new skills. The Univ. 1-HECP further expressed:

We need to know what is available so we can make use of these opportunities to learn about the CCEC requirements and how we document our activities. If there are groups or associations offering support and knowledge related to the CCEC requirements, we need to join in with them. We have to be more aggressive about professional development in this area.

The Univ. 1-HECEP indicated that the institution would benefit from any professional development opportunity (formal, informal or non-formal, internal or external) that focuses on the CCEC and the assessment processes. The Univ. 1-HECEP further explained that those programs would allow employees who impact the institution's engagement initiatives to gain the necessary knowledge and skills to enable the institution to be in a better position during the CCEC assessment period. The Univ. 1-HECEP further indicated that these experiences could include classroom sessions, networking events with other HECEPs, webinars facilitated by subject-matter experts, conference attendance, or participation in round table discussions with industry groups.

*Barriers to professional development for the HECEP role.* The Univ. 1-HECEP went on to indicate that there are barriers to executing development programs for the HECEP role. According to the Univ. 1-HECEP, the lack of both financial and human resources to facilitate the engagement initiatives, the lack of consistent involvement from key stakeholders, along with other institutional competing priorities, are all barriers that impact employees' ability to participate in professional development opportunities and the institution's ability to offer such opportunities. The Univ. 1-HECEP acknowledged that these barriers could either be eliminated or marginalized if community engagement

in general, and community engagement initiatives, are seen as institutional priorities.

The Univ. 1-HECEP further indicated, “if all stakeholders are able to see the benefits of community engagement and the CCEC designation through a common lens, then these barriers could be eliminated.” The Univ. 1-HECEP further emphasized that:

If stakeholders become convinced that professional development for the HECEP is an essential investment, and that investment can improve the knowledge and skills of the HECEP and the Unit, and can further yield the CCEC designation and the prestige that comes with the designation, it would be easier to eliminate the barriers.

***Secondary research question 2: What are the requisite qualifications in terms of knowledge, skills, abilities, professional experiences, and level of education for the HECEP role in order to lead institutions to attain the CCEC as perceived by the participating HECEPs and PDPR?***

*Requisite knowledge for a HECEP.* According to Univ. 1-HECEP, a HECEP would need to have knowledge of project management techniques, knowledge of the institution, and of the institution’s vision of its role in community engagement and in the community. The Univ. 1-HECEP emphasized that anyone in the HECEP role should know the world of academia and how it relates to the communities that the institution serves. Along these lines, the Univ. 1-HECEP suggested that the HECEP should possess knowledge of the communities’ history to better understand the complexities in decision-making and knowledge of external and internal available resources.

*Requisite skills for a HECEP.* When asked about requisite professional skills for individuals in a HECEP role, the Univ. 1-HECEP expressed that possessing effective



interpersonal skills allows one to successfully develop and maintain relationships, and the aptitude to positively interact with and work with individuals from diverse backgrounds are considered to be important. Additionally, the Univ. 1-HECEP expressed a belief that a HECEP should be skillful in identifying or recognizing the needs of the community and negotiating in the best interest of all stakeholders. In terms of resolving community problems or dealing with challenges that may arise. The Univ. 1-HECEP believes that it is valuable for a HECEP to possess the skill of identifying creative solutions and strategies in terms of identifying resources that may not be openly available.

*Requisite abilities for a HECEP.* The Univ. 1-HECEP shared the belief that the HECEP should possess the ability to manage multiple projects that cut across many disciplines; the ability to recognize the needs of the community, and must be capable of developing and maintaining strong professional relationships. Univ. 1-HECEP further shared that the capacity to build and acquire the trust of peers and the ability to earn buy-in from the institution's stakeholders and sponsors are crucial to the HECEP role. The Univ. 1-HECEP went on to express the belief that the ability to win others over to support and fulfill the institution's Mission and Vision may be the foremost and fundamental abilities of a HECEP. The Univ. 1-HECEP further shared the belief that HEIs should consider the global impacts of community engagement, and invest not only in local initiatives, but national and international initiatives as well. The Univ. 1-HECEP went on to share that Univ. 1 is an institution with campuses nationally and internationally and also serves students through online programs. Therefore, for that institution, having a global perspective of community engagement is recommended. Further, according to the Univ.1-HECEP, and the ability to translate the institution's

Mission and Vision of community engagement in global terms is essential to the HECEP role. The Univ. 1-HECEP also shared the belief that a HECEP with the ability to foster institutional pride locally and internationally is paramount to the HECEP role.

*Preferred professional background for a HECEP.* The Univ. 1-HECEP reported that in order to understand the levels at which the University can play a role in the community, a HECEP would benefit from professional experiences working in the community, non-profit or social services organizations, as well as in academia. Academic experience was viewed by the Univ. 1-HECEP as extremely important. Univ. 1-HECEP went on to point out that the HEI experience generally includes research, which often times can be transferred to where needs are in the communities.

*Education level for a HECEP.* The Univ. 1-HECEP was very firm and clear about the education level of a HECEP, and stated that:

The individual must be an academician. A HECEP should have earned a PhD although not in any specific discipline. The PhD is important to be able to relate to the faculty and understand the concepts of research and applying research in the community. Having a PhD also helps with interacting with the faculty; with earning their respect and with gaining acceptance among peers.

*Univ. 1-HECEP's experiences and training in preparation for a HECEP role.*

According to the Univ. 1-HECEP, the professional experiences and training opportunities that prepared the Univ. 1-HECEP to assume this current role are a combination of administrative, academic, and classroom experiences allowing for interaction with students. In addition, Univ. 1-HECEP shared that working on various academic and

business committees created networking opportunities which enabled the development of professional relationships.

*Univ. 1-HECEP awareness of CCDF.* As it pertains to facilitating the institutional initiatives and the assessment processes for the CCEC designation, the Univ. 1-HECEP was familiar with the CCDF. The researcher asked the Univ. 1-HECEP to identify the area(s) of the CCDF that may pose a challenge during the assessment period. The Univ. 1-HECEP identified the perceived areas of strength for Univ. 1 as the foundational indicators and institutional commitment. The Univ. 1-HECEP stated that because of the institution's genuine commitment to community engagement, it continues to be easy to provide visible and documented CCEC evidence. For example, the institution invests financial resources in the community for purposes of community development. The institution has a campus-wide coordinating office to support and advance community engagement, with internal budgetary allocations dedicated to supporting institutional engagement with the community. Further, it is important that community engagement is defined and planned for in the institution's strategic plan, and that institution-wide, community engagement is rewarded as one form of service, scholarship, teaching and learning.

Although identified as an area of strength, the Univ. 1-HECEP presented the foundational indicator, institutional commitment as a "double-edge sword." The Univ. 1-HECEP believes that the areas addressing the maintenance of "a systematic campus-wide tracking or documentation" system and the element addressing "the institution's provision of professional development opportunities to support faculty and/or staff who engage with community" are the areas that may pose a challenge. In terms of having a

systematic campus-wide tracking or documentation mechanisms to record and/or track engagement with the community, the Univ. 1-HECEP reported that its engagement unit needs to enhance the existing system to capture the community engagement activities across the institution:

The combination of the size of the institution, coupled with a large body of faculty, employees, and students who are involved in their communities, and are facilitating excellent and creative endeavors, a determination needs to be made quickly to identify a suitable systematic process. We need to be sure we are effectively recording and tracking the engagement initiatives and activities, across the university, not just what this unit is doing. These activities and initiatives can then be part of institution's reporting for the CCEC.

*Univ. 1-HECEP on talent management.* The Univ. 1-HECEP shared that the institution's Division of Human Resources houses and facilitates the strategies (process and systems) to support talent management. However, each department and college within the institution shares the responsibility for the management of their internal talent. The institution's Talent Management and Development Department supports the institution's commitment to promoting a culture of leadership excellence; creating partnerships that support growth and development; and delivering professional development. The Univ. 1-HECEP reported understanding talent management to involve integrated systems to improve recruiting, developing, and retaining human capital. Based on the researcher's review of information contained on Univ.1's website, the institution's

division of human resources is made up of several departments each responsible for a different human resource function.

*The HECEP role in five years.* In envisioning the role in the next five years, the Univ. 1-HECEP believes that the HECEP will be an integral part of the higher education leadership and at the forefront of leading institutions in living out engagement initiatives locally and globally. The Univ. 1-HECEP shared the expectation that the HECEP role will be clearly defined to enable more effective and efficient management and administration of HEIs' engagement units and initiatives.

***Univ. 1 institutional case summary.*** The findings in this case reveal that, in general, there is no evidence of formal succession planning in Univ. 1, nor is there evidence of formal or informal succession planning program for the HECEP role. Although the Univ. 1-HECEP cited the presence of general leadership and professional development opportunities offered and supported both internally and externally for staff, these opportunities are not specific to the HECEP role or any specific role. Those professional development opportunities are not based on CCEC, the HECEP role, or the institution's CCEC unit. In addition, the professional development opportunities offered by the institution are not linked to the concept of succession planning; they are offered as stand-alone programs. To the institution's benefit, there is a Leadership Development Institute, however, that institute offers one program which is focused on leadership development in general. The competencies of that program are not geared towards any specific role or department within the institution. The analysis revealed that neither the institution's leadership nor the Univ.1-HECEP is aware of external professional

development opportunities for the HECEP role, which can contribute to earning the Carnegie Community Engagement Classification designation.

The analysis also revealed that the institution does invest in the development of its employees by offering and supporting external professional development opportunities focused on developing the knowledge, skills, and abilities of the employees in general. Finally, it was noted that, specifically as it relates to the HECEP role, if professional development opportunities are identified, the institution will support and invest in the development of the HECEP. However, the Univ. 1-HECEP was not aware of any professional development opportunities specific to the CCEC.

The findings of this case answered the primary and secondary research questions, noting that there is no evidence that Univ. 1 undertakes succession planning strategies for the HECEP role. Further, although the institution is concerned about investing and developing their employees, and offer professional development opportunities, Univ. 1 does not offer professional development opportunities, specifically, to the Univ. 1-HECEP role. The Univ. 1-HECEP does believe, however, that there are defined requisite qualifications needed by the HECEP in order to lead institutions to successfully earn the CCEC. The qualifications identified include institutional knowledge, effective interpersonal and strategic thinking skills, resource management, and a professional background in community or non-profit work. Such requisite qualifications for a HECEP, as perceived by Univ. 1-HECEP, helped in specifically answering the second secondary research question. The results of this data analysis are presented in Table 9 in the cross-case analysis section of the findings.

## **Univ. 2 case analysis.**

***Primary research question 1: What is the demographic profile of each of the selected study institutions having attained the CCEC designation in 2010?***

*Univ. 2 case demographics.* Univ. 2 earned the CCEC during the 2010 assessment period. The Univ. 2-HECEP earned a doctorate in education and served the institution in various capacities between since 1987 and 2014, including Dean of Academic Affairs and Program Professor. The Univ. 2-HECEP is the Executive Director of the institution's Office of Engagement, and has been in this role since 2007. The Office of Engagement at Univ. 2 is responsible for facilitating, coordinating, and documenting the implementation of institutional and community engagement initiatives. The primary responsibilities for Univ. 2-HECEP includes oversight of the institution's Quality Enhancement Plan and for application to and maintenance of the CCEC. For purposes of this study, as the institutional leader who coordinates and facilitates community engagement initiatives and activities, and leads the institution's assessment process for the CCEC, this individual is referred to as the Univ. 2-HECEP.

***Primary research question 2: What succession planning strategies do higher education institutions use relative to the newly established HECEP role and/or unit?***

*Univ. 2-HECEP on succession planning for the HECEP role.* In addressing the element of succession planning for the institution's HECEP role, the Univ. 2-HECEP indicated no awareness of the institution's definition of succession planning, and acknowledged that the institution does not have a succession plan in place for the HECEP role. However, the Univ. 2-HECEP explained that, in terms of the institution's engagement unit, "succession planning provides continuity for activities, reports, and

committee work in the area of engagement on our campus. It is about creating a seamless ability to integrate the cultural essence of engagement activities into the future of our institution.”

The Univ. 2-HECEP shared the belief that the concept of succession planning for the HECEP role is a good idea and that Univ. 2 would benefit from implementing a succession plan for the HECEP role. Univ. 2-HECEP went on to express a belief that succession planning is a means of ensuring that the historical context of future engagement initiatives is preserved. The Univ. 2-HECEP went on to express that the opportunity to personally train and develop someone to assume the HECEP role would be a wonderful experience. The Univ.2-HECEP stated, “there is so much to gain from my knowledge and skills being in this current role.” The Univ. 2-HECEP went on to note that the succession plan and the supporting systems related to the role would need to be tried and tested and carefully thought out to preserve the institution’s history and maintain the success of the role.

*Univ. 2-HECEP’s perceived barriers to succession planning.* Regarding Univ. 2-HECEP’s opinion of barriers to executing a succession planning program at the institution for the HECEP role, the Univ. 2-HECEP explained that as with any new program or process, the right combination of players needs to schedule the time to address the concerns. The Univ. 2-HECEP went on to explain that any system or process needs the support of people, and support costs money, and that although community engagement as it relates to the CCEC is important, it would be interesting to determine where it fits, in comparison to the other institutional priorities. The Univ. 2-HECEP also shared the belief that while a source of the barriers to succession planning appears to be



related to funding, the Univ. 2-HECEP also believes that it is possible to eliminate these barriers. The Univ. 2-HECEP explained that “there is no way around it, funding is required, so this may mean finding grants and other resources to support this effort, or convincing leadership that budget increases will be needed.”

*Univ. 2 on equal opportunity and affirmative action.* The researcher asked the Univ. 2-HECEP for an opinion about the impact on succession planning for the HECEP role relative to the institution’s stance on equal employment opportunity and affirmative action. According to the Univ. 2-HECEP, Univ. 2 does not have an office specifically for equal opportunity/affirmative action. The Univ. 2-HECEP went on to explain that the institution has representatives within the human resources office who are trained to respond to any affirmative action concerns. The Univ. 2-HECEP further explained: “it is the institution’s responsibility to ensure all employees interested in a position have the same opportunity for consideration, and to ensure all hiring authorities abide by the laws governing equal opportunity and affirmative action.”

*Univ. 2. capture and transfer institutional knowledge.* In regards to the transfer of institutional knowledge, the Univ. 2-HECEP expressed that the Unit has been contemplating the best way to ensure the easy transfer of institutional knowledge obtained by the Univ. 2- HECEP role. Therefore, a few years ago, the Univ. 2- HECEP created a database that is constantly updated, and houses all institution’s outreach related information and the initiatives, along with ideas for future initiatives, institutional and community contacts for the institution. The Univ. 2- HECEP noted that as a result of the information contained in this database, anyone new to the unit or the HECEP role would not need to re-invent the wheel in this regard. The Univ.2-HECEP went on to say:

Since I am the first to be in this role, I practically created the job as I went through the years. Now as I consider identifying someone to fill my shoes, I believe that I have a good individual here who has been working with me and that I have been mentoring and training for a few years who can easily step in and do the job if called upon.

***Secondary research question 1: What professional development strategies do HEIs use as development opportunities for the HECEP role that may contribute to the institution earning the CCEC?***

*The Univ. 2-HECEP on professional development for the HECEP role.* The Univ. 2-HECEP expressed that although the institution had not formally defined professional development, however, to help ensure business success the institution is committed and prepared to invest in the development of the employees. The Univ. 2-HECEP defined professional development as providing opportunities to enhance the knowledge, skills, and abilities of participants who can help improve functions of their units.

According to the Univ. 2-HECEP, “the institution’s leadership is committed to creating an environment of employee learning that furthers the institution’s mission, vision, and values, and responds to current and future priority human resource development needs.” The Univ. 2-HECEP emphasized the importance for the institution to focus on professional development opportunities for the HECEP role and for employees who are involved in facilitating the institution’s engagement initiatives. The Univ. 2-HECEP believes that employees are motivated, and their commitment to the institution strengthens, when offered development opportunities.

The Univ. 2-HECEP shared that Univ. 2 offers various opportunities (both internally and externally), to employees for professional development. According to the Univ. 2-HECEP, most of the internal opportunities are facilitated by the institution's human resources office and tend to be focused on the institutions policies and processes governing the employees. The Univ. 2-HECEP explained that Univ. 2 does not offer internal professional development opportunities specifically for the HECEP role or unit. The Univ. 2-HECEP also explained that professional development opportunities for the Univ. 2-HECEP role are self-initiated conference calls with other HECEPs in the area allowing for an exchange of ideas and sharing of challenges and victories. The Univ. 2-HECEP is not aware of any external professional development opportunities that are towards to the enhancement of the current knowledge, skills, and abilities of a HECEP. However, according to Univ. 2-HECEP, because of the institution's commitment to the role, the unit, and to community engagement, it was believed that if the Univ. 2-HECEP would be able identify any external sources, the institution would make an investment and support participation of the HECEP and engagement unit staff in such professional development opportunities.

*Barriers to professional development for the HECEP role.* The Univ. 2-HECEP shared that resources and other institutional priorities are barriers that currently impede the implementation of participation in professional development opportunities. The Univ. 2-HECEP further shared a willingness to secure grants to fund professional development opportunities if any opportunities are identified and the institution is not able to provide funding.

***Secondary research question 2: What are the requisite qualifications in terms of knowledge, skills, abilities, professional experiences, and level of education for the HECEP role in order to lead institutions to attain the CCEC as perceived by the participating HECEPs and PDPR?***

*Requisite knowledge for a HECEP.* According to Univ. 2-HECEP, it is very important for a HECEP to have historical knowledge of the institution's community engagement initiatives as well as an accurate inventory of the combined activities of university personnel within both academic and non-academic units. Additionally, it is necessary to have knowledge of existing community affiliations and knowledge of social services, with an understanding of the community's needs relative to the institution's initiatives:

This individual has to be open-minded; be willing to look at various definitions of community engagement, and be knowledgeable of areas of opportunities for the institution to consider. For example, I have always been involved in community service, but my background in is clinical education, now that works here because this exposure has allowed me to become aware of all the various constituents and their needs and possible solutions. It really is about knowing who to go to in order to get the things you need done.

*Requisite skills for a HECEP.* The Univ. 2-HECP believes that the ideal skills of a HECEP would be a framework that includes community service and community-based research coupled with classroom skills because there will be a need to provide support to faculty as they prepare and maintain their curricular related to community engagement

activities. In terms of professional abilities, Univ. 2-HECEP indicated that a HECEP should have the ability to interpret the needs of the community in order to align the institution's initiatives with those needs. The Univ. 2-HECEP further explained that a HECEP should have the ability to be flexible, to be a good and quick learner, to be a risk taker, and has to be highly organized.

*Requisite abilities for a HECEP.* The Univ. 2-HECEP shared the belief that a HECEP must possess the ability to effectively communicate and inspire others in order to draw the community and institutional stakeholders together relative to the institution's Vision. According to the Univ. 2-HECEP, the individual in the HECEP role should also have the ability to compile all community outreach initiatives in a format that is understandable and accessible to others. In addition, it is necessary to be able to understand the various definitions of service learning and how those definitions are linked to community engagement in relationship to the CCEC.

*Preferred professional background for a HECEP.* The Univ. 2-HECEP believes that it is necessary for anyone filling a HECEP role to have experience in some form of involvement in community entities as this kind of experience helps in better understanding the community's needs, helps when serving as an ambassador for the community, and in supporting the institution's initiatives.

Specifically for me, I started on the faculty track in education and human services, so I have experience in service learning; I believe that it is very important, especially when we consider measuring student-learning outcomes of the engagement activities, and my involvement in the community as a Guardian ad litem helps; I have been doing this for many

years. I know the communities; I know what the community needs in terms of focusing on students and other youth. I am known in the surrounding community and I have credibility in the communities. This exposure to various community experiences makes doing my job a lot easier.

*Education level for a HECEP.* The Univ. 2-HECEP explained that in terms of preferred educational background for a HECEP, a specific degree or discipline is neither right nor wrong. The Univ. 2-HECEP explained that:

I do believe that having the PhD sure helps; it helps with gaining respect, and it helps in gaining acceptance. You know, it really is the reverence people place in the degree, not that I believe the PhD comes with more knowledge, but others see it as a higher standing.

*Univ. 2-HECEP's experiences and training in preparation for a HECEP role.*

The Univ. 2-HECEP shared that some professional experiences that contributed to his/her preparation to lead community engagement initiatives in higher education, include the Univ. 2-HECEP's academic background as a faculty member. In that role, the Univ. 2-HECEP supported student service learning; gained an understanding of the impact of civic engagement on student learning, and had the opportunity to personally witness how such forms of exposure could be the key to student success. In addition, the Univ. 2-HECEP indicated that professional networking opportunities, attending and presenting at professional conferences, had all been learning opportunities and experiences that helped the Univ. 2-HECEP to be effective in this role. The Univ. 2-HECEP shared that no formal training had contributed to the preparation for this role. However, there was a

combination of academic experiences of teaching and facilitating research on different issues in several communities, along with working directly in the community, that had contributed to the growth and knowledge base of the Univ. 2-HECEP. According to Univ. 2-HECEP, this role helped to create a conduit to sources that have taught the Univ. 2-HECEP about such concepts as accountability in light of the CCEC:

It was trial by error, especially because we applied for the CCEC in 2008, but we failed. I have spent many hours on conference calls with representatives from Carnegie Foundation, where I learned about being consistent in capturing our initiatives. Initially, we did not have a central engagement center, but time on those conference calls taught me that we must be able to capture all information about our engagement efforts. My constant communication with Carnegie representatives was the training that helped me.

*Univ. 2-HECEP's awareness of CCDF.* As it pertains to facilitating institutional initiatives and assessment processes for the CCEC designation, the Univ. 2-HECEP indicated a familiarity with the CCDF (see Appendix H). The Univ. 2-HECEP shared the belief that the strengths of Univ. 2 are in the foundational indicators, specifically in terms of the ability to demonstrate institutional commitment, because these are tangible elements. The Univ. 2-HECEP went on to note that Univ. 2 has policies in place to support the development, promotion, and tenure of the faculty. In addition, there is a strategic plan that changes continuously and there are processes in place, and clear goals for managing the financial aspect of the engagement unit and established policies and processes that are communicated to the university constituents. The Univ. 2-HECEP

went on to note however, that as it pertains to curricular engagement, there are varying definitions that exist for service learning, making it difficult for Univ. 2 to demonstrate and produce accurate documentation that reflects that the institution meets the requirements for curricular engagement. Thus, it is important for the institution to quickly define service learning and how service learning is applied within the institution.

*Univ. 2-HECEP on talent management.* The Univ. 2-HECEP explained that Univ. 2 is an institution of higher education that believes that the greatest assets of the institution are its human resources. The Univ. 2-HECEP went on to share that the institution's talent management system and processes reside within the institution's human resources office, and that policies that inform employees of the institution's business practices and expectations, support hiring, developing, retaining, firing, and promoting ethical practices, govern these talent management processes.

*The HECEP role in five years.* In the next five years, the Univ. 2-HECEP envisions that the HECEP will be recognized as a pivotal role in HEIs. In addition, the UNIV.2-HECEP expressed the view that the HECEP role will have a greater impact on institutions in terms of both their internal and external communities. Finally, the Univ.2-HECEP noted that as community engagement initiatives continue to grow, the HECEP role will seek creative ways to fund the initiatives, which may include accessing grant funding.

*Univ. 2 institutional case summary.* As it relates to answering the primary research question, the result of the data analysis in this case reveals that institutional succession planning strategies for the HECEP role are non-existent within Univ. 2. Although a succession plan for the role does not exist, however, the Univ. 2-HECEP has



considered ways to ensure the institutional knowledge of the activities of that role is captured and available to others, who at some point might inherit the role. The Univ. 2-HECEP went on to indicate that:

In line with the development of a community collaboration database, I have begun work on a complete administrative manual that highlight all of the activities in my office that support institutional and community engagement. I have always, and will continue to memorialize meetings and our activities in web-enabled formats and on a secure web site.

The Univ. 2-HECEP expressed that, as a leader in the HECEP role, the need has become evident to ensure a capable employee within the unit is prepared to step into the role. To that end, the Univ. 2-HECEP has identified an employee who has the necessary skills set and the desire to move into the HECEP role. Although a formal institutional succession planning process is not, the Univ. 2-HECEP has been providing the identified employee with opportunities to experience the HECEP role:

It really is nothing formal, but I allow her to represent me at meetings, to lead certain initiatives and activities, and to assist me in our internal documentation of campus-wide initiatives. My goal is to allow her to assume responsibility for at least one of the CCEC elements during the next evaluation period. As we draw closer to 2020, I hope I am able to have her assist with our self-evaluations so she gets a hang of what Carnegie is looking for. I am doing all this with no other resources and while I am still trying to understand the CCEC requirements myself.

Study findings revealed that, in general, the Univ. 2 is committed to employee learning and development, and therefore invests in professional development opportunities for its employees. However, these opportunities are not specific to the HECEP role or any specific role or function within the institution. Rather, the opportunities are available to all staff. In addition, the professional and learning opportunities offered by Univ. 2 are not linked to succession management or a succession plan. On the other hand, these opportunities are viewed as talent management strategies, which support the hiring, developing, and retaining of good institutional talent.

The findings of this case answered the primary and secondary research questions, noting that Univ. 2 does not have a succession planning program for the HECEP role. Although the institution is willing to invest in the employees, and internal and external professional development opportunities are offered, those opportunities are not specific or focused on the HECEP role or the CCEC. However, according to the Univ. 2-HECEP, the institution will support external development opportunities for the HECEP role, if opportunities are identified.

The Univ. 2-HECEP believes that there are defined requisite qualifications a HECEP needs in order to be effective in leading institutions to earn the CCEC. They include institutional knowledge, experience working in the classroom, and effective interpersonal and strategic thinking skills. These requisite qualifications for a HECEP, as perceived by Univ. 2-HECEP, are also presented in Table 9 in the cross-case analysis section of the study findings.

### **Univ. 3 case analysis.**

***Primary research question 1: What is the demographic profile of each of the selected study institutions having attained the CCEC designation in 2010?***

*Univ. 3 case demographics.* During the 2010 assessments by the Carnegie Foundation, Univ. 3 earned the CCEC under the leadership of the Univ. 3-HECEP, who serves as the Center Director, the Director of the institution's Quality Enhancement Plan, and as a faculty administrator. The Univ. 3-HECEP earned a doctor of philosophy in religion and education, has more than 20 years of experience in facilitating university-community partnerships, and has been with the institution and served in his current role for less than six years. For purposes of this study, as the institutional leader who coordinates and facilitates community engagement initiatives and activities, and leads the institution's assessment process for the CCEC, this individual is referred to as the Univ. 3-HECEP.

***Primary research question 2: What succession planning strategies do higher education institutions use relative to the newly established HECEP role and/or unit?***

*Univ. 3-HECEP on succession planning for the HECEP role.* In addressing the element of succession planning for the institution's HECEP role, the Univ. 3-HECEP acknowledged that the institution does not have a definition of succession planning or a policy regarding succession planning. Further, the Univ. 3-HECEP shared that the institution therefore, does not have a succession plan in place for the HECEP role. The Univ. 3-HECEP explained that "personally, succession planning is intentionally preparing for leadership change due to crisis, or in anticipation of leadership change."

When asked if succession planning for the HECEP role was a bad idea, the Univ. 3-HECEP expressed that:

I really think succession planning for this role is a bad idea because of the lack of dedicated resources. Further, there is too much fuzzy thinking about engagement and what it means; and then we need to worry about how to make it sustainable with so little resources. I believe before we can think of succession planning, there needs to be a solid administrative infrastructure that allows for systematic forms of accountability. Then the resources to support that infrastructure need to be solidified; this way it will be known that engagement has the right support.

The Univ. 3-HECEP also believes that if institutions are not yet prepared to move into the 21st century, adapt the processes and systems that make sense and have proven valuable, then the implementation of new programs like succession planning, will remain a challenge. Specifically, with succession planning, the Univ. 3-HECEP expressed that some HEIs not only lack the administrative structure to support a succession planning system but there appears to be a misaligned promotion and reward system:

We have a reward structure that does not value or reward administrative service. The system is one that was set up for the researcher and the research; lip service is given to everything else. This kind of system is not for the administrative and support personnel. We are dealing with 21st century institution higher education institutions but there are still 19<sup>th</sup> century rewards.

Although the Univ. 3-HECEP shared the belief that succession planning for the HECEP was a bad idea, the Univ. 3-HECEP also shared the belief that Univ. 3 would not benefit from a succession plan or succession planning program for the HECEP:

I like my job. I am not interested in the institution planning for their next director. You see, I believe institutions need flexibility. If someone is picked out for a role and along the way things change, then there are problems. The thing is, academia is not one that plans; we tend to handle things as they come along. Finding the right person to fill a job may take some time, but it will happen. Then again, what if the need is to get someone fresh from the outside, that person can bring some good ideas to the institution. In any case and for this role, I do not think there is need for succession planning.

*Univ. 3-HECEP's perceived barriers to succession planning.* The researcher asked the Univ. 3-HECEP to identify the perceived barriers to executing a succession planning program at the institution for the HECEP role. The Univ. 3-HECEP explained that because the HECEP role is still emerging and the full identity of the role needs to develop. In addition, the Univ. 3-HECEP shared the belief that institutions need to be sure that there are mechanisms in place to support the role and the community engagement initiatives. The Univ. 3-HECEP did not identify specific barriers to succession planning for the HECEP role. Therefore, the researcher did not pose the question related to eliminating or marginalizing barriers to succession planning for the HECEP role.

*Univ. 3 on equal opportunity and affirmative action.* As it relates to the institution's stance on equal employment opportunity and affirmative action and the

impact on succession planning for the HECEP role, the Univ. 3-HECEP explained that when considering hiring employees, it is necessary to have the involvement of representative(s) from the institution's Office of Equal Opportunity and Diversity to ensure that the candidate pool contains sufficiently diverse and qualified candidates:

In terms of how I tend to operate and manage my organization, I am very mindful of the communities we serve and of the requirements of my office to be diverse. So when I hire or put teams together to work on projects, I want my employees and teams to look like the people or communities we serve. I would expect the same thing when thinking of succession planning for this role.

*Univ. 3. capture and transfer of institutional knowledge.* In order to facilitate and to ensure the transfer of institutional knowledge in the engagement unit, the Univ. 3-HECEP has developed an in-house database that stores information on all related community engagement initiatives. This database serves as a memory for the center and is currently only available to internal staff to review and/or learn about the initiatives, whether on or off campus. With the implementation and facilitation of strategic goals which are aligned with the CCEC, the center has undertaken the strategic development of an electronic information system to not only house all of the records, but also with the ability to generate real-time accurate reports for quick submission to the executive leadership. The intent of this electronic system is to enable institutional stakeholders (internally or externally) to be aware of what engagement activities employees, staff, faculty, and other institutional representatives are involved in. According to the Univ. 3-HECEP, Univ. 3 also uses exit interviews to capture institutional knowledge and to be

able to transfer that knowledge within the institution. The Univ. 3-HECEP explained that:

The University also does exit surveys. This way information is also captured. But one of the best decisions I have made was to hire someone with 10 years of internal experience and make her the Operations person. Having someone with so many years of internal experience and knowledge when I first came on board, knowing little to nothing about the University or what had been done in the past, was extremely valuable. That individual was able to provide me with the necessary information and background to help me be successful in my role. Now it would be great if this is the way it happens in the future, but we need to be sure there are people here with the breadth of knowledge.

***Secondary research question 1: What professional development strategies do HEIs use as development opportunities for the HECEP role that may contribute to the institution earning the CCEC?***

*Univ. 3-HECEP on professional development for the HECEP role.* The Univ. 3-HECEP shared that Univ. 3 does not have a formal definition for professional development. However, Univ. 3-HECEP expressed the view that professional development is about providing employees with the tools and the information to enhance their skills and knowledge to be successful and efficient in their current role, and to prepare for future roles. The Univ. 3-HECEP also indicated that institution's leadership appears to be concerned about the development of the employees to assume a leadership role. According to the Univ.3-HECEP, because of that concern, Univ. 3 offers

professional development opportunities (internal and external) as an investment in their faculty and staff through a variety of programs geared not only to improve performance and visibility of the institution, but to also enhance the knowledge and skills of current employees, viewed as the institution's human capital. Although the Univ. 3 creates and offers internal professional development opportunities for employees to grow in their job knowledge, and also to develop additional competencies that can lead to advancement, the programs are general in nature and are not specific to any particular job or employee function. Other internal programs offered by the Univ. 3 are related to the academic elements of community engagement, and are directed to the academic and student affairs departments, and are not offered as opportunities to enhance the skills of the Univ. 3-HECEP or members of the engagement unit. Ironically, these programs are developed and facilitated by the Univ. 3-HECEP, and are not offered in support of, or because of the CCEC, however, they may be reported in a CCEC application.

In addition, according to the Univ. 3-HECEP, Univ. 3 provides opportunities for the Univ. 3-HECEP to participate in external professional development programs without consideration for the CCEC. The Univ. 3-HECEP, however, has had the opportunity to participate in the Engagement Academy for University Leaders (EAUL), when the EUAL was housed within the Center for Organizational and Technological Advancement at Virginia Polytechnic Institute and State University. Univ. 3-HECEP realizes that the HECEP role is still emerging and that Univ. 3 is still trying to determine the full identity or aspects of the role. Therefore, the Univ. 3-HECEP embraces any opportunity for enhanced development in terms of needed knowledge and skills related to the HECEP role. The EAUL is a national program that exposes participants to approaches and ideas



to enhance engagement initiatives; provides support in the development of institutional engagement plans; and in preparing the institutional documentation for the CCEC assessments. This program targets institutional leaders who are responsible for developing institutional capacity for community engagement and for facilitating their institution's application and assessment processes for the CCEC.

The Univ. 3-HECEP expressed that going through the CCEC assessment processes in 2010 was challenging. Therefore, in preparing for the 2020 assessments, it is believed that there is value in allowing the involvement of third party organizations. Such third party organizations include Campus Compact, a national coalition of Presidents of colleges and universities, who are committed to provide the necessary structures to support and increase students' participation in community service. Such structures include offices and staff to coordinate community engagement efforts, training opportunities for faculty and staff members to learn how to integrate community engagement into teaching and research, and provide motivation to institutions in making community and civic engagement a priority on the campuses of HEIs. In addition, as a center for inquiry, research, and policy, the New England Resource Center for Higher Education (NERCHE) supports higher education leaders to become more effective practitioners and leaders. NERCHE also provides resources, strategies, and educational opportunities for institutions in managing the CCEC assessment process. The resources offered include training focused on the application process for the CCEC designation; awareness of the expectations of the assessment committee and first-hand information from representatives of institutions that have been successful earning the CCEC

designation. These resources are used to help institutions in preparing competitive applications for the CCEC designation (NERCHE, n.d.).

Another third-party organization referenced by the Univ. 3-HECEP is the Engagement Scholarship Consortium (ESC), a non-profit educational organization that works collaboratively with member institutions (including, state-public and private institutions) to provide development opportunities to institutional members to help increase their knowledge and enhance their community engagement practices. The ESC also promotes education, research, and study of the effects of engaged scholarship on campuses of member institutions (ESC, 2014). As Univ. 3-HECEP noted:

Such third parties offer great opportunities for learning about the CCEC requirements and understanding how to approach the assessment processes. Such learning opportunities include participation in webinars, and conference calls, which allows participation without leaving their institutions thereby saving time and money. There are also opportunities to attend workshops and conferences; and to participate in networking opportunities.

*Barriers to professional development for the HECEP role.* The Univ. 3-HECEP did not indicate any barriers to executing external development programs for the HECEP role, but expressed the belief that institutions need to take responsibility for the HECEP role and for supporting institutions' efforts to earn the CCEC:

The institutions need to be forced to be held accountable for the resources they are investing in this role and the community engagement initiatives. At some point it has to be about where we are making the

investments if we are serious about this engagement; we need to find ways to support what our faculty, students and this Center are doing.

***Secondary research question 2: What are the requisite qualifications in terms of knowledge, skills, abilities, professional experiences, and level of education for the HECEP role in order to lead institutions to attain the CCEC as perceived by the participating HECEPs and PDPR?***

*Requisite knowledge for a HECEP.* The Univ. 3-HECEP shared the belief that the requisite qualifications for a HECEP depend on the mission of the Institution and the office responsible for overseeing community engagement initiatives. The Univ.3-HECEP expressed that a HECEP should be “faculty street credit.” According to the Univ. 3-HECEP, this means being knowledgeable of the institution, the faculty, and the learning environment. The Univ. 3-HECEP noted that knowledge of the institution’s faculty and staff, and what the institution is willing to accomplish, are extremely necessary knowledge areas for a HECEP. The Univ. 3-HECEP shared that if a HECEP is armed with that knowledge, the institution stands a better chance of being accurately represented by the HECEP. The Univ. 3-HECEP also shared that great importance should be placed on having knowledge of what are the needs of the community, and how those needs relate to the academic world. According to the Univ. 3-HECEP, a HECEP would benefit from having knowledge of how HEIs’ administrative systems work, specifically related to how institutional money is managed, including, how money is spent and how it is transferred.

*Requisite skills for a HECEP.* The Univ. 3-HECEP shared that in order to be successful in this role, a HECEP should possess the skill to identify and recommend

resources. The Univ. 3-HECEP went on to explain, that on occasion, resources may not always be obvious, but that a skilled HECEP should be able to uncover those resources. In addition, the Univ.3-HECEP shared that a HECEP should be skilled in the area of developing relationships, which sometimes could be difficult with external stakeholders.

*Requisite abilities for a HECEP.* The Univ. 3-HECEP shared the belief that a HECEP should be viewed as an ambassador to the institution, and as such, should have the ability to effectively communicate and execute the institution's mission and vision for community engagement. The Univ. 3-HECEP further shared that an institution's mission and vision for community engagement should go beyond the walls of its immediate community, specifically because, in many instances, institution's serve students internationally. In addition, it is the Univ. 3-HECEP's belief that a HECEP should possess the ability to develop and maintain professional relationships, to network effectively and to also earn the trust and respect of stakeholders and peers, in order to effectively fulfill the requirements of the role

*Preferred professional background for a HECEP.* The Univ. 3-HECEP shared the belief that a HECEP should possess prior experience working with and in the community, specifically in the non-profit sector. The Univ. 3-HECEP shared that such experiences provide a view of what to expect when in the HECEP role and negotiating with the community. The Univ. 3-HECEP also expressed that a HECEP should have experience dealing with financial transactions, specifically as it relates to working with the community and balancing available funding with the needs of the community.

*Education level for the HECEP role.* The Univ. 3-HECEP expressed the belief that anyone in a HECEP role should have an earned PhD. The Univ. 3-HECEP shared that:

This person needs to have faculty street credit and that can only come from having earned a PhD. I really do not think any specific discipline is important; but, the fact that the HECEP has earned a degree makes them a peer with other faculty. About the PhD, I think it makes faculty realize that you have suffered like them and helps in gaining respect; faculty likes to know that others have gone through the hazing process.

*Univ. 3-HECEP's experiences and training in preparation for the HECEP role.*

According to the Univ.3-HECEP, the professional experiences and training opportunities that best prepared the Univ. 3-HECEP for this current role included a very close friendship with a Fellow from the American Council on Education and who also served in the role of an associate dean within a HEI. According to the Univ. 3-HECEP, this friendship created opportunities for the Univ. 3-HECEP to be mentored by a friend and allowed for opportunities to shadow the friend on projects and initiatives. The Univ. 3-HECEP explained “I was fortunate enough for those experiences and for his bag of tricks, to provide me with the skills piece.”

In addition to the experiences with the close friend, the Univ. 3-HECEP has been a member of the Society for Colleges and University Planning. This involvement enabled the Univ. 3-HECEP to identify with and understand best practices about how a University's mission can be integrated into their academic plans. In the role of HECEP, the Univ. 3-HECEP is responsible for integrating the institution's mission into the

community engagement plans for the Center. In addition, although not related to the CCEC, the Univ. 3-HECEP spent many years doing similar work and gaining experience working directly with community non-profit organizations and developing young professionals. Each experience taught the Univ. 3-HECEP the importance of capitalizing on each opportunity or experience, and to take ownership for self-development. Moving into this current role, the Univ. 3-HECEP recognized that community engagement initiatives and teaching to support those initiatives cannot be standardized, but rather customized for each institution, hence the importance of ensuring a HECEP has previous experience working within the community.

*Univ. 3-HECEP's awareness of CCDF.* The Univ. 3-HECEP expressed a strong familiarity with the CCDF. The Univ. 3-HECEP perceives the element of curricular engagement as an area of strength for the institution. The focus of the institution's QEP is primarily on student learning outcomes, therefore, data reflecting programs, initiatives, curricular development/change, student progress, and the effectiveness of programs is constantly updated in the QEP. In addition, many of the institution's faculty, whether tenure or not, are involved in community education and development by facilitating workshops and conferences either through research or teaching service learning; these activities and the outcomes are also maintained and reflected in the QEP.

The element of institutional commitment is the one area that the Univ. 3-HECEP believes needs enhancing. As the leader, the Univ. 3-HECEP believes there is a need to make a stronger case to revisit the infrastructure of the Center in terms of resources, maintenance, and financial allocations to support and promote the work of the Center:

The answer may lie in getting to the executive table to have conversations about the institution's commitment to community engagement. It helps when we are all part of the same team and on the same level, but that can only happen when this office and this role become equivalent to that of a Provost.

However, the primary element of the CCDF that is of concern to the Univ. 3-HECEP, and needs improvement, is the area of data collection and analysis. The Univ. 3-HECEP expressed the need to clearly understand what data is needed and what data is not acceptable for CCEC purposes. With that information, the Univ. 3-HECEP will then be able to determine the best means of collecting and maintaining that data to ensure easy access to the relevant parties:

Additionally, as I mentioned before, we are thinking about a more effective data management system to capture existing data, and effectively capture new data from faculty, students, and staff, whether involved in community engagement activities on or off campus. There has to be a central, integrated system to house that data for easy analysis and reporting.

*Univ. 3-HECEP on talent management.* The Univ. 3-HECEP understood the concept of talent management to mean the processes and system used to manage and support the institution's personnel through their employment. According to the Univ. 3-HECEP, these support systems could range from hiring to developing and retaining employees. The Univ. 3-HECEP looks to the institution's human resources department

for guidance on managing internal talent and in identifying processes for supporting internal talent.

*The HECEP role in five years.* In envisioning the HECEP role in the next five years, the Univ. 3-HECEP reflects on the CCEC Documentation Framework, which is a tool designed to aid institutions in gathering and recording the institution's commitments and activities pertaining to community engagement. The Univ. 3-HECEP expects that the HECEP role will be clearly defined receiving institutional and regional recognition as being on the level of an Associate Provost, since the role would be involved in promoting research. At Univ. 3, the role would be an anchor in the institution, having access to executive leadership, sitting at the same tables and participating in conversations that build strategic partnerships:

If the CCEC is to make any headway, the institution would need to recognize that the Center needs to grow, and the HECEP role will need to be expanded. In five years, the focus of this role and the Center will be less on the administrative functions and focused on broader functions that would require the integration of many institutional systems. The work involved in community engagement should not be left to one person or one unit or department. I see both vertical and horizontal integration. I emphasize horizontal integration because this office and the HECEP role must interact with the executives in order to capture and recognize the full extent of our engagement activities.

***Univ. 3 institutional case summary.*** The findings in this case reveal that Univ. 3 does not use succession planning as a talent management strategy for the HECEP role,



and therefore does not have a succession plan for the HECEP role. The institution is focused on investing in the development of their employees as evidenced by the internal and external opportunities available to staff. Although Univ. 3 offers internal professional development opportunities to all employees, however, these opportunities are not offered in support of the HECEP role or the CCEC designation. Internal professional development opportunities related to community engagement are offered to employees who work in faculty roles and student affairs personnel to enable them to support the service learning of the students.

Univ. 3 also supports and offers external professional development opportunities for employees and specifically for Univ. 3-HECEP and engagement unit, in support of enhancing skills and knowledge relative to the CCEC and the CCEC assessment processes. The Univ. 3-HECEP is aware of, and has participated in, external professional developments programs, one of which is the EAUL, a program that is used as a case study in this research. The Univ. 3-HECEP's perceived requisite qualifications for a HECEP to lead an institution to be successful in earning the CCEC include institutional knowledge, research techniques and service learning techniques, and the ability to be strategic and resourceful. A full listing of the Univ. 3-HECEP's perceived qualifications for the HECEP role are outlined in Table 9.

#### **Univ. 4 case analysis.**

***Primary research question 1: What is the demographic profile of each of the selected study institutions having attained the CCEC designation in 2010?***

*Univ. 4 case demographics.* Univ. 4 earned the CCEC during the 2010 assessments by the Carnegie Foundation. The Univ. 4-HECEP has an earned doctorate in

special education and school psychology. The Univ. 4-HECEP is responsible for facilitating and coordinating community and civic engagement initiatives, and for directing the CCEC assessments for Univ. 4 in the role of Director of the Center. The Univ. 4-HECEP has been in this role for close to six years, but has served Univ. 4 for more than 21 years in various capacities. In addition to the current role, the Univ. 4-HECEP also serves as Dean, College of Education, and Professor, College of Education and College of Arts and Sciences. The Univ. 4-HECEP has a background and a long history of community service ranging from social service organizations to non-profit agencies.

***Primary research question 2: What succession planning strategies do higher education institutions use relative to the newly established HECEP role and/or unit?***

*Univ. 4-HECEP on succession planning for the HECEP role.* In terms of a definition of succession planning, the researcher asked the Univ. 4-HECEP to describe how the institution defines succession planning. The Univ. 4-HECEP explained that Univ. 4 does not have a formal definition of succession planning or defined succession planning programs. The Univ. 4-HECEP went on to note, however, that each administrative unit is advised to prepare a subordinate, whom is able to assume the duties of the leadership person on an interim or permanent basis, should a leadership change occur. The Univ. 4-HECEP explained, “this is voluntary, not mandatory. Now for my unit, it is about having in place a transition plan not just for the leadership position, but a plan for continuing the civic engagement activities of the unit.” Although Univ. 4 does not define succession planning, the Univ. 4-HECEP shared that succession planning “is

about identifying and developing people to assume higher positions of leadership when positions become vacant either because people leave, retire, or get fired.”

Although the Univ. 4-HECEP does not believe that succession planning for the HECEP role is a bad idea, the Univ. 4-HECEP expressed concern that if the program and processes involved are not well thought-out or systematic, it may appear that individuals are forced into positions:

People should be willing to assume roles and have interest in roles, hence, the importance of a systematic process that is transparent and allows for dialogue between employees and their leadership. Ultimately, institutions can lose good people if they are pushed in a direction of no interest to them, setting them up for failure.

The Univ. 4-HECEP believes that Univ. 4 would benefit from a succession planning program for the HECEP role and should consider implementing a formal succession planning program for the HECEP role. The Univ. 4-HECEP expressed that the institution would reap the benefits of having appropriate individual(s) trained and prepared by the Univ. 4-HECEP, to step into the role when needed. The Univ. 4-HECEP further believes that having the opportunity while still employed with the institution, to participate in the identification, selection, and the preparation of a successor would be an additional benefit to the institution, as it would be easy to transfer the institutional knowledge of this role. If given the opportunity, to prepare a successor, the Univ. 4-HECEP would like to be involved in the identification and selection of the successor and provide training, mentoring, coaching, internal, and external professional development

opportunities, along with other preparation activities to help ensure the effective transfer of institutional knowledge.

*Univ. 4-HECEP's perceived barriers to succession planning.* The Univ. 4-HECEP named the following as perceived barriers to succession planning for the HECEP role: (1) the constant shifting priorities of the institution's leadership; (2) sustaining civic engagement in the University's strategic plan and mission/vision statements; (3) the need to strengthen the commitment of academic units in terms of the value of community and civic engagement; and (4) identifying key faculty members to serve as leaders for service learning and engagement in academic programs and courses. In responding to the researcher's question in terms of eliminating the above perceived barriers, the Univ. 4-HECEP expressed:

If the leadership can commit to support the sustenance of engagement initiatives and promote the importance of community engagement, we are one step closer to a win. Then the challenge becomes how do we convince our leadership that civic engagement must be reflected in our strategic plan so we can sustain it in the mission and vision statements. I believe the gradual education of the faculty to the community engagement phenomena and encouraging them to recognize and participate in community engagement initiatives as scholarly endeavors, may help to mitigate these barriers.

*Univ. 4 on equal opportunity and affirmative action.* As it relates to the institution's stance on equal employment opportunity and affirmative action, the Univ. 4-HECEP indicated an unawareness of the level of involvement of the institution's

diversity representative in talent management processes. However, the Univ. 4-HECEP explained that Univ. 4 does have policies and programs that promote respect and fair treatment for all individuals. Univ. 4-HECEP went on to explain:

The institution holds its leaders, administrative supervisors, faculty, and student leadership responsible for ensuring any and all forms of misconduct, as it relates to allegations of discrimination or harassment, observed or perceived through any institutional process or system are reported to leadership immediately.

*Univ. 4. capture and transfer of institutional knowledge.* The Univ. 4-HECEP believes that the institution already has strategies in place to capture and transfer institutional knowledge. These strategies include maintaining detailed documentation of processes involved in carrying out activities and initiatives, developing and maintaining partnerships both internal and external, creating clear documentation of what the center does, and ensuring the annual reports accurately reflect the financial activity of the center. On the academic side, data from all courses is required that assure any form of civic or community engagement is captured. In addition, surveys administered to faculty, staff, and students concerning their personal or professional civic or community engagement activities or initiatives are also preserved. On the administrative side, the institution facilitates an exit interview process that should capture relevant information and insights that can be used to enhance community engagement activities and initiatives. The Univ. 4-HECEP believes that information captured from the above named sources can prove beneficial in the training and preparation of individual(s) to assume the HECEP role.

***Secondary research question 1: What professional development strategies do HEIs use as development opportunities for the HECEP role that may contribute to the institution earning the CCEC?***

*Univ. 4-HECEP on professional development for the HECEP role.* The Univ. 4-HECEP defined professional development as the opportunity to pursue enrichment of one's knowledge in areas of interest or in an amelioration of areas of weakness for the benefit of the individual and ultimately, the organization. According to the Univ. 4-HECEP, the institution's leadership demonstrates institutional commitment to the development of employees:

I think Univ. 4 is committed to the development of its employees. I see the employees as the greatest asset to the University and ultimately, its greatest expense. Making the investment in faculty and staff only ensures that we are equipped for what is needed today and prepared to meet any future challenges.

Although professional development opportunities exist, and there is an apparent commitment to leadership development in general and specifically for the HECEP role, Univ. 4-HECEP further offered:

Although all those development opportunities exist, I am seeing a lack of commitment to supporting upward mobility of internal individuals.

People who have been committed to their roles and the institutions are being overlooked for external candidates. I understand we need some new blood, but individuals go through the process of gaining education and

should be given a chance. Institution should make it a priority to help and provide opportunities to their internal human capital.

It was also shared by the Univ. 4-HECEP that Univ. 4 offers and facilitates internal professional development opportunities for faculty and staff, to include the sharing of experiences. At the Univ. 4, the majority of internal professional development opportunities are facilitated by the institution's Office of Human Resources that offers professional development programs specific to human resources processes and systems. However, according to the Univ. 4-HECEP, Univ. 4 does not offer professional development opportunities specifically for the HECEP, focused specifically on the CCEC, or on enhancing skills and knowledge relative to the CCEC designation and assessment processes. However, the Univ. 4-HECEP initiates developmental events to enhance the knowledge and assessment abilities related to the CCEC. Such events can include reaching out to CCEC consultants hired by the institution to assist with understanding how the institution can enhance documentation requirements for the CCEC to the general university community. In addition, the Univ. 4-HECEP initiates contact with other HECEPs, facilitating internal discussions about the CCEC and the assessments process and when possible, visiting other institutions to learn about their approaches to earning the CCEC designation.

The Univ. 4 also offers and supports external professional development opportunities for employees, specifically for the HECEP role. The Univ. 4-HECEP participated in the EAUL, when it was housed and hosted by Virginia Tech. The Univ. 4-HECEP shared the belief that program was beneficial because of the deliberate efforts

made by the program to ensure participants took time prior to the workshop to learn about their institution's community engagement goal.

In addition, as required by the program, participants were expected to complete defined pre-workshop tasks, one of which was to obtain documented support from the institution's leadership for facilitating the institution's CCEC documentation assessment requirements. Another element of the program which proved to be most beneficial according to the Univ. 4-HECEP, is that the participants had tangible and practical take-away at the end of the program, to include a detailed map of the course of actions moving forward to earning the CCEC designation:

I had the opportunity to attend the Engagement Academy for University Leaders. This program helped me to design my institution's plan for engagement and provided me with techniques to link our community engagement initiatives to our teaching, our research, and the mission and vision of Univ. 4. The program provided guidance on the documentation requirements of the CCEC and clarity to the role of the HECEP.

The Univ. 4-HECP believes that it is necessary for HEIs to focus on professional development opportunities for their HECEP:

The investment is essential, mainly because the crafts of community and civic engagement, although not new to higher education, they are still not viewed as scholarly. In addition, as it relates to the CCEC, the concept of community engagement and the role of the HECEP are still developing and professional development programs can contribute to enhancing the



knowledge base of those responsible for the CCEC requirements and related activities.

*Barriers to professional development.* The Univ. 4-HECEP shared the belief that the institution's engagement unit and the institution benefit greatly from professional development opportunities for the HECEP role and the Unit. However, according to the Univ. 4-HECEP, there are barriers, or perceived barriers, to executing a formal internal development program focused on the CCEC. These include: (1) lack of funding; (2) time constraints to participate in programs; (3) small percentage of the institution's population impacted by such programs; and, most importantly, (4) tenure and promotion concerns, which may be the first barrier that needs to be marginalized because faculty need to see community engagement being valued by top leadership.

As it relates to the perceived barriers to external professional development, the Univ. 4 shared the belief that the same barriers that were identified for internal professional opportunities also exist. However, the Univ. 4-HECEP included that knowledge of other reputable and credible professional development opportunities that could positively impact an institution's chances of earning the CCEC designation, was also an additional barrier. The Univ. 4-HECEP acknowledged that all of the named barriers could be eliminated by first establishing community engagement as an institutional priority.

***Secondary research question 2: What are the requisite qualifications in terms of knowledge, skills, abilities, professional experiences, and level of education for the HECEP role in order to lead institutions to attain the CCEC as perceived by the participating HECEPs and PDPR?***

*Requisite knowledge for the HECEP role.* The Univ. 4-HECEP expressed that because of the breadth and scope of the HECEP's role and the responsibilities that come with the role, it is of primary importance that a HECEP has the knowledge of good leadership and know how to help others develop into leaders. It is necessary for the HECEP to have knowledge of strategies that can be used to ensure effective management of the institution's community engagement initiatives. The importance of the HECEP having solid knowledge of how to establish and sustain relationships, and knowledge of various strategies for working with people, was also mentioned. The Univ. 4-HECEP also indicated that since this role is responsible for identifying, developing, and facilitating community engagement initiatives aligned with the institution's mission, it is vital for the HECEP to have a good knowledge base of the institution that can be used to promote the institution's community engagement initiatives.

*Requisite skills for the HECEP role.* The Univ. 4-HECEP expressed the belief that requisite skills for the HECEP role would include outstanding relationship building skills. According to the Univ. 4-HECEP:

Although knowledge is important, it is being skilled in relationship building, that is the key. Being skilled in identifying resources is another imperative, and in interacting with all levels of stakeholders. When leading or managing community engagement initiatives, one must deal with several processes, so the skill of managing processes is essential, whether is it the process of facilitating meetings or documenting or maintaining documentation, there have to be processes and the processes need to be followed. A HECEP has to be skilled in

getting buy-in from stakeholders, in building trust with key players and in consensus building

*Requisite abilities for the HECEP role.* The Univ. 4-HECEP went on to contend that a HECEP must have the ability to identify all community engagement activities currently facilitated by institutional constituents. Further, the Univ. 4-HECEP shared the belief that it is necessary for a HECEP to develop and maintain collaborative relationships with all the institution's stakeholders, and to obtain the necessary buy-in to effectively execute and enhance community engagement initiatives. The Univ.4-HECEP explained that it was crucial for someone in a HECEP role to understand the institution's vision in terms of community engagement and to also possess the ability to obtain support in fulfilling the Vision. The Univ. 4-HECEP further shared that a HECEP should be creative and resourceful in identifying strategies to effectively execute the vision.

*Preferred professional background for the HECEP role.* The Univ. 4-HECEP expressed that the professional abilities needed to be effective in leading an institution's community engagement initiatives include the ability to value engagement and understand that the concept is one that is reciprocal. For example, institutions use internal resources in the form of the knowledge and skills of their faculty and staff to contribute to the welfare of the community. That investment in the community can result in social and financial benefits to the community. The institution is also positioned to earn additional benefits such as those ranging from increased student enrollment, to increased opportunities for practical training and internships for students. In addition, the university community can potentially gain personal satisfaction from contributing to a

more productive society. Some additional requisite qualifications for the HECEP role include; (1) ability to align the institution's goals with those of the community, (2) maintaining loyalty to the institution and the community partnership, (3) earning respect and demonstrating respect to others, and (4) ability to communicate effectively.

*Education level for the HECEP role.* In terms of level of education qualifications for the HECEP role, the Univ. 4-HECEP noted that all educational degrees are helpful for a HECEP, and it is not necessary for a HECEP to have earned a doctorate. The Univ. 4-HECEP added that no specific discipline is better than another as all disciplines are helpful, thus the degree requirement should not be specific. The Univ. 4-HECEP also shared the belief that hiring authorities should place the focus on the individual person and their abilities. However, the Univ. 4-HECEP did offer that someone with an education background in politics, administration, or public administration would be successful in a HECEP role. The Univ. 4-HECEP suggested that an individual with work experience in communities, non-profit organizations or groups, or with grass roots projects and programs might be best suited to fill a HECEP role. According to the Univ. 4-HECEP, such experiences are likely help the HECEP in understanding what engagement means to the community. Along these lines, the Univ. 4-HECEP pointed out that one of the most difficult tasks in this role is to gain and sustain the respect for the community or groups.

*Univ. 4-HECEP's experiences and training in preparation for the HECEP role.* The Univ. 4-HECEP spoke to personal experiences in leading a team at a psychiatric hospital as one opportunity of training that has prepared him to lead community engagement initiatives. The main objective of the role with the hospital was to bring

dignity and respect to the patients and the hospital. With a solid team as support, change was realized, the climate in the hospital changed from one of a “warehouse view” to one of dignity and respect:

I needed to retrain staff, from the lowest employee to the highest ranking employee, in order to change their mindset. I was able to gain accreditation for the hospital. This was an opportunity to help people and enable them to see the value of others.

*Univ. 4-HECEP awareness of CCDF.* As it pertains to facilitating the institutional initiatives and the assessment processes for the CCEC designation, the Univ. 4-HECEP was not familiar with the CCDF. However, after reviewing a copy of the CCDF provided by the researcher, the Univ. 4-HECEP was able to respond to questions related to the CCDF. In responding to the element of the documentation framework that appears to be an area of strength, the Univ. 4-HECEP expressed that articulating and providing documented evidence that the institution’s identity and culture are reflected in its mission/vision statement as one area of strength. For example, community engagement is emphasized in the institution’s marketing materials (there is a web page dedicated to the institution’s community engagement initiatives), and the institution’s leadership actively promotes community engagement activities and initiatives through town hall meetings and campus communication via the External Affairs division.

As it relates to the element(s) of the documentation framework that may pose a challenge, the Univ. 4-HECEP expressed that the institution needs to identify a more effective systems to capture engagement activities throughout the institution:

I realize it is important to identify more than one way to track this activity.

We want to sustain our engagement activities, so we must understand where we are placing our efforts. We need a web-based system that could be accessed by specific individuals for maintenance and reporting. Also, there will need to be policies in place for managing this system and dedicated resources.

*Univ. 4-HECEP on talent management.* The Univ. 4-HECEP described talent management as referring to the processes used to support the university's business needs as it relates to the university's employees, "These processes could include the how and the when individuals are hired, the positions they are hired for, the way they are paid, developed, retained, and or separated. Such a system warrants that hiring diversity is ensured."

*The HECEP role in five years.* The researcher asked the Univ. 4-HECEP how he envisages the HECEP role in the next five (5) years. The Univ. 4-HECEP responded by explaining that as the concept of community engagement develops and institutions become creative with their initiatives, there is potential that the HECEP role can become complicated. Curriculum in community engagement can involve many facets, with the most effective being face-to-face interactions:

Although technology continues to expand in academia, infusing the real time community engagement interactions in online learning will continue to be a challenge. While on-campus classes are able to accommodate in-person visits from community representatives or activists, which can

contribute to enhancing the interpersonal skills of students, those participating in online classes may not reap that benefit.

***Univ. 4 institutional case summary.*** The result of the data analysis in this case reveals that Univ. 4 does not have a definition of succession planning nor does it have a succession planning program in place for the Univ. 4-HECEP. However, professional development strategies, some formal and some informal, are being used as development opportunities by the current HECEP.

Although a succession plan for the role does not exist, the Univ. 4-HECEP has established internal strategies to capture and transfer institutional knowledge, for example, the engagement unit maintains detailed information of all initiatives, ensuring that the financial records accurately reflect the financial activity of the engagement center. In addition, the academic units capture and maintain data from all civic or community engagement courses, which is transferred to the engagement center on a monthly basis. In addition, the engagement center has a database that maintains records of the engagement activity by faculty, staff, and students. The human resources office also facilitates exit interviews that may provide relevant information.

Univ. 4 is committed to employee learning and development, and therefore invests in professional development opportunities for employees. Specific to the HECEP role, the data reflects that the institution offers and supports development opportunities for the Univ. 4-HECEP, some of which may be general programs and some are directly tied to the CCEC and are opportunities to enhance the knowledge, skills, and experiences of the HECEP. The findings of this case also provided insight in answering the second secondary research question of the perceived requisite qualifications for a HECEP in

order to lead an institution toward earning the CCEC designation. This information is presented in detail in the cross-case analysis section of the findings.

**PDPR case analysis.** For purposes of this final case, and for purposes of this study, the program representative of the EAUL, located at Virginia Tech University, was identified and will be referred to as the Professional Development Program Representative (PDPR). This PDPR carries two titles, i.e., Professor in the Adult Education Program, in the Department of Lifelong Education, Administration, & Policy, and with the College of Education at the University of Georgia. The PDPR is also the Program Coordinator for the EAUL. In this role, the PDPR is responsible for coordinating and facilitating the program curricula for the EAUL, and for providing support to program participants.

The experience of the PDPR spans from educational and institutional change processes that help to promote and institutionalize community engagement, to restructuring principles used to delineate faculty scholarship. Many HEIs have had the opportunity to benefit from the PDPR's guidance and knowledge in developing and implementing community engagement initiatives and the assessment requirements for the CCEC. The leadership of the EAUL identified the PDPR as its subject matter expert who was deemed most appropriate to represent the program and to participate in this study.

***Primary research question 2: What succession planning strategies do higher education institutions use relative to the newly established HECEP role and/or unit?***

*Succession planning for the HECEP role: PDPR perspective.* The PDPR indicated that the EAUL does not define succession planning for the HECEP, though the PDPR also shared that the EAUL is concerned about succession planning for the HECEP



role. Further, there are a number of unique skills and knowledge areas that are needed for this role. As such, an intentional systematic plan is needed, not just in terms of specific tasks, but for the more general role of a HECEP as an integrated part of faculty, academic staff, and administrator assignments. The PDPR explained that, “although not presented as succession planning, the idea of having institutional teams attend the workshop is really intended to build combined institutional knowledge and sustainability and for building capacity for aspirations.”

***Secondary research question 1: What professional development strategies do HEIs use as development opportunities for the HECEP role that may contribute to the institution earning the CCEC?***

*Professional development for the HECEP role: PDPR perspective.* The PDPR explained that professional development is defined by the EAUL within the auspices of the university's goals and the assessment expectations of the CCEC requirements. The PDPR indicated that professional development is explicitly needed for HECEPs and all institutional leaders, including vice presidents, deans, directors, faculty leaders, service leaders, even the Board of Regents, and staff who are in positions that support the institution's community engagement initiatives. The PDPR further expressed that participants may represent the areas of academic affairs, various colleges or departments, student affairs, institutional advancement, and/or engagement and outreach as long as they are in roles that impact the institution's engagement initiative. The PDPR indicated a belief that institutions should focus on professional development in order to facilitate a better understanding of community engagement, the CCEC requirements, and to support the work of HECEPs and their team. The PDPR also indicated a recognition that some

institutions are engaged in distributed leadership, and therefore, it is that much more important for those leaders to participate in professional development opportunities. When asked to explain the criteria used to determine eligible program participants, the PDPR stated:

We look at the positions individuals are in and ask the question: are these positions that remotely touch on engagement? For participation in the EAUL, the department represented is not significant, but the work being done is what we take into consideration. As I said before, the position level does not matter, as long as the individual in the role is somehow related or impacts their institution's engagement activities.

As the PDPR explained, to help the EAUL in determining if recommendations made by EAUL are implemented by the HECEP upon return to the respective institution, the EAUL facilitates evaluations immediately following programs participation, followed by an IRB-approved longitudinal research study to determine institutional and individual change. In addition, in order to evaluate the effectiveness of EAUL programs, each participants' knowledge and skills are assessed prior to and after program participation. Program participants are expected to complete specifically assigned pre-work, part of which includes an institutional assessment using the Holland Matrix for Institutionalization created by Dr. Barbara A. Holland. This instrument is used to measure institutional factors related to the mission. Some of these factors include institutional leadership, organization structure and funding, student involvement and curriculum, faculty and community involvement impact, and outcomes of engagement activities (Bane, Crawford, & Furco, 2013). The EAUL conducts follow-up research

with each participant to determine progress and impacts of the implementation; the post assessment is done as part of the follow-up research.

*Professional development program: EAUL.* The PDPR indicated that there are a variety of professional development programs for individuals in the HECEP role that can aid institutions in earning the CCEC designation. Some of these professional development programs include:

- Preparing for the CCEC
- Monitoring and measuring community engagement
- EAUL
- Engaging your university in regional economic development
- Fundraising for engagement

Of all the programs identified, the PDPR shared the belief that due to the scope of the impact by the program, the EAUL contributes directly to the development of individuals in the HECEP role and serves as a good resource for individuals interested in assuming a HECEP role. The EAUL is a national program established in 2008 as a professional development initiative. It is designed for institutional leaders and teams tasked with developing collaborative community engagement initiatives and enhancing their institution's community engagement practices. The EAUL, which is currently part of Continuing and Professional Education at Virginia Polytechnic Institute and State University (Virginia Tech), is endorsed by AASCU, APLU, Campus Compact, CCPH, CUMU, and NERCHE and has received awards for its innovation and quality.

The PDPR noted that the EAUL provides participants with an understanding of institutional elements that impact embedding community engagement in the institution's

culture, and tools and resources that help them learn how to develop and enrich the scope of community engagement. Program participants are encouraged to attend this five-day program as institutional teams that may include all levels of employees who work directly with supporting the institution's engagement initiatives. The goal of the program is to prepare participants with critical knowledge to enable them to communicate a community engagement plan tailored specifically for the institution's engagement and community partnerships and that is aligned with the institution's strategic plan. Some attractive features of the program include facilitation by and interaction with internationally recognized Faculty; opportunities for peer networking; analyzing institutional case studies; individual coaching and consultation sessions; and access to the latest research, models, and strategies in community engagement.

The PDPR explained that the program delivery is in two phases. First, prior to attending the program, teams or program participants are to meet with their institution's leader or designee to assess the status of the institution's community engagement plan and to establish a timeline for implementation. In addition, participants are required to review material from online learning modules designed to provide an essential understanding of foundational definitions and concepts pertaining to such topics as community engagement; community engaged teaching and learning; and community engaged in research. Second, while at the EAUL, participants have the opportunity to participate in-person classroom sessions, individual coaching, consultation sessions with recognized faculty, and opportunities to acquire action-planning tips, tools, and techniques to develop their institution's community engagement plan. The program competencies are: understanding the landscape of higher education, defining community

engagement and the different aspects, managing change, strategic operations, and resource development of community engagement, and measuring and monitoring community engagement. In addition, the participants receive feedback about their plans and current and future initiatives. The expected outcome is that by the end of the program, participants will have identified goals, timelines, strategies, intended outcomes, and the individuals within their institution who may be tasked with implementation of the plan.

Upon completion at the EAUL teams are expected to return to their institutions with a well-developed plan of action and with well thought out tips on implementing the plan that includes a communication strategy as a means of sharing what they have learned from participation in the EAUL, with their institution. In addition to program participation, the EAUL offers support in obtaining grants to support engagement programs and offers coaching to the institution's submission team during the processing of the actual application to Carnegie.

***Secondary research question 2: What are the requisite qualifications in terms of knowledge, skills, abilities, professional experiences, and level of education for the HECEP role in order to lead institutions to attain the CCEC as perceived by the participating HECEPs and PDPR?***

*Requisite qualifications for the HECEP role: PDPR perspective.*

*Perceived HECEP requisite knowledge.* The PDPR indicated that a HECEP should possess a deep conceptual and operational knowledge and understanding of community engagement combined with a clear understanding of change management:

The nature of community engagement requires the HECEP to understand research as it relates to piping into the needs of communities and the CCEC. Which means there has to be a high level of commitment to the institution's goals for engagement; commitment not only to the engagement initiatives, but commitment to the institution as well as the community. The HECEP must know their institution; must understand the history or have been part of the history to whatever extent; know why community engagement is integral to living out the mission of the institution and how it impacts the institution on the whole. In addition, dealing with change and getting people to follow someone could be a challenge, which is why it is important to know how to manage the necessary changes and get everyone on board.

Further, according to the PDPR, a HECEP would benefit from having knowledge of the history of higher education and of the landscape of higher education. The PDPR shared the belief that such knowledge provides a foundation to understanding how higher education operates and why community is an integral aspect of higher education. An understanding of community engagement as it relates to the CCEC and knowledge of the community(ies) served, will help with determining implementation strategies. It is important for the HECEP to know the needs of the community in relation to what the institution can provide:

There has to be broad knowledge of scholarship, which is making knowledge either about, or for, or with diverse communities. Knowledge also of action research; this is the kind of research to solve immediate

problems in the community, so there again the need for knowing the community and the community's needs is critical. Now, being able to do this would take someone who has been, or is active in community work, or service learning, or expressions of engagement.

The PDPR emphasized that community engagement and the CCEC are still new to HEIs therefore, institutions can expect that there will be a need to change existing processes and practices. Institutions will need to develop new ways of thinking, as there will be a need to create and implement new processes to support the changes. It is important for the HECEP to have knowledge of change management in order to effectively support and facilitate the transition. For there to be a successful transition in the way engagement is managed, and to ensure successful attainment of that classification, there has to be thoughtful planning and implementation processes. In managing change, the HECEP must be flexible and adaptable and understand the importance of expecting and responding to changes, while guiding the institution through the transition of community engagement. There is a need to be able to bring together the multiple internal and external stakeholders, all with competing priorities, and challenging schedules. Thus, it is necessary for the HECEP to have the ability to be flexible in responding to whatever priorities and challenges that emerge, to get all stakeholders on board and involved in the processes, and to support those processes.

According to the PDPR, understanding the history of community engagement and the concepts of community engagement is also important so that institutions do not repeat the problem of the past. Knowledge of the global perspectives of community engagement will help in developing innovation initiatives. The HECEP must know and

understand the key players, the internal and external stakeholders, and must have experience in interacting with both groups, especially with outside stakeholders:

The HECEP must have knowledge of the resources available and how to access those resources therefore, knowledge of all stakeholders is critical, knowledge of what the institution is doing relative to engagement is important, and knowledge of the institution's mission is important.

*Perceived HECEP requisite skills.* The PDPR expressed that although the skills needed for this role are unique; there are additional general skills necessary that a HECEP should possess to enable him/her to effectively lead an institution's community engagement initiatives. Possessing superior communication skills is important because anyone in the HECEP role has to be able to speak the language of the university and the community and be able to translate between these two entities. The experience of having successfully worked within diverse groups and within various disciplines is also needed. The PDPR expressed the importance of having a HECEP who is skilled at thinking strategically:

Having the skill to think in an integrated way and not just think strategically is essential. The ability to see the big picture of the institution or the community and understand how all the stakeholders can interact for the better good of the community; and skilled in knowing how to integrate across all stakeholders including faculty, staff, administrators, community leaders, religious, political and social leaders is equally important. Since there is the possibility that many stakeholders could be involved in the institution's community engagement initiatives, a HECEP



skilled with the ability and tact to maneuver the political forces becomes important; not just the politics of politics, but also, the politics within the entities, is crucial to the success of a HECEP.

This involves understanding, identifying, predicting, responding, and adapting to opportunities and challenges confronting them (Pisapia, 2006).

*Perceived HECEP requisite abilities.* In identifying the requisite abilities of a HECEP, the PDPR shared the belief that a key ability of a HECEP is to integrate and articulate community engagement within the institution's priorities, not just for the local community, but "beyond the walls of the institution." The PDPR also expressed that it is critical for a HECEP to have the ability to be legitimate, because people recognize when they are not taken seriously or when there is no genuine concern. According to the PDPR, "in the process of providing services to communities, people are involved, and they need to know that the entities working with them truly care about their conditions and want to improve the conditions." The PDPR further expressed that a HECEP must be excited about what he or she is doing to be able to grasp the attention of others, "and draw in the troops," which makes it necessary for the HECEP to have an external and internal presence with the ability to be persistent in achieving an engaged institution.

*Preferred professional background for the HECEP role.* The researcher asked the PDPR to identify the professional background(s) believed best suited for a HECEP to have in order to be effective at leading an institution's community engagement initiatives:

I have a strong bias for those who have served in broad roles. What I mean is that there has to be experience in the workings of the related communities; experience in interacting with internal and external

stakeholders. The HECEP needs to be someone who has been a leader either in the community or in the institution. I would think experience in the private sector would be challenging to transfer to such a role, but leadership background in a public or non-profit sector would be fine. Now, on the level of research, having the experience of doing research on any level in the community to determine the needs and realities of the community, and how the institution can make an impact is also vital. So, experience working or just being active in communities is important. This role in institutions has to be able to relate to and translate the needs of the community.

*Perceived education level for a HECEP.* In terms of the level of education and background of the HECEP, the PDPR stated that it is important that the HECEP be one with internal and external status, rank, and resources comparable to that of a dean and or vice president:

I do not necessarily believe that a PhD is the absolute, but it definitely helps with gaining respect. Someone with a doctorate is more likely to gain the respect and buy-in from internal and external stakeholders and from the community in general, than someone without a doctorate. Respect makes it easier to obtain resources to activate institutional plans.

***PDPR case summary.*** EAUL is a nationally recognized professional development program opportunity for institutional representatives who are involved in community engagement within their institutions. This professional development opportunity is one of several partnerships with the Carnegie Foundation offering

professional development for institutions aspiring for the CCEC designation. Housed at Virginia Tech, it is also one of several programs offered by the university's Continuing Education Department. The EAUL is coordinated and facilitated by a professor from the University of Georgia, i.e., the PDPR, who is also affiliated with the Carnegie Foundation and the CCEC, and thus, for the purpose of this study, the PDPR is considered an expert judge.

The PDPR explained that the techniques used to structure the program provide institutional representatives with the opportunity to participate as an institutional team. Therefore, the program structure allows participants to gain a foundational understanding of community engagement relative to their specific institutions; this is achieved through the pre and post work required of participants. Prior to attending the program, participants must be in touch with their institutional leader in order to obtain or clarify the institution's vision and goals of community engagement, and understand the leadership's expectations of the community engagement initiatives. Upon completion of the program, participants return to their institutions with a comprehensive road map to earning the CCEC designation. The PDPR is assured that the EAUL offers substantial and applicable information that ensures that the participants are fully equipped with the necessary knowledge, skills, and abilities to successfully transfer the experience gained to the institutions to earn the CCEC.

Although the EAUL does not define succession planning relative to the HECEP role, the concept of encouraging institutional teams to participate in the program helps in building and sustaining institutional knowledge and collective aspirations. The PDPR proffered that that a HECEP should be knowledgeable of their internal and external

constitutions. Further, the HECEP should possess a mastery of strategic thinking, complex decision-making and effective interpersonal skills. In addition, the ability to effectively lead and work with diverse groups is essential to the requisite qualifications of a HECEP. The PDPR does not perceive that possessing a doctorate is required for the HECEP role, but believes that the doctorate provides a mechanism for earning respect and buy-in from all levels of constitutions. The requisite qualifications as perceived by the PDPR are presented in more detail in the cross-case analysis section of the findings.

Although the PDPR is confident that the EAUL provides the needed support to earn the CCEC, the PDPR shared that it remains the responsibility of each institution to independently define community engagement in terms of their strategic goals. In addition, institutions must determine the applicable programs and initiatives needed relative to their fundamental definition of community engagement. It is also the institution's responsibility to ensure the necessary processes, systems, and resources are in place to support its community engagement program.

### **Cross-case Findings**

For purposes of this exploratory multiple case study, this section presents a synthesis of the findings from the cross-case analysis of the five study cases. The findings respond to the study's research questions. In addition, the themes based on the analysis of the data also contribute to the synthesis presentation.

**Primary Research Question 1: What is the demographic profile of each of the selected study institutions having attained the CCEC designation in 2010?**

*Study sites' profiles.* Four of the five case-study sites, for purposes of this study, represent HEIs having attained the CCEC designation in 2010 (Univ. 1, Univ. 2, Univ. 3 and Univ. 4). The four sample institutions that participated in this study are characterized as 4-year institutions, three of which are public and one private. At the time of the study, and according to the Carnegie Foundation all-inclusive classifications, these four institutions were classified as follows: two Research Universities with high research activity (RU/H); one University with Basic Master's large programs (B/ML); and one University with Basic Master's medium size programs (B/MM). Three of these four study institutions are classified as public institutions, and one is classified as a private institution. Table 4 provides an overview of the sample institutions and reflects that the four case-study institutions are located in the Southeast region of the U.S.

Table 4

*Study Sites' Profiles*

| Characteristic   | Univ.<br>1 | Univ.<br>2 | Univ.<br>3 | Univ.<br>4 |
|--|------------|------------|------------|------------|
| Public   | X          |            | X          | X          |
| Private  |            | X          |            |            |
| Level  |            |            |            |            |
| 4-year or above  | X          | X          | X          | X          |
| 2-year   |            |            |            |            |
| Classification   |            |            |            |            |
| RU/H (Research Universities with high research activity) | X          | X          |            |            |
| B/ML (Basic Master's [large programs])                   |            |            | X          |            |
| B/MM (Basic Master's [medium size programs])             |            |            |            | X          |
| CCEC   | X          | X          | X          | X          |
| Infrastructure   |            |            |            |            |
| Office   | X          |            |            |            |
| Center   |            | X          | X          | X          |

***Study participants' profiles.*** Data from the participants' survey responses are represented in Table 5 and reveal that all study participants are senior-level administrators within their respective study site. Further, with the exception of one of the study participants, the remaining four study participants carry two official job titles; one of which is a faculty title. Data from Table 5 further reveal that the job titles for the participating HECEPs relative to community engagement and the CCEC vary. For example, whereas one HECEP carries the title of vice president, two HECEPs carry the title of director, and the fourth HECEP carries the title of executive director. Table 5 also

reflects the collective demographic information of study participants, which was extracted from part 1 of each of the participant’s survey responses.

Table 5

*Study Participants’ Profiles*

| Institution | Job Title                 | 2nd Official Job      | Degree | Discipline or Field of Degree         | Yrs. of Service | Yrs. in Current position | Yrs. of Experience |
|-------------|---------------------------|-----------------------|--------|---------------------------------------|-----------------|--------------------------|--------------------|
| HEI         |                           |                       |        |                                       |                 |                          |                    |
| Univ. 1     | Vice President Office     | Professor             | PhD    | Technology Electrical Engineering     | 16-19           | 1-6                      | 1-6                |
| Univ. 2     | Executive Director Office | None                  | EdD    | Education                             | >25             | 1-6                      | 6-10               |
| Univ. 3     | Director Center           | Faculty Administrator | PhD    | Religion & Education                  | 1-6             | 1-6                      | 21-15              |
| Univ. 4     | Director Center           | Dean                  | EdD    | Special Education & School Psychology | 1-6             | 1-6                      | 16-21              |
| Program     |                           |                       |        |                                       |                 |                          |                    |
| PDP         | Professor                 | Program Coordinator   | PhD    | Education Adult & Higher Education    | 11-15           | 6-10                     | 6-10               |

The PDPR was one of two of the study participants with 6–10 years of related work experience. The Univ. 3-HECEP had almost 25 years of related experience at the time the HECEP interviews were conducted. Data from the interview portion of the data collection helped in determining that the extensive years in public and political service by the Univ. 3-HECEP, contributed to the years of related work experience. Further, data from the interview with the PDPR reveals that 6–10 years of related work experience can

be attributed to time spent in service conducting research and working with the Carnegie Foundation on devising the CCEC and the applicable requirements. Additionally, whereas only one HECEP's role was found to be at the level of a vice president, the other three HECEPs' roles were at a level equivalent to a director. This observation is in line with one Univ.-HECEP's call for a change in the classification of the HECEP role to the level of a vice president or provost.

Table 5 further reflects the majority of study participants that had served their employer for relatively long periods, ranging from 11–25 years; with the exception of Univ. 3-HECEP who has shortest period of service, in the range of 1–6 years. The institutional HECEPs had each served in their community engagement related role between 1–6 years at the time of the study interviews. The PDPR had served in the community engagement related role within the 6–10 year range. The analysis reveals that the HECEPs of Univ. 2, Univ. 3, and Univ. 4 began serving in their community engagement related role either prior to or during the 2010 CCEC assessment. It would appear that these HECEPs were instrumental in their respective institutions successfully earning CCEC in 2010, whereas Univ. 1-HECEP assumed the role in 2012, after the 2010 assessment period. Nevertheless, regardless of their years of service, or years in their community engagement related role, the analysis reveals that all of the study participants have more than five years of related work experience.

The data analysis reveals that across all cases, all study participants had earned a doctoral degree, however, three of the five study participants (two HECEPs and the PDPR) earned a PhD whereas, two of the study participants had earned an EdD. The field of the degrees varied across disciplines. Although all of the study participants have



earned doctoral degrees, the academic background of the study participants varies considerably. One of the five study participants had an academic background in technology and four had academic backgrounds in education. Among the latter, the disciplines varied and are represented as adult education, special education, and early childhood education.

Data from the Table 5 reveal that how the institutional study sites refer to the infrastructure that houses the administrative functions of their community engagement initiatives varied. For example, two of the four study institutions referred to their infrastructure as an “office,” while the other two institutional study sites referred to their infrastructure as a “center.” The CCDF indicates that the infrastructure established to house institutions’ community engagement initiatives can be referred to as a center or an office. However, one study participant was adamant in suggesting that the infrastructure should be referred to as “Office of Engagement” and not a center, implying that reference to the infrastructure as a center diminishes the work being done. Further, the data reveals that the community engagement infrastructure for the four study institutions reports to their respective institution’s academic affairs unit.

***Study sites’ mission and vision statements.*** The study sites were accessed via the Internet, and their mission and vision statements were extracted. The purpose of this analysis was to determine, if as required by the CCDF, the study institutions indicate in their mission and/or vision statements that community engagement is an institutional priority.

Those mission and vision statements were analyzed and key phrases were identified based on the definition and the purpose of community engagement, as

presented by the Carnegie Foundation. Table 6 reflects the key phrases that were derived from the initial analysis.

Table 6

*Study Sites' Mission/Vision Statement Phrases*

| Key Phrases  | Vision Statement                   | Mission Statement                  |
|--|------------------------------------|------------------------------------|
| Community Engagement Defined   |                                    |                                    |
| Collaboration  | Univ. 1 Univ. 3                    | Univ. 1 Univ. 2<br>Univ. 3 Univ. 4 |
| Between institutions and their larger communities (local, regional/state, national, global)                                | Univ. 3 Univ. 4                    | Univ. 1 Univ. 2                    |
| For the mutual benefits  | Univ. 3 Univ. 4                    | Univ.2                             |
| Exchange of knowledge and resources  | Univ. 1 Univ. 3                    | Univ. 3 Univ. 4                    |
| Partnership and reciprocity  | Univ. 1 Univ. 4                    | Univ. 2 Univ. 3<br>Univ. 4         |
| Purpose of Community Engagement  |                                    |                                    |
| Partnership of college and university knowledge and resources with those of the public and private sectors                 | Univ. 2 Univ. 3                    | Univ. 2 Univ. 4                    |
| Enrich scholarship   | Univ. 1 Univ. 2<br>Univ. 3 Univ. 4 | Univ. 1 Univ. 2                    |
| Research   | Univ. 1 Univ. 2                    | Univ. 1 Univ. 2<br>Univ. 4         |
| Enhance curriculum   | Univ. 1 Univ. 2<br>Univ. 3         | Univ. 1 Univ. 2                    |
| Teaching and learning  | Univ. 1 Univ. 2<br>Univ. 3         | Univ. 1 Univ. 2                    |
| Prepare educated, engaged citizens   | Univ. 4                            | Univ. 1 Univ. 3                    |
| Strengthen democratic values and civic responsibility; address critical societal issues; and contribute to the public good | Univ.2 Univ. 4                     | Univ. 2 Univ. 3                    |

The finding revealed that the word “collaboration” was emphasized the most in the mission statement of all the study institutions. “Partnerships and reciprocity,” and “research” were reflected in three of the four study institutions. The phrases “enrich scholarship,” “enhance curriculum,” and “teaching and learning” were also reflected in three of the four vision statements of the study institutions.

Further analysis of the key phrases which were generated from the analysis of the mission and vision statements of the study sites, identified three main themes/functions: (1) to provide instruction, (2) perform research that discovers, and (3) serve the public. Following the identification of these functions, sentences and phrases in the mission and vision statements of the study institutions were then grouped under the themes/functions. Table 7 reflects the grouping of the identified themes within the phases/functions.

Table 7

*Study Sites' Mission/Vision Statements' Themes/Functions*

| Themes   | Provides Instruction | To Perform Research that Discovers | To Serve the Public |
|--|----------------------|------------------------------------|---------------------|
| Collaboration  | X                    | X                                  | X                   |
| Between institutions and their larger communities (local, regional/state, national, global)                                |                      |                                    | X                   |
| Between institutions and their larger communities (local, regional/state, national, global)                                |                      |                                    |                     |
| For the mutual benefits  |                      | X                                  |                     |
| Exchange of knowledge and resources  |                      |                                    | X                   |
| Partnership and reciprocity  |                      |                                    |                     |
| Purpose of Community Engagement  |                      |                                    | X                   |
| Partnership of college and university knowledge and resources with those of the public and private sectors                 | X                    | X                                  |                     |
| Enrich scholarship   |                      | X                                  |                     |
| Research   | X                    | X                                  |                     |
| Enhance curriculum   | X                    | X                                  |                     |
| Teaching and learning  |                      |                                    | X                   |
| Prepare educated, engaged citizens   |                      |                                    | X                   |
| Strengthen democratic values and civic responsibility; address critical societal issues; and contribute to the public good | X                    | X                                  | X                   |

The findings of this data analysis revealed that the study institutions place strong emphasis on the function “to perform research that discovers,” followed by the function “to serve the public.” Based on the analysis and the findings it can be determined that the institutions which participated in this study have effectively demonstrated that concepts

of community engagement are defined within their respective institution's mission and/or vision statements.

**Primary research question 2: What succession planning strategies do higher education institutions use relative to the newly established HECEP role and/or unit?**

*Succession planning for the HECEP role.* HECEPs were asked to explain how their institution defined succession planning in general or specific to the HECEP role. Results of the data analysis revealed that none of the HECEPs provided an institutional definition of succession planning. Further, none of the four institutions have a succession planning policy, or succession planning processes, in general, or specifically for the HECEP role. This could be a result of the HECEP role being relatively new and is still emerging in HEIs. However, each HECEP provided their independent definition of succession planning relative to the HECEP role. The Univ. 1-HECEP presented succession planning as transitioning; specifically preparing the next generation of HECEP leaders.

The Univ. 2-HECEP offered that succession planning for the HECEP role is focused on providing a historical context of community engagement for future planning by ensuring some form of continuity of related activities, reports, and community engagement initiatives. The Univ. 3-HECEP defined succession planning as the intentional preparation for leadership change due to crisis, or in anticipation of leadership change. The Univ. 4-HECEP expressed succession planning as having a transition plan, not just for the HECEP role, but also for continuing the engagement activities of the unit. The PDPR proffered that succession planning for the HECEP role is about developing the current HECEP or preparing someone to assume the HECEP role. The PDPR went on to

contend that succession planning is, “working within an intentional and systematic plan that incorporates service learning and public service roles, combined with targeted professional development programs that enhance employees’ knowledge and skills.”

Study participants widely agreed that institutions should consider implementing a succession planning program and/or succession planning strategies for the HECEP role. The participants shared that, in the least, institutions should support and offer professional development opportunities specifically for the HECEP role and or engagement unit.

Some reasons for suggesting HEIs consider implementing a succession planning program for HECEPs included the potential high costs associated with employee turnover (which involves the sometimes complicated and drawn-out hiring processes), the possible loss of productivity, and the loss of institutional knowledge and memory. In addition, participants indicated that the time and effort which can be expended in developing internal and external relationships, earning the trust of internal and external stakeholders, and learning the institution’s culture and processes, were also some of the reasons for HEI to consider implementing a succession planning program for HECEPs.

The cross-case analysis of the data reflects that the majority of the study participants appear to have positive attitudes towards succession planning for the HECEP role. Four of the five study participants perceived the need for HEIs to engage in succession planning for the HECEP role, with only one study participant indicating there was no need for institutions to engage in succession planning for the HECEP role. The main concern expressed as the need for succession planning for the HECEP role was ensuring current job knowledge and institutional knowledge is captured. The Univ. 1-

HECEP indicated a belief that Univ. 1 would benefit from a succession planning program for the HECEP role because of the importance of ensuring the next generation of HECEP leaders are prepared and have the institutional knowledge to assume the role. The Univ. 2-HECEP believes that the Univ. 2 should consider implementing a succession planning program for the HECEP, mainly because such a program offers the opportunity of ensuring institutional historical community engagement knowledge is captured. According to the Univ. 2-HECEP, “our succession plan should include a framework for collecting and retaining institutional knowledge. Our historical engagement initiatives, experiences, and the historical knowledge of the role should not be lost.”

The Univ. 4-HECEP expressed that the institution would benefit from having a successor identified, selected, and prepared through various preparation formats by the current HECEP. The Univ. 4-HECEP also indicated a belief that the involvement of the current HECEP in the selection and preparation of a successor could help to ensure the effective transfer of institutional knowledge as it relates to community engagement. In addition, the PDPR also believes that institutions would benefit from a succession planning program for the HECEP role, and encourages institutions to consider succession planning.

While the EAUL does not define succession planning for the HECEP role, there is concern about succession planning for the HECEP role. The EAUL addresses the need for succession planning for the HECEP role by encouraging institutions to allow a team of institutional employees to participate in the EAUL. The intent of the team approach is to help ensure the sustainability of the HECEP role. The Univ. 3-HECEP was the only study participant who did not believe that institutions, specifically Univ. 3, would benefit

from succession planning for the HECEP role. The Univ. 3-HECEP indicated a belief that institutions should be allowed flexibility in the hiring processes, and further expressed fear that if individuals were hand picked for specific roles, these individuals may feel forced to accept the opportunity. The Univ. 3-HECEP further explained that:

The idea of picking out individuals for positions may cause issues; if during the period of picking the individual and filling the position, the direction of the institution changes, and the selected individual can no longer meet the needs of the role, then this can cause discontentment for the employee and develop a lack of trust amongst employee for leadership.

Participants across four cases agreed that HEIs should consider and implement succession planning programs for the HECEP role. However, these participants unanimously cautioned that institutions should identify and secure required resources, in terms of human and financial resources, in addition to ensuring that succession planning is not implemented as a stand-alone program, but rather integrated into the institution's human resources processes.

***Barriers to succession planning for the HECEP role.*** The review of the literature associated with this study highlights general barriers to succession planning. However, relative to the HECEP role, specifically, data collection and analysis of study participants' responses to survey and interview questions identified additional barriers. Table 8 reflects a combined list of the barriers identified in the literature review and those that emerged from the data analysis. The findings of this portion of the cross-case analysis revealed that one of the main barriers to succession planning for the HECEP role is the culture of higher education.



Four out of five study participants pointed out that the higher education culture is one that is reactive rather than proactive. Therefore, the concept of pre-selecting a successor for a position and providing training and developing opportunities to that individual prior to the position being vacant, is one that is not consistent with its nature, nor is it embraced in academia. The concept of succession planning and supporting systems are proactive measures to ensure business activities are sustained through the loss of key personnel. In higher education, in contrast with the corporate sector, there is a negative perception toward being proactive and identifying a successor in advance of a position being vacant. According to the Univ. 1-HECEP:

Higher education is not known for picking people in advance to fill positions. I realize that the HECEP is not necessarily on the academic side, but it is a belief in higher education, that finding a replacement to fill a position needs to be through an open search. Therefore, the transparent hiring processes in academia are another barrier to executing succession planning.

Table 8

*Study Participants' Perceived Barriers to Succession Planning*

| Perceived Barrier   | Lit. Review | Univ. 1 | Univ. 2 | Univ. 3 | Univ. 4 | PDPR |
|---|-------------|---------|---------|---------|---------|------|
| HECEP is New Role   | X           | X       |         | X       | X       | X    |
| HE Culture – not proactive, but reactive  | X           | X       |         | X       | X       | X    |
| Balancing SP with commitment to Diversity   | X           |         |         | X       |         |      |
| Cultural Bias toward open searches  | X           | X       |         | X       |         | X    |
| Governance HEIs   | X           | X       | X       |         |         | X    |
| Lack of clear definition of CE  |             | X       |         | X       |         | X    |
| Lack of commitment from Institution & academic units to the value of community and civic engagement |             |         |         | X       | X       | X    |
| Lack of leadership support  | X           | X       | X       | X       |         | X    |
| Lack of Systematic Accountability   | X           | X       |         | X       |         | X    |
| Lack of Trust for succession planning process   | X           |         |         | X       |         |      |
| Misaligned Rewards system   | X           |         |         | X       |         |      |
| Multiple Stakeholders/Shared Governance   | X           | X       | X       |         |         | X    |
| Political nature of higher education  | X           |         |         |         |         |      |
| Resources   | X           |         | X       | X       |         | X    |
| Financial   |             |         |         |         |         |      |
| Human Resources   |             |         |         |         |         |      |
| Shifting priorities   |             |         | X       |         | X       |      |
| Structure of HEIs   | X           |         |         | X       |         |      |

The lack of leadership support was expressed as a concern by only one study participant and only to the extent that rewards and recognition do not appear to be available to administrative personnel. Along these lines, and relative to the culture of

higher education, at least one study participant indicated that HEIs tend to view the concerns and interests of faculty and students above that of administrative staff. It appears that more value is placed on research and teaching, and oftentimes the rewards associated with research and teaching are external to the institution's reward system or structure. For example, the rewards and recognition appear based on external factors such as memberships in professional academies or the publication of books or articles in academic and professional journals. The HECEP emphasized that this reward system is what makes it hard to reward administrative staff at the same level as faculty:

We have a reward structure that does not value or reward administrative service. The system is one that was set up for the researcher and the research; lip service is given to everything else. We are dealing with 21st century higher education institutions but there are still 19th century rewards.

The idea that the HECEP role is still relatively new to higher education was equally viewed as a barrier and cited by four of the five study participants. One HECEP explained that because of its infancy the full identity of the role needs to be developed, and institutions need to ensure that there are mechanisms in place to support the role and the community engagement initiatives. This HECEP shared the belief that HEIs should first focus on determining how to make the role sustainable in terms of administrative support, substantial infrastructure, and other resources. Another HECEP expressed that because the HECEP role is still developing, it appears that the role is not yet viewed as one that is scholarly. Yet, another HECEP shared that the CCEC is relatively still new to HEIs, and therefore the requirements for earning the CCEC designation appear to be developing and

expanding, thereby impacting the definition of the HECEP role. A fourth study participant explained that as the CCEC develops, HEIs can expect that there will be a need to change some of their existing process and practices to accommodate the impact of the development of the CCEC on institutions and on the HECEP role.

Three of these four participants, in addition to the participant who did not acknowledge the newness of the role to be a barrier, agree that succession planning for the HECEP role is a good idea. These study participants cited the notion of ensuring ongoing planning and execution of internal engagement initiatives from a historical context as a major reason why institutions should consider succession planning for the HECEP role. Only one of the study participants believes that succession planning for the HECEP role is a bad idea:

I really think succession planning for this role is a bad idea. You see some institutions, and at my institution, there are no dedicated resources in place to support community engagement. There is still too much fuzzy thinking about community engagement, the activities, and the assessment. We are still trying to figure out what to do about engagement in the institution and how to make it sustainable with the few resources that have been allocated to date.

Three of the four HECEPs who participated in the study expressed their belief that there is a lack of clarity to HEIs with regard to the definition of community engagement. Accordingly, one participant indicated that there appears to be several lenses through which community engagement can be viewed. This is coupled with the multiple stakeholders involved in public HEIs. These multiple lenses appear to

contribute to the confusion. Fish (2007) describes the large number of stakeholders in HEIs as including “higher education associations, funding organizations, the U.S. Department of Education, related Congressional committees, accrediting institutions, system-level offices, governors, state departments or boards of education, state legislatures, students, alumni, local community members, trustees, senior administrators, faculty leaders and presidents” (p. 9). The Univ. 1-HECEP expressed the belief that:

The many stakeholders involved in the institution, each using a different lens, each with a different definition of what succession planning means; and each with a different view of how community engagement initiatives are facilitated or are applied in the community, are major barriers to succession planning for the HECEP role.

While the related literature also highlighted the political nature of higher education as a barrier to succession planning, however, none of the study participants noted this as a possible barrier to succession planning for the HECEP role. This could be the result of the role still being new, without much focus currently on its political elements. The HECEP participants were also asked to provide their opinion relative to their respective institution’s stance on equal employment opportunity and affirmative action, and the impact on succession planning for the HECEP role. According to one HECEP, the concept and related processes of succession planning in academia are not discussed openly. In fact, this HECEP expressed the view that in many academic circles it is considered not appropriate to discuss succession planning. However, the participants were unanimous in the belief that any succession planning program should be transparent. The study participants’ responses suggest concerns that a lack of

transparency has the propensity to create perceptions of unfairness in talent management. The study participants indicated their belief that transparency can only be accomplished if the succession planning program is formal and it is communicated in a manner that allows all employees the opportunity to participate, not in terms of a specific role, but in a university-wide program.

*Capturing/transferring of institutional knowledge.* The data analysis of how participating institutions capture and transfer institutional knowledge revealed that an in-house database is the common means used for capturing and transferring institutional community engagement knowledge and history, and more specifically, knowledge attained by the current HECEP. According to the literature review, the use of a database for documenting and tracking the institutions' community engagement activities and initiatives is one element of the CCDF which institutions will be assessed against during the CCEC assessment period.

Although other means of capturing and transferring institutional community engagement knowledge are used within the institutions, such as exit interviews and onboarding of employees, the institutions' human resources department manages these means. The data analysis revealed that informal mentoring is occurring as a means of transferring institutional knowledge, and it is occurring in only one of the participating institutions. Additionally, the analysis further revealed that only one of the participating institutions captures and maintains data from all civic or community engagement courses, and maintains detailed operating procedures for the institution's engagement initiatives.

**Secondary research question 1: What professional development strategies do HEIs use as development opportunities for the HECEP role that may contribute to the institution earning the CCEC?**

*Professional development for the HECEP role.* The results of this cross-case analysis reveal that the four case study institutions invest in their human capital. One common form of investment used by all of the study institutions is that of professional development opportunities for employees. Collectively, the study HECEPs expressed the belief that it is necessary for institutions to focus on professional development for the HECEP role. Likewise, the PDPR shared the personal belief that HEIs should be serious about developing staff within their engagement units, specifically the HECEP role.

According to the PDPR, since the CCEC designation and the HECEP role are still somewhat new, it will be imperative for institutions to determine what community engagement means to higher education, to understand the various elements of community engagement, and to recognize the possible impacts on institutions of higher learning. The study participants expressed collective agreement that in order to sustain the concept of community engagement and the related activities within institutions, there must be a commitment from the institution's leadership to invest in their engagement units. The HECEPs contend that it is therefore vital for institutions to provide opportunities for the HECEP to gain the necessary knowledge, skills, and experiences to be effective in leading the institution in earning the CCEC designation.

The PDPR emphasized that most importantly, institutions wishing to apply for the CCEC designation must know what engagement means relative to the CCEC, and clearly

understand what the Carnegie Foundation is actually looking for during the assessment period. The HECEPs echoed this sentiment; one HECEP explained that:

The role is still developing and expanding, [and] all [of] the requirements for the CCEC designation are still not clear or how we [are to] interpret those requirements may not be correct. We have to be more aggressive about professional development in this area. We are still trying to understand what is documentable; we need to formulate how we capture and document the activities of the entire institution.

Across the five cases, professional development is considered to be an investment in the institution's human capital, and can be formal or informal, and available both internally and externally. The PDPR emphasized the importance of ensuring that professional development activities for the HECEP role are relevant to the institution; that is, aligned with the institutional goals relative to community engagement.

In terms of internal professional development opportunities, the cross-case analysis revealed that across all of the institutional cases, although the study institutions offered formal and informal internal professional development opportunities, these programs tend to be general in nature, and not specific to a job function or position. Further, in some instances, these development opportunities are related to the broader sense of community engagement, and are focused on student service learning and/or faculty research, and therefore were often offered to student affairs personnel. Although all of the study participants unanimously agreed that their institution would benefit from professional development opportunities for the HECEP role, two of the four institutional



participants were not aware of any formal or informal external professional development opportunities for the HECEP role. One of these two HECEPs explained that:

We need to know what is available so we can make use of these better opportunities to learn about the CCEC requirements and how we document our activities. If there are groups or associations offering support and knowledge related to the CCEC requirements, we need to join in with them.

On the other hand, two of the four participating HECEPs shared that their institutions offer, and that they have participated, in external professional development opportunities specifically for individuals in a HECEP role. Both of these participants had also participated in a common formal professional development opportunity, the EAUL.

The EAUL served as the study's expert judge's site and was represented by the PDPR. The PDPR indicated that EAUL's program is designed to serve all institutional leaders who have an impact on HEIs community engagement initiatives. The participants in the program normally range from Board Members to institutional vice presidents, deans, directors, faculty leaders, and departmental service leaders, representing a cross-function of departments. When the PDPR was asked to identify one program from those offered by the institution perceived to offer a best practice professional development opportunity for HECEPs and engagement units, the PDPR identified the EAUL.

The EAUL is a nationally acclaimed program, and boasts participation from not only the U. S. higher education community, but also from the international education community as well. The two HECEPs reporting to have participated in the EAUL's annual program, both spoke highly of the quality of the program, the structure, the level

and quality of program faculty, and the tangible and tactical products that participants take away from the program. The PDPR reported that the EAUL encourages institutions to send teams to participate annually, which creates an institutional support structure, an avenue for internal knowledge sharing which fosters trust, respect, and camaraderie, and helps to explore creative and innovative institutional initiatives.

According to the PDPR, one of the requirements of the program is that institutional participants must meet with institutional leaders prior to attending the program. The intent of this meeting with the institution's leadership is to obtain commitment of support from the leadership and to gain a clear understanding of the community engagement plan and goals and to establish a timeline for implementation. As the PDPR explained, participants are required to complete specifically assigned "pre-conference work" to ensure foundational knowledge of the broad concept of community engagement. Attendance at the program creates opportunities for participants to develop professional relationships with conference attendees and faculty who are able to later serve as a reference source, mentors, or coaches. The PDPR further noted that program participants are given the opportunity to develop or enhance competencies in defining community engagement for their respective institutions relative to the CCEC.

One of the main aspects of the in-person phase of the program is that of preparing for, managing, and responding to change as it relates to the impact that the CCEC will have on individual institutions. According the PDPR, the intended outcome of completion at the EAUL is that teams will return to their institutions with "an explicit, vetted action plan that includes a communication strategy," as a means of sharing what they have learned from the EAUL. In addition to program participation, the EAUL offers

guidance in obtaining grants to support engagement programs and offers coaching to the institution's submission team during the processing of the actual application to Carnegie.

This study's PDPR explained that upon completion of the EAUL, participants' are monitored to determine if any of the recommendations generated from the program are implemented or considered by the HECEP or the respective institution and to determine the effectiveness of the program. These evaluations are in the format of IRB-approved longitudinal research on institutional and individual change, and they are performed immediately following the completion of the EAUL.

Although several excellent schemata exist for program assessment, for example: Dimensions of Engagement checklist from the Kellogg Forum; Self-Assessment Rubric for Institutionalizing Community Engagement in Higher Education developed by Burton, Furco, Kent, and Weerts; and the Comprehensive Assessment for the Scholarship of Engagement developed by Bringle and associates (as cited in Bane et al., 2013), the PDPR identified the Holland Matrix for Institutionalization as the instrument used to assess participants' knowledge and skills levels before they participate in a program and upon completion of the program. The PDPR offered:

The goal of our Engagement Academy program is to help participants with devising a customized plan for engagement and community partnerships, which is aligned with their institution's strategic plan or the direction of their institution. By the end of the program, participants will leave with a plan that identifies goals, timelines, strategies, and intended outcomes along with the individuals tasked with implementation. The center does follow-up research with each participant to determine progress

and impacts of the implementation. A post assessment is also done as part of the follow-up research. The use of the Holland Matrix helps with to measure the impact and outcomes of engagement activities.

The study's PDPR indicated that other professional development opportunities for the HECEP and institutional engagement units are offered within the framework of Virginia Tech's Continuing Education department including: Monitoring and Measuring Community Engagement; Fundraising for Engagement; and Preparing for the Carnegie Community Engagement Classification. Although to some, it may appear that professional development for the HECEP is non-existent, the study's PDPR indicated that there are various opportunities for HECEP to develop, enhance, or build upon existing knowledge, skills, abilities, and experiences. The PDPR offered information on another professional development program:

There is also the Engagement Scholarship Consortium that includes both public and private institutions. This organization offers workshops and other initiatives geared to building community engagement capacity, like the Emerging Engagement Scholar Workshop, Outreach and Community Engagement Staff Network, and the Academy of Community Engagement Scholarship and also offers support to participate in Engagement Scholarship Consortium. I also know of the Graduate Certification in Community Engagement which is offered by Michigan State.

The PDPR went to explain that in addition to those noted above, NERCHE also provides professional development opportunities, mainly in the form of webinars

which serve a resource for institutions applying for the CCEC or re-certification. Additional resources offered by NERCHE include publications, sample CCEC applications and frequently asked questions which institutions can use as a guide to preparing for the CCEC.

Study participants' perceived barriers to professional development for the HECEP role. Only two study participants recognize barriers to internal or external professional development opportunities for the HECEP role, Univ. 1-HECEP and Univ. 4-HECEP. Both institutions cite lack of resources, lack of consistency, competing institutional priorities, and time as obstacles that currently impede the implementation of internal and participation in external professional development opportunities.

Both of these study participants also agree that it is possible to eliminate or marginalize those barriers if community engagement and related initiatives are a priority to the institution. The three other study participants did not recognize any barriers to professional development for the HECEP, though all believed that institutions might need to be pressured to recognize the vital nature of the role and take responsibility for the success in earning the CCEC designation by investing in the development of the HECEP and the unit's other staff members, as needed.

**Secondary research question 2: What are the requisite qualifications in terms of knowledge, skills, abilities, professional experiences, and level of education for the HECEP role in order to lead institutions to successfully attain the CCEC as perceived by the participating HECEPs and PDPR?**

*Requisite qualifications for the HECEP role.* Based on the cross-case analysis of the five cases, the results revealed that the perceived requisite qualifications needed to

enable a HECEP to effectively lead an institution toward earning the CCEC designation are built on a solid foundation of institutional historical knowledge and a specific set of personal skills. The researcher categorized requisite qualifications based on themes that emerged from the findings.

***Requisite knowledge for a HECEP.*** The study data revealed that the knowledge categories that study participants consider requisite for the HECEP role include; (1) institutional knowledge, (2) knowledge the world of academia, (3) knowledge of community engagement, and (4) knowledge of leadership. Of the four categories of knowledge, institutional knowledge was the most widely cited by study participants. Specifically, the elements of institutional historical knowledge, and knowledge of the community (ies) served, were cited in all five cases. Although knowledge of the world of academia was cited as one of the two smallest categories of knowledge, that category produced three elements, of which one, the knowledge of research techniques, was cited across four of the five cases. Only two participants cited the knowledge of community engagement category as requisite knowledge. The latter can probably be explained as due to the infancy of both the HECEP position as well as the CCEC.

***Requisite skills for a HECEP.*** Two themes emerged from the analysis of the perceived skills of a HECEP; both themes represent personal attributes for a HECEP. These themes are; (1) effective interpersonal skills, and (2) strategic skills. All three elements of the effective personal skills (develop and maintain professional relationships, work with individuals from diverse backgrounds, and communicate effectively) were cited across the same four cases. Developing and maintaining professional and community relationships contributes to sustaining long term engagement initiatives. The

skill of working with diverse groups or backgrounds reflects a cross-cultural awareness and helps in ensuring initiatives and activities meet the needs of all groups, and respects the value systems of these groups.

The strategic skill category produced a broader range of knowledge elements. Across the five cases, nine elements of strategic skill were cited at varying degrees. The top three elements cited within the strategic skills category, and across four of the five cases, included collaborative skills that are necessary to achieve common objectives of all stakeholders and helps to gain buy-in and support for initiatives and activities. The strategic skills necessary to identify and recognize the needs of the community, as well as the skills needed to negotiate in the best interest of all stakeholders, were also identified as one of the top three strategic skills necessary to effectively lead an institution's community engagement unit and initiatives (see Table 9).

Table 9

*Study Participants' Perceived Requisite Qualifications*

| Perceived Qualifications   | Univ. 1<br>HECEP | Univ. 2<br>HECEP | Univ. 3<br>HECEP | Univ. 4<br>HECEP | PDPR |
|--|------------------|------------------|------------------|------------------|------|
| Knowledge  |                  |                  |                  |                  |      |
| Defined as the intellectual possession and an understanding of the operations and processes necessary to qualify for and perform successfully in a position. |                  |                  |                  |                  |      |
| Institutional knowledge  | X                | X                | X                | X                | X    |
| Historical knowledge of past engagement initiatives  |                  | X                |                  | X                | X    |
| Institution's vision of its role in community engagement   | X                |                  |                  | X                | X    |
| Combined institutional initiatives   | X                | X                |                  | X                | X    |
| Institution's history  | X                | X                | X                | X                | X    |
| Community(ies) served  | X                | X                | X                | X                | X    |
| External and internal resources  | X                | X                |                  |                  | X    |
| Community affiliations   |                  | X                |                  |                  | X    |
| Needs of the community   | X                | X                |                  |                  | X    |
| World of academia /Classroom   | X                | X                | X                |                  | X    |
| Knowledge of higher education bureaucracy  | X                |                  | X                |                  | X    |
| Research techniques  | X                | X                | X                |                  | X    |
| Service learning   |                  | X                | X                |                  | X    |
| Community engagement   |                  |                  |                  |                  | X    |
| Carnegie Classification of Institutions of Higher Education  |                  |                  |                  |                  | X    |
| Carnegie Community Engagement Classification (CCEC)  |                  | X                |                  |                  | X    |
| Carnegie Classification Documentation Framework (CCDF)   |                  |                  |                  | X                | X    |
| Community affiliations   |                  | X                |                  |                  | X    |

*Table 9 continues*



Table 9 continued

| Perceived Qualifications   | Univ. 1<br>HECEP | Univ. 2<br>HECEP | Univ. 3<br>HECEP | Univ. 4<br>HECEP | P DPR |
|--|------------------|------------------|------------------|------------------|-------|
| Knowledge (continued)  |                  |                  |                  |                  |       |
| Defined as the intellectual possession and an understanding of the operations and processes necessary to qualify for and perform successfully in a position.                                 |                  |                  |                  |                  |       |
| Social services  |                  | X                |                  |                  |       |
| Needs of the community   |                  | X                | X                |                  | X     |
| Leadership   |                  |                  |                  | X                | X     |
| Higher education administrative system   |                  | X                | X                | X                |       |
| Change management  |                  |                  |                  |                  | X     |
| Complex problem solving  | X                |                  |                  |                  | X     |
| Project management techniques  | X                |                  |                  | X                |       |
| Skills   |                  |                  |                  |                  |       |
| Defined as proficiency or mastery in performing tasks such that requirements for communication, persuasion, responsiveness, or quality are met consistently; for example, in leading change. |                  |                  |                  |                  |       |
| Effective interpersonal skills   | X                | X                |                  | X                | X     |
| Develop and maintain professional relationships  | X                | X                |                  | X                | X     |
| Work with individuals from diverse backgrounds   | X                | X                |                  | X                | X     |
| Communicate effectively  | X                | X                |                  | X                | X     |
| Strategic thinking   | X                |                  |                  | X                | X     |
| Collaborative  | X                | X                | X                | X                |       |
| Leadership   |                  |                  |                  | X                | X     |
| Identify or recognize needs of community   | X                | X                | X                |                  | X     |
| Negotiating in the best interest of all stakeholders   | X                |                  | X                | X                | X     |
| Creative in uncovering hidden resources  | X                | X                |                  |                  | X     |

*Table 9 continues*

Table 9 continued

| Perceived Qualifications  | Univ. 1<br>HECEP | Univ. 2<br>HECEP | Univ. 3<br>HECEP | Univ. 4<br>HECEP | P DPR |
|---|------------------|------------------|------------------|------------------|-------|
| Skills (continued)  |                  |                  |                  |                  |       |
| Defined as proficiency or mastery in performing tasks such that requirements for communication, persuasion, responsiveness, or quality are met consistently; for example, in leading change.  |                  |                  |                  |                  |       |
| Open-minded   |                  | X                |                  |                  | X     |
| View different definitions of CE  | X                | X                |                  |                  | X     |
| Organized   |                  | X                |                  | X                |       |
| Manage multiple projects  | X                |                  |                  | X                | X     |
| Abilities   |                  |                  |                  |                  |       |
| Defined as enduring intellectual, physical, and sensory capabilities necessary to successfully perform in a position by linking processes and practices to positive outcome (SHRM, 2006). An example of ability is reading and interpreting technical data or metrics that calculate and measure business activities and performance. |                  |                  |                  |                  |       |
| Interpret and Translate Institutional Mission and Vision  |                  |                  |                  |                  |       |
| Understand and communicate the institution's mission and vision for CE  | X                | X                | X                | X                | X     |
| Win others to the cause of the institution or the community   | X                |                  |                  | X                | X     |
| Foster institutional pride  | X                |                  |                  | X                | X     |
| Translate institutional values into CE initiatives  | X                | X                |                  | X                |       |
| View CE as global initiatives   | X                | X                |                  |                  |       |
| Work across many disciplines  | X                |                  |                  | X                | X     |
| Relate the institution's mission and vision to the needs of the community   | X                | X                | X                | X                | X     |
| Resource Management   |                  |                  |                  |                  |       |
| Build and acquire the trust of peers  | X                |                  | X                | X                | X     |
| Earn buy-in from stakeholders   | X                |                  |                  | X                | X     |
| Identify external and internal resources  | X                | X                |                  |                  | X     |

Table 9 continues

Table 9 continued

| Perceived Qualifications             | Univ. 1<br>HECEP | Univ. 2<br>HECEP | Univ. 3<br>HECEP | Univ. 4<br>HECEP | PDPR |
|--------------------------------------|------------------|------------------|------------------|------------------|------|
| Resource Management (continued)      |                  |                  |                  |                  |      |
| Recognize the community's needs      | X                | X                | X                |                  | X    |
| Flexibility                          |                  | X                |                  |                  | X    |
| Identify creative solutions          |                  | X                | X                | X                | X    |
| Risk-taker                           |                  | X                |                  |                  |      |
| Maintain loyalty                     |                  |                  |                  | X                | X    |
| Earn respect                         | X                |                  | X                | X                | X    |
| Share knowledge                      |                  |                  | X                | X                | X    |
| Allow others to shine                |                  |                  |                  | X                |      |
| Committed to task                    | X                |                  |                  | X                | X    |
| Professional Background / Experience |                  |                  |                  |                  |      |
| Worked in communities                | X                | X                | X                | X                | X    |
| Worked in non-profit                 | X                | X                | X                | X                | X    |
| Worked in social services            | X                |                  |                  | X                | X    |
| Research                             | X                | X                | X                |                  | X    |
| Worked in academia                   | X                | X                | X                |                  | X    |
| Level of Education                   |                  |                  |                  |                  |      |
| PhD                                  | X                |                  | X                |                  | X    |
| No specific level                    |                  | X                |                  | X                | X    |
| Education Discipline                 |                  |                  |                  |                  |      |
| No specific discipline               | X                | X                | X                | X *              | X    |

*Note.* \*Politics, administration or public admin.

***Requisite abilities for a HECEP.*** The requisite abilities for the HECEP role, as perceived by study participants were put into two categories, namely; the ability to

interpret and translate institutional mission and vision and the ability to utilize resource management techniques. Across all five cases, the study participants shared the belief that a fundamental ability of an individual in the HECEP role, is understand, communicate, and translate the institution's mission and vision relative to community engagement and the ability to relate the institution's mission and vision to the needs of the community. In the category resource management, the elements of the ability to build and acquire the trust of peers, to recognize the community's needs, to identify creative solutions and the ability to earn respect were cited across four of the five cases.

***Preferred professional background for a HECEP.*** Across all of the cases, study participants agreed that experience working in communities and in non-profit organizations were essential professional experiences that can help ensure the success of a HECEP. Three of the five study participants noted the importance of a HECEP having prior experience working in both academia/research, specifically because of the research experience needed to effectively analyze the communities and needs relative to the institution and the institutional goals. However, only two institutional representatives, and the PDPR identified prior experience in social services as essential to the success of a HECEP.

***Education level for a HECEP.*** Although all of the study participants have earned a doctoral degree, three study participants were assertive in sharing that a doctoral level education is essential for a HECEP. Two study participants cited no specific education level was required, however, the reasons for that decision differed. One of the two participants explained that a HECEP with a master's level education can be successful in the role if that individual has the necessary knowledge and resources. The second

participant explained that although it is not necessary for a HECEP to have earned a specific level of education, it is likely that the doctorate carries a level of prestige:

I do not believe that having the PhD is necessary, but it sure helps. It helps with gaining respect, and it helps in gaining acceptance. It really is the reverence people place in the degree, not that I believe the PhD comes with more knowledge, but others see it as a higher standing.

The findings also revealed that across all of the cases the study participants cited that no specific academic discipline was more important or significant than another; however, the Univ. 4-HECEP noted that the fields of politics, administration, or public administrative were acceptable disciplines.

***HECEPs' awareness of CCDF.*** In order to complete the CCEC application effectively, HECEPs would need to possess specific institutional and community engagement knowledge, the skills, and the abilities to interpret and respond to the CCEC application questions. The CCDF is a reference that provides guidance in responding to the CCEC application questions and helps HECEPs to identify the type of information participating institutions need to provide in support of their responses to the CCEC application questions. The researcher asked the participating HECEPs to identify the elements of the CCDF they consider institutional strength(s) and elements where the institution needs to improve. Three of the four HECEPs were very familiar with the elements of the CCDF; the fourth HECEP took an opportunity to review a copy of the prior to responding to the related interview question.

The findings reveal that three of the four HECEPs reported elements of the foundational indicators as the areas of major strength; however, these three HECEPs did

not identify common elements of the foundational indicators, and these elements are distributed between institutional identity and institutional commitment. The remaining one HECEP identified two elements of strength for the institution, in the area of curricular engagement, within the categories of community engagement.

Table 10

*HECEPs' Awareness of CCDF*

| I.         | Foundational Indicators  | Strength | Weak                                  |
|------------|--|----------|---------------------------------------|
|            | a. Institutional Identity  |          |                                       |
|            | A – 1 identity and culture are reflected in its mission/vision statement | Univ. 4  |                                       |
|            | A – 4 CE is emphasized in the marketing materials                        | Univ. 4  |                                       |
|            | b. Institutional Commitment  |          |                                       |
|            | B- 1 Campus-wide coordinating infrastructure                             | Univ. 1  | Univ. 3                               |
|            | B – 2a Internal Budgetary allocations                                    | Univ. 1  | Univ. 4                               |
|            | B - 3a Systematic tracking & documentation                               |          | Univ. 1, Univ. 2,<br>Univ. 3, Univ. 4 |
|            | B – 5 Engagement is defined in the strategic plan                        | Univ. 2  |                                       |
|            | B – 6 Professional Development for staff & Faculty                       |          | Univ. 1                               |
|            | B - 9 Institutional level policies for promotion & Tenure                | Univ. 2  |                                       |
| <b>II.</b> | <b>Categories of Community Engagement</b>                                |          |                                       |
|            | a. Curricular Engagement   |          |                                       |
|            | A – 1a Definition & process for service learning                         |          | Univ. 2                               |
|            | A – 2a Institutional learning outcomes for students                      | Univ. 3  |                                       |
|            | A – 4b CE integrated with curriculum                                     | Univ. 3  |                                       |

All of the institutions reported elements of institutional commitment within the foundational indicators as areas that are challenging for their respective institutions. In addition, one of the four HECEPs also identified the element of curricular engagement within the Categories of Community Engagement as an area that the institution needs to develop. Although the foundational indicators were identified as areas of strength by three HECEPs, however, all the HECEPs identified elements of the foundational

indicators (referred to by one HECEP “double-edge sword”), also as areas for improvement. Specific focus was on the area of “maintain systematic campus-wide tracking or documentation mechanisms to record and/or track engagement” as a common element of institutional commitment that the institutions need to improve.

A fundamental element of the CCDF is the element of institutional commitment that is focused on campus-wide tracking of institutions’ community engagement initiatives. All four HECEPs revealed that although the institutions have a current database as a mechanism to record and track their institutions’ community engagement activities of faculty and staff, and in some instances, students, it appears that those systems are not equipped to accommodate the extent of the documentation and tracking required by the community engagement units. In addition, these systems may not have been developed adequately to reflect ongoing changes of the reporting requirements and that of the CCEC. Further, the four HECEPs expressed a need to not only enhance their institution’s current CCEC tracking system, but to enhance their knowledge of more appropriate and available systems that can accommodate the CCEC designation requirements.

One form of institutional investment is an investment in human capital, that is, providing opportunities for professional development. One aspect of the institutional commitment element of the foundational indicators is institutional commitment to provide professional development for faculty and staff that engage with the community. Although identified as an area of the CCDF that Univ. 1 needs to improve, this same institution does not offer internal professional development opportunities as it relates to



CCEC. Further, neither the institution nor the Univ. 1-HECEP are aware of relevant external professional development opportunities.

***Position description for the HECEP role.*** The finding of the cross-analysis of the study institutions' definition of position description reveals commonalities in the definitions. The definitions indicate that position/job description contain either requisite or minimum qualifications. In some instances, the institution's definition provides a breakdown of what requisite qualifications include (knowledge, skills, abilities, education level, and work experience). For example, Univ. 1 indicates that any knowledge, skills, and abilities needed to successfully perform the job are included in the position/job description and Univ.-3 indicates that their position/job descriptions provide information about the knowledge, training, education, and skills needed for each job. On the other hand, Univ. 4's definition states that a position/job description includes the primary purpose of the job, the formal job title, the essential functions, qualifications, and other significant characteristics.

Table 11 provides an overview of the elements of the participating institutions' definition of position description as they relate to the definition provided by SHRM. Across all of the institutional cases, the definitions presented reveal that position descriptions contain essential and marginal functions of a job. Only three of the four institutional definitions revealed that position descriptions should contain the requisite qualifications of knowledge, skills, education, and experience. The SHRM's definition, along with the definition of three institutions that participated in the study, revealed the inclusion of the responsibilities of a job. Only one institution's definition revealed the inclusion of training as an element of a position/job description, and a different

institutional definition requires the inclusion of the work schedule in a position/job description.

Table 11

*Study Institutions' Definitions of Position/Job Description*

| Elements              | SHRM | Univ. 1 | Univ. 2 | Univ. 3  | Univ. 4 |
|-----------------------|------|---------|---------|----------|---------|
| Essential functions   | X    | X       | X       | X        | X       |
| Marginal functions    | X    | X       | X       | X        | X       |
| Performance standards |      | X       |         | X        |         |
| Work schedule         |      | X       |         |          |         |
| Responsibilities      | X    | X       | X       | X        |         |
| Education             | X    | X       |         | X        | X       |
| Experience            | X    | X       |         | X        | X       |
| Knowledge             | X    | X       |         | X        | X       |
| Skills                | X    | X       |         | X        | X       |
| Abilities             | X    | X       |         |          | X       |
| <u>Training</u>       |      |         |         | <u>X</u> |         |

Since each participating study institution provides a definition of position/job description on their institutional website, the researcher was led to believe that the institutions have position/job descriptions for each position within the institutions. Although the researcher requested the position/job description from each study institution, only one of the institutions (Univ. 1) provided a copy of the position/job description for their HECEP role. The official position/job description for the Univ. 1-HECEP did not reflect the elements noted in the institution's definition of position/job description. The researcher contacted the institution and requested clarification of the

discrepancy. A member of the human resources office informed the researcher that the HECEP position was a faculty role, and because the primary functions of the role are administrative, the institution determined that it is sufficient to maintain only a “shell” position/job description. Further, the researcher was informed that the institution does not maintain position/job descriptions for faculty roles. Univ. 3 and Univ. 4 shared this same sentiment; since the HECEP role at both institutions is also classified as a faculty role, the researcher was not able to obtain a copy of the position/job descriptions. Also, the Univ. 2 also did not provide a copy of the position/job description for their HECEP role, although that role is not classified as a faculty role.

*Institutional community engagement infrastructure.* Data from Table 4 reveal how the institutional study sites varied in their references to the infrastructure housing their administrative functions of their community engagement initiatives. For example, two of the four study institutions referred to their infrastructure as an “office,” while the other two institutional study sites referred to their infrastructure as a “center.” The CCDF indicates that the infrastructure established to house institutions’ community engagement initiatives can be referred to as a center or an office. However, one study participant was adamant in suggesting that the infrastructure should be referred to as an “Office of Engagement” and not a center, implying that reference to the infrastructure as a center diminishes the work being done. Further, the data reveals that the community engagement infrastructure for the four study institutions reports to the respective institution’s academic affairs unit.

## **Chapter Summary**

This section of this chapter presented the findings from the within-case analysis of four institutional cases that analyzed the extent to which the participating institutions employ succession planning for the HECEP. The findings of the within-case analysis reveal that although the institutional representatives provided their individual definition for succession planning, in none of the four cases do the institutions use succession planning for the HECEP role or within the engagement unit. Second, the chapter also presented findings from a cross-case analysis of the four institutional cases and an external entity providing professional development. This analysis revealed commonalities and differences in the participants' perceptions of succession planning in higher education, specifically for the HECEP role, the requisite qualifications for a HECEP, in addition to each institution's position descriptions and perceived barriers to succession planning for a HECEP.

This study revealed that the participating institutions invest in employees by providing internal and external professional development opportunities. The data analysis revealed that in all institutional cases, the internal training provided tends to be driven by the institutions' human resources department and addresses subject matter that provides a general orientation to the institution, employee benefits, organizational structure, and culture, and in some cases, the expectations of employee behaviors as institutional employees. The internal opportunities are not designed, nor contain modules or competencies to enhance the knowledge, skills, abilities, or experiences of the HECEP or members of the engagement unit. However, although noted, this is not a practical

expectation, due to demand for such programs based on the size of an engagement unit that may not justify the funding of internal professional development.

In addition, the chapter presents the findings of an analysis of the HECEPs' perception of the areas within the CCDF that HECEPs consider are areas of strength and areas that the respective institutions need to improve. Finally, findings from an analysis of a best-practice program that can serve as a professional development opportunity for HECEPs and engagement units within HEIs are presented. Chapter 5 provides recommendations and a conclusion to this study.

## **V. DISCUSSION, CONCLUSION, AND RECOMMENDATIONS**

This qualitative multiple-case study explored the extent to which selected institutions of higher education employ succession planning strategies with regard to the HECEP role in support of earning the CCEC. Additionally, the researcher sought to discover, what if any programs or program designs, institutions were using as professional development opportunities for the HECEP role. The researcher also aimed to determine the perceived requisite qualifications in terms of knowledge, skills, abilities, professional experiences, and education level for the HECEP role. Based on the credentials of the individuals currently in HECEP roles, and data obtained from this study, including data from an expert judge linked to the professional development program analyzed as part of this study, the researcher provides a job specification template for determining if institutions have a pipeline of individuals who could be prepared to assume the HECEP role.

This chapter provides a discussion and conclusion based upon the findings of the study, and recommendations for further research. The chapter is organized by the stated areas of discussion, conclusion, and recommendations and concludes with a brief summary.

### **Discussion**

For purposes of this study, the individual responsible for leading and reporting an institution's community engagement initiatives and for facilitating the institution's self-assessment and the evaluation processes of the CCEC was referred to as the Higher

Education Community Engagement Practitioner, a term created by the researcher. This exploratory multiple-case research study contributes to answering all of the research questions and sheds light on the attitudes and perceptions of specific higher education professionals toward the talent management processes of succession planning and professional development for the HECEP role.

**Primary research question 1: What is the demographic profile of each of the selected study institutions having attained the CCEC designation in 2010?**

The four case-study institutions are located in the Southeast region of the U.S. Three of these four study institutions are classified as public institutions, and one is classified as a private institution. The four study institutions are characterized as 4-year institutions, three of which are public and one private. At the time of the study, and according to the Carnegie Foundation's all-inclusive classifications, the four public institutions were classified as follows: two Research Universities with high research activity (RU/H); one University with Basic Master's large programs (B/ML); and one University with Basic Master's medium size programs (B/MM). Table 4 provides an overview of the sample institutions. The fifth case in this study represented the professional development program/entity identified as a best practice professional development program for individuals in the HECEP role.

This study included a small number of HEIs located in the Southeast region of the U.S., and one HECEP professional development program. Therefore the sample size presents a limitation, and does not allow the results to be generalizable to all HEIs or HECEPs.

The overall findings of the analysis of the mission and vision statements of the study institutions reveals that each of the study institutions have institutionalized the concept of community engagement, in varying degrees, in their mission and vision statements. Further, the results show that the study institutions appear to give priority to the function of “performing researching that discovers.” This may be the case since reach has a great propensity to significantly contribute to helping to serve and meet the needs of a community.

Since vision statements express the aims and objectives of an organization/institution, it is not surprising that the most commonly identified phrases within the study institutions’ vision statement were: “enrich scholarship,” “enhance curriculum.” and “teaching and learning.” This finding reflects that the study institutions may have a strong emphasis on the functions of student learning and teaching in the future.

**Primary research question 2: What succession planning strategies do higher education institutions use relative to the newly established HECEP role and/or unit?**

This study revealed that the participating HEIs do not engage succession planning strategies for the HECEP role. HE is not known for preselecting successors, as the concept appears to suggest slotting and favoritism. Further, succession planning is thought to belong in the corporate sector, where promoting employees internally is more the norm than the exception. On the contrary, HE is known for conducting open, competitive searches for institutional talent. Therefore, deliberate or proactive plans for employee succession of the HECEP role were not identified within the institutional study sites.



For purposes of this study, succession planning is a proactive, deliberate, and systematic effort by an organization to ensure leadership continuity, and to retain and develop knowledge capital through planned training and development activities. Succession planning is further defined by Rothwell (2010), as any effort designed to ensure the continued effective performance of an organization, division, department, or workgroup by making provision for the development and replacement of key people over time. The definition of succession planning provided by each study participant closely mirrors the research study's definition. This suggests that the study participants understood the concept of succession planning to mean hiring from within, or externally hiring replacements, and providing those individuals with the necessary tools to include training and professional development.

HEIs should consider implementing a succession planning program and/or succession planning strategies for the HECEP role, in the least, institutions should support and offer professional development opportunities specifically for the HECEP role and or engagement unit. Caution should be taken to identify and implement measures to ensure transparency, inclusiveness, and accountability within any succession planning program or strategies. To ensure transparency and inclusiveness with regard to an institution's succession planning program, employees should be eligible to participate in the program. However, institutional leaders should have the opportunity to identify those individuals who have the interest and meet the requisite qualifications, and are viewed to have high leadership potential for consideration in the program. Also, such a succession planning program or strategies should include cross-functional professional development

opportunities and offer participants the opportunity to develop knowledge and skills in areas that participants do not normally function.

In terms of transparency, consideration should be made for implementation or the development of systems to monitor succession planning program participants' innovation and professional progress. Such a system should have the capability to monitor participants' continuous demonstration and application of acquired knowledge, learned skills, and abilities when working through specific assignments.

***Barriers to succession planning for the HECEP role.*** Succession planning for the HECEP role is complex, if not absent, to say the least, and presents many challenges. Such planning is necessary, however, for the sustainability of higher education's community engagement units. The complexity and challenges of succession planning for the HECEP role are influenced by many factors that impede implementing a succession planning program. These factors largely relate to the reactive nature of higher education's culture that operates with little to no planning, in terms of its future workforce outside of faculty personnel. In addition, due to its infancy, there is still ambiguity in terms of the community engagement position in higher education, its function, future directions, as well as the scope of institutional expectations, leading to concerns about HEIs' ability to ensure sustainability of the HECEP role.

***Capturing/transferring HECEP institutional knowledge.*** The CCDF requires that institutions maintain systematic campus-wide tracking or documentation mechanisms to record and/or track engagement with the community. Gathering and obtaining this information is relevant and significant, because as previously noted, the institutions which participated in this study will have the opportunity to be re-classified as an

engaged institution in 2020. These institutions must elect to reapply during the application process, which will be announced in 2018. If there is an unforeseen or unplanned departure of the current HECEP prior to the 2020 assessment period, these institutions need effective measures to ensure the seamless continuity of community engagement activities, as well as ensuring employees in the unit or institutional leadership have at minimum, knowledge of existing processes and institutional initiatives, and internal and external contacts. Further, in the event of an untimely departure of the current HECEP occurs, the individuals left behind should have knowledge of or be able to access required information to continue the CCEC application and assessment processes.

The main source of capturing data for the CCEC assessments is an in-house database. Like most units across college and university campuses, study participants however, complained about the capability of their institution's university-wide database used to capture institutional knowledge. Yet, another advantage of succession planning for the HECEP role is an enhanced ability to capture, preserve, and transfer institutional knowledge.

**Secondary research question 1: What professional development strategies do HEIs use as development opportunities for the HECEP role that may contribute to the institution earning the CCEC?**

Few opportunities exist for external professional development for HECEPs. Worst yet, several of the HECEP study participants indicated that they were not aware of such opportunities. However, the EAUL program at Virginia Tech's Continuing Education Department, selected for this study, was highly recommended by the majority

of the study participants as a best practice professional development opportunity for HECEPs and institutional engagement team members. Further, two of the institutional study participants had participated in the EAUL. Review and analysis of the program, program materials, program content, and participants' evaluations, revealed that the EAUL program has been shown to have a direct and positive impact on enhancing the knowledge, skills, abilities, and the professional experiences of HECEPs.

The EAUL is a national initiative established in 2008 as a professional development program designed for institutional leaders and teams tasked with developing collaborative community engagement initiatives and enhancing their institution's community engagement practices. The EAUL, which is currently part of Continuing and Professional Education at Virginia Polytechnic Institute and State University (Virginia Tech), is endorsed by AASCU, APLU, Campus Compact, CCPH, CUMU, and NERCHE and has received awards for its innovation and quality.

This current study identified that degrees of talent management occurs in each of the participating institutions, and that each invest in their human capital by offering internal and/or external professional development opportunities. However, all internal opportunities tend to be led by the institutions' human resources department, and thus address topics that provide a general orientation to the institution, employee benefits, organizational structure and culture, and in some cases, the expectations of employee behaviors as institutional employees. Due to the infancy of the HECEP role, current human resources programs are not designed to enhance the specific knowledge, skills, abilities, or work related experiences of the HECEP or members of the engagement unit.

This research study revealed that although external professional development opportunities other than the EAUL do exist for HECEPs, these opportunities may not be communicated. For example, NERCHE has partnered with the Carnegie Foundation and serves as an administrative partner with the responsibility of managing and administering the CCEC process. NERCHE also offers professional development opportunities, mainly in the form of webinars, which serve as a resource for institutions applying for the CCEC or re-certification. Additional resources offered by NERCHE include publications, sample CCEC applications, and frequently asked questions that institutions can use as a guide to preparing for the CCEC. However, this and other professional development opportunities, although supported by the Carnegie Foundation, do not appear to be effectively promoted or marketed to HEIs or HECEPs.

This research study also touches on the concept of “communities of practice” that is a growing phenomenon, and one that institutional HECEPs could consider initiating in light of what appears to be limited opportunities for professional development for the HECEP role. Communities of practice are initiatives of collective learning, formed by individuals with common goals who create opportunities to share and learn from each other. Individuals who participate in communities of learning tend to share a passion for and interest in a practice, process, or subject. Communities of practice create opportunities for sharing ideas, best practices, and strategies, and for promoting innovation, developing knowledge, cultural, and social capital (Lave & Wenger, 1991).

To the extent that HEI and HECEPs become aware and participate in professional development opportunities in the future, the potential exists for the development of cultural capital (as noted earlier, a measure of the value that can be placed on the way of

being, or personality of a group, collective entity, or an organization) amongst HECEPs. Cultural capital enables the organization to transmit values that influence the attainment of knowledge, skills, and so on, that allows the labor market to compare applicants both quantitatively and qualitatively. This becomes all the more relevant as it is currently well documented that cultural capital is the root of organizational success (Collins, 2001; Collins & Porras, 1990), and that that cultural capital evolved from human capital, triggering a new stage of cultural evolution, that is, a focus shifting from intellectual to human and now cultural capital (Barrett, 2010).

**Secondary research question 2: What are the requisite qualifications in terms of knowledge, skills, abilities, professional experiences, and level of education for the HECEP role in order to lead institutions to attain the CCEC as perceived by the participating HECEPs and PDPR?**

Study participants overwhelmingly indicated that they perceive institutional knowledge (current and historical) as critical to the knowledge base a HECEP should possess in order to be successful in this role, perhaps only effectively attained through significant years of service within the institution. Substantial knowledge of the academic side of the higher education enterprise was also indicated to be key, and it is most often obtained from work experience in the college classroom and/or in conducting or facilitating research and service learning activities. Interestingly, along these lines, the majority of the HECEP study participants were technically classified as faculty within their respective institution. Giving credence to the adage “administrators come and go, but faculty endure,” (Moody, 2004, p. 120) and relatedly, “administrators come and go but faculty are the ones with institutional memory” (Sumpter, 2012, p. 1). Additionally,

knowledge of change management proves key as one considers that community engagement requires collaboration between HEI and their communities, working with engaged citizens, and contributing to the public good.

As reflected by the study participants' responses, the ability to understand and communicate the institution's vision for community engagement was identified as essential to the abilities of someone in the HECEP role. The ability to build and acquire the trust of institutional constituents is perhaps as or more important, as is reflected in the study participants' responses. Having a shared vision between HEIs and their community, as engagement initiatives are undertaken, is one way of building mutual trust (Bennis & Nanus, 2007). Peters and Waterman (2006) posited that trust is critical to the success of people-oriented organizations, where individuals are treated with respect and dignity as adults and partners.

While only one study participant mentioned strategic thinking as a key skill, the researcher contends that the ability to effectively establish professional relationships, demonstrate effective interpersonal skills, work across academic disciplines, and the ability to identify needs of the community, as mentioned by the majority of study participants, are all illustrations of strategic thinking. Pisapia, Reyes-Guerra, & Coukos-Semmel (2005) addresses strategic thinking relative to a leader's ability to understand, identify, predict, respond, and adapt to opportunities and challenges.

Finally, this study found that previous professional work experience in communities, social services, or non-profit entities was viewed as desirable professional experience for the HECEP role, and that an earned doctoral degree is viewed as preferred,

but not required for a HECEP to be successful. It was upon the aforementioned qualifications that the researcher-developed the HECEP Job Specification Template.

The creation of a Job Specification Template for the HECEP role is an opportunity for HEI leaders and hiring authorities to determine if institutions have current employees who could be considered, if interested, in assuming the HECEP role. This template can also be used as a recruitment guide when filling the HECEP role. Without this information it proves difficult to determine the depth with which a pipeline of individuals or succession plans for the HECEP role exist.



|                   |   |
|-------------------|---|
| <b>JOB TITLE:</b> | <b>Higher Education Community Engagement Practitioner (HECEP)</b> |
|-------------------|---|

**Person Specification**

**KNOWLEDGE:** What knowledge is required to do this job?

|   |   |
|---|---|
| <ul style="list-style-type: none"> <li>• Institutional Knowledge</li> <li>• Historical Institutional Community Engagement Initiatives</li> <li>• Knowledge of Academia <ul style="list-style-type: none"> <li>○ Higher Education Administration</li> <li>○ Service Learning</li> <li>○ Research Techniques</li> </ul> </li> </ul> | <ul style="list-style-type: none"> <li>• Community Engagement <ul style="list-style-type: none"> <li>○ Carnegie Community Engagement Classification</li> <li>○ Carnegie Community Engagement Classification Documentation Framework</li> </ul> </li> <li>• Leadership Strategies</li> </ul> |
|---|---|

**SKILLS:** What skills specific to the job are required?

|  |
|--|
| <ul style="list-style-type: none"> <li>• Visionary</li> <li>• Educator</li> <li>• Effective Interpersonal skills</li> <li>• Strategic thinking skills</li> <li>• Negotiation skills</li> </ul> |
|--|

**ABILITIES:** What intellectual capabilities are required to the job effectively, e.g. linking processes and practices to positive outcomes?

|  |   |
|--|---|
| <ul style="list-style-type: none"> <li>• Resource Management</li> <li>• Collaboration</li> <li>• Ability to work across many Disciplines</li> <li>• Ability to understand and effectively articulate the institution’s Vision of community engagement</li> <li>• Ability to identify the needs of the community relative to institutional goals</li> </ul> | <ul style="list-style-type: none"> <li>• Ability to build and acquire trust of constituents</li> <li>• Creative <ul style="list-style-type: none"> <li>○ Ability to uncover hidden resources</li> <li>○ Ability to identify creative solutions</li> </ul> </li> </ul> |
|--|---|

**EXPERIENCE:** What experience and/or achievement in a field, profession or specialism are required? (e.g., a minimum period of experience in a defined area of work)

|   |
|---|
| <ul style="list-style-type: none"> <li>• Experience involved in or conducting and reporting research</li> <li>• Previous work experience in communities, social services or non-profit</li> </ul> |
|---|

**EDUCATION:** What level of education and discipline are required?

|   |
|---|
| <ul style="list-style-type: none"> <li>• PhD is preferred with no specific discipline</li> <li>• A minimum of a Master’s with no specific discipline is required</li> </ul> |
|---|

*Figure 1. Proposed HECEP Job Specification Template*

***Position/job descriptions for HECEP role.*** The results of this study bring new insights that will help to provide guidance in the filling of the HECEP role. Currently, no position descriptions for this role exist within the human resources personnel systems of the study institutions. Again, because of the limitations of the study sample, it cannot be

generalized that position descriptions do not exist for the HECEP role. However, such documents may exist within institutional departments or units.

Based on the researcher's knowledge and experience working in the field of human resource management, it is common practice for human resource departments and for supervisors to make job/position descriptions available as a guide to what is expected in specific jobs. As the situation currently stands, there is disparity between what study institutions say about job/position descriptions in their definition of position descriptions on the institutional website, and the fact that a job/position description for the HECEP role does not exist at these institutions. This study's results provide institutional leaders with insight into what may represent requisite qualifications that HECEP successors should possess.

This study revealed that the participating HECEPs are classified as faculty within their institutions. These HECEPs described that their main function involved a large percentage of administrative work, and in most cases their secondary job function—although, on the academic side, did not require the same or greater percentage of related academic work, the position remains classified faculty.

The study results revealed that all study participants have or had previously served in a faculty role. Further, the study revealed that HECEPs have positive attitudes and perceptions towards using succession planning strategies for the HECEP role in part, because as previously noted, in higher education succession planning is more often viewed as slotting and favoritism as opposed to being based on academic credentials.

In light of the relative non-existence of research related to succession planning in higher education to date, this study provides for a foundation for more in-depth and

broader considerations of succession planning in this setting. Further, study results may provide an impetus for the development of position descriptions to support this role.

### **Implications**

Succession planning is a deliberate and systematic effort by an organization to ensure leadership continuity and encourage individual advancement. It is any effort designed to ensure the continued effective performance of an organization, division, department, or workgroup by making plans for the development and replacement of employees over time (Rothwell, 2005). Attempting to replace a HECEP without previous planning, is reactive, whereas succession planning for that role involves utilizing specifically established processes and practices to ensure the effective identification, selection, and development of employees from which one can be selected to assume the role, and allow for a seamless transition.

As the desire to earn the CCEC designation becomes more prevalent, and as institutions incorporate the concept of community engagement relative to the CCEC into perhaps even institutional strategic plans, the more important it will be to ensure the right administrative leader is in the HECEP role. In order to ensure that the right individual is in the HECEP role, and that there is a pipeline of prepared individuals to assume the HECEP role when the need arises, HEIs will need to adopt a deliberate, systematic approach to talent management and succession planning. Incorporating succession planning processes and offering professional development opportunities to employees will enhance the lifecycle of the employees.

Succession planning for the HECEP role creates a feeder or pipeline of prepared employees from which one can be called upon to assume this role when the need arises.

A pipeline of prepared employees can help assure that the right person is in the role. As noted earlier in the literature review, succession planning and professional development are not isolated events, but rather are integrated processes in the lifecycle of employees. Mentoring, job shadowing, and project assignments are examples of development and may be considered elements of a succession planning program that can prove not only to be cost effective, but can also facilitate efforts made to retain the culture of the institution.

When key institutional talent and/or culture are lost it can be difficult or impossible to retrieve or replace. Time and resources previously devoted to developing and acquiring knowledge can be completely lost if internal systems and processes are not in place to retain or record institutional knowledge and memory. The loss of institutional knowledge, memory, or history is costly in terms of time spent recreating or reinventing processes.

The results of this study provided guidance in the creation of a job specification template for the HECEP role. This template reflects requisite qualifications that are perceived by a representative subset of HECEPs within HEIs that have already earned the CCEC designation and that of an expert judge from the professional development program that was part of this study. The identification of the perceived requisite qualifications forms a foundation from which HEIs can either determine if there are current employees, with the potential, interest and the perceived qualifications who can be considered to assume the HECEP role if and when the need arises. This job specification template can also be used as a hiring tool when recruiting for the HECEP role. This study appears to be a first step in understanding the nature of the requirements

of the HECEP in HEIs. More research into the evolving nature of the role, as defined by the CCEC is necessary to understand the extent of requisite qualifications.

Finally, based on the experience of the researcher, it is recommended that institutions adapt a multi-staged approach to conducting exit interviews. It was not clear from this research study if the exit interviews conducted by the institutions' human resources departments capture information relative to the specific functions of the role. Exit interviews are, in general, focused on the institution, its perceived performance, the level of employee satisfaction or dissatisfaction, and the reason(s) the employee is leaving. Exit interviews may not always collect institutional department/unit or position specific information or the acquired knowledge of the departing employee. Therefore, it may be beneficial for institutions to consider departmental exit interviews be instituted as a means of collecting and recording job position specific information.

### **Recommendations**

This study is limited in scope primarily in terms of the study sample. This limitation, however, creates opportunities for future research. Study recommendations are as follows:

1. Replication of this study to include a broader scale and scope of HEIs, with a focus on professional development for the HECEP role or institutional engagement units, planning for CCEC classification.
2. Replication of this study nation-wide with a focus on examining succession planning as an institution-wide initiative, and not specific to only one role.

3. Conducting of research that provides a comparison and contrast relative to the HECEP role as an academic function (faculty member) versus administrative staffing.
4. Conducting a study of presidents and provosts from HEIs which have earned the CCEC regarding their perceptions of requisite skills of an effective HECEP.

### **Summary**

There appears to be little debate about the critical need for HEIs to consider incorporating the concept of succession planning into institutions' talent management processes. There further appears to be little research to date addressing succession planning in higher education, and specifically for the HECEP role, and within institutional engagement units. As the desire to earn the CCEC designation becomes a key focus for institutions, and as these institutions begin to incorporate the concept of community engagement relative to the CCEC into institutional strategic plans, the more vital it will be to ensure the right leader is in the HECEP role. This study has demonstrated that while HEIs have not fully or openly embraced formal succession planning, there is evidence of the need for institutions to consider the concepts, specifically for the HECEP role. Further, the study reveals that incorporating the strategies of succession planning and professional development into an institution's talent management system holds the potential of being able to identify and develop employees who can be a part of the institution's talent management succession pipeline. With specific focus on the CCEC, this study identifies the EAUL as a best practice professional development opportunity for developing HECEPs or individuals with the propensity to lead HEIs' community engagement units. The results of this study also

lead to a researcher-developed job specification template, which HEIs can use as a guide when hiring or filling the HECEP role within HEIs.

## **APPENDIXES**



## **Appendix A. HECEP Interview Request**

FROM: Heidi Louisy, Doctoral Candidate  
Florida Atlantic University, Higher Education Leadership Program

TO: Higher Education Community Engagement Practitioner

RE: Request for Interview

Dear Name:

I am in the process of conducting a dissertation research project at Florida Atlantic University, where I am a doctoral candidate. The study is a multiple case qualitative study employing three primary sources for data collection: web-based surveys, semi-structured interviews and a review of relevant documents.

The purpose of this study is to: (1) determine the extent to which higher education institutions employ succession planning strategies within their community engagement units and for their Higher Education Community Engagement Practitioner (HECEP) role in support of earning the Carnegie Community Engagement Classification (CCEC); and (2) help determine what knowledge, skills, abilities, professional experiences and education level, combined with strategies and program designs, are likely to provide professional development opportunities that contribute to succession planning for the HECEP role.

Upon review of your institution's website, you have been selected to participate because of your role in leading your institution's community engagement initiatives. If you decide to participate in this research study, you will be asked to participate in a 30–45 minute interview session. The interview questions relate to your current role and your familiarity with the CCEC documentation framework as it relates to the HECEP role. You are free to withdraw from this study at any time without penalty.

After the interview you will be sent a copy of the transcript for your review to check for accuracy. You also have the right to withdraw your participation at any time.

Please let me know if you would be willing to participate in this assignment by responding to this email, or by calling me at 954-324-5742 so that we can arrange a mutually convenient time for the interview. Thank you for your consideration.

## **Appendix B. PDPR Interview Request**

FROM: Heidi Louisy, Doctoral Candidate  
Florida Atlantic University, Higher Education Leadership Program

TO: Professional Development Program Representative

RE: Request for Interview

Dear Name:

I am in the process of conducting a dissertation research project at Florida Atlantic University, where I am a doctoral candidate. The study is a multiple case qualitative study employing three primary sources for data collection: web-based surveys, semi-structured interviews and a review of relevant documents.

The purpose of this study is to: (1) determine the extent to which higher education institutions employ succession planning strategies within their community engagement units and for their Higher Education Community Engagement Practitioner (HECEP) role in support of earning the Carnegie Community Engagement Classification (CCEC); and (2) help determine what knowledge, skills, abilities, professional experiences and education level, combined with strategies and program designs, are likely to provide professional development opportunities that contribute to succession planning for the HECEP role.

Upon review of your program's website, you have been selected to participate because of your role in developing and facilitating professional development opportunities for individuals leading their institution's community engagement initiatives. If you decide to participate in this research study, you will be asked to participate in a 30–45 minute interview session. The interview questions relate to your current role as program administrator. You are free to withdraw from this study at any time without penalty.

After the interview you will be sent a copy of the transcript for your review to check for accuracy. You also have the right to withdraw your participation at any time.

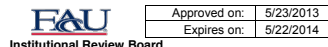
Please let me know if you would be willing to participate in this assignment by responding to this email, or by calling me at 954-324-5742 so that we can arrange a mutually convenient time for the interview. Thank you for your consideration.

## Appendix C. Adult Consent Form with Florida Atlantic University Institutional Review Board Approval Stamp

### INFORMED CONSENT TEMPLATE FOR INTERNET-BASED RESEARCH


- 1) **Title of Research Study:** An Exploratory Multi-Case Study of Succession Planning For Higher Education Community Engagement Practitioners in Five Selected Higher Education Institutions in the State Of Florida
- 2) **Investigator:** Dr. Dianne Wright (PI); Heidi Louisy (Doctoral Student)
- 3) **Purpose:** The purpose of this qualitative multi-case study is to determine the extent to which five selected institutions of higher education employ succession planning strategies within their community engagement units and for their Higher Education Community Engagement Practitioner (HECEP) role in support of earning the Carnegie Community Engagement Classification (CCEC). The research also aims to determine what knowledge, skills and abilities combined with what strategies and program designs, are likely to provide professional development opportunities to HECEPs that will contribute to succession planning for individuals in the HECEP role as institutions seek or aim to maintain the CCEC designation.
- 4) **Procedures:** To participate in this study, you will complete a researcher developed electronic survey. This electronic survey will consist of both open- and close- ended questions and will take about 20 minutes to complete. You will also be asked to participate in a follow-up interview either via telephone or online media technology (e.g., SKYPE). The interview protocol may take about 30 minutes and will be audio-taped only with your permission. Survey and interview questions will focus on your institution as it relates to the Carnegie Community Engagement Classification, as well as your role in the CCEC process. You will not receive any special incentives or compensation for your participation in the Study.
- 5) **Risks:** The risks involved with participation in this study are no more than you would experience in regular daily activities.
- 6) **Benefits:** This research has the potential of bringing greater awareness of the value placed on succession planning in higher education. This study also has the potential of identifying succession strategies which institutions of higher education may be currently using in support of the HECEP role. This study also may provide its participants the benefit of greater insight regarding the knowledge, skills, abilities, professional experiences, and level of education which are considered necessary for the HECEP role in order to lead institutions to successfully earn the CCEC.
- 7) **Data Collection & Storage:** Data for this study will be collected using two researcher developed survey instruments, as well as two interview protocols, one administered to HECEPs and one administered to Professional Development Center Representatives (PRDRs). Any information collected about you will be kept confidential and secure and only the people working with the study will see your data, unless required by law. The data will be submitted to an Florida Atlantic University (FAU) server using a secure, encrypted website and kept for 3 years. After 3 years, any paper copy will be destroyed by shredding, and electronic data will be deleted. We may publish what we learn from this study. If we do, we will not let anyone know your name/identity unless you give us permission

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- 8) **Contact Information:** For questions or problems regarding your rights as a research subject, you can contact the Florida Atlantic University Division of Research at (561) 297-0777. For other questions about the study, you should call the principal investigator(s), Dr. Dianne Wright (Faculty Advisor) 954-226-2553 or Heidi Louisy, Doctoral Student at 954-324-5742.
- 9) **Consent Statement:** I have read the information describing this study. All my questions have been answered to my satisfaction. I am 18 years of age or older and freely consent to participate. I understand that I am free to withdraw from this study at any time without penalty. I have printed a copy of this consent form for my records. By clicking the “I consent” button below, I am giving my consent to participate in this research study.

I consent  I do not consent  to participate in this research study

|   |              |           |
|---|--------------|-----------|
| <br>Institutional Review Board | Approved on: | 5/23/2013 |
|   | Expires on:  | 5/22/2014 |

May 2011

## Appendix D. Higher Education Community Engagement Practitioner Survey

Thank you for agreeing to participate in this survey for a research aimed to determine what requisite knowledge, skills, abilities, professional experiences and education levels are considered required qualifications for the Higher Education Community Engagement Practitioner (HECEP) role. In addition, this proposed study will determine what strategies and program designs are perceived as providing professional development opportunities to HECEPs as institutions as they seek to earn the Carnegie Community Engagement Classification (CCEC) designation. Your participation is strictly voluntary and you may withdraw at any time. By continuing with this survey you are indicating your agreement to participate. Part 1 of this survey will consist of eight (8) questions pertaining to demographic information about you as the institution's HECEP. Part 2 of the survey will consist of twelve (12) open-ended questions pertaining to institutional information and the HECEP role.

### Part 1: Demographic Information

1. What is your official title? \_\_\_\_\_
2. Do you carry any other official title in your organization?  YES  NO
3. If YES, please indicate additional other title(s)  
a. \_\_\_\_\_ b. \_\_\_\_\_
4. What is your highest level of education? Please select from below:  
 Some College  2-year College Degree (Associate's)  
 4-year College Degree (BA/BS)  Master's Degree  
 Doctoral Degree  Professional Degree (MD/JD)
5. What field is your Degree in? \_\_\_\_\_
6. How many years of related work experience do you have in relationship to your current official title above?  
 Less than 1 year  1 – 5 years  6 – 10 years  
 11 – 15 years  16 – 20 years  21 – 25 years
7. How many years of service you have with this current organization?  
 Less than 1 year  1 – 5 years  6 – 10 years  
 11 – 15 years  16 – 20 years  21 – 25 years
8. How long have you been in your current position?  
 Less than 1 year  1 – 5 years  6 – 10 years  
 11 – 15 years  16 – 20 years  21 – 25 years  
 More than 25 year

**Part II: Institutional Information:** Please use the space provided to respond to each question.

1. How does your institution define succession planning?
2. Describe what succession planning means to you?
3. Does your institution have a succession plan in place for the Higher Education Community Engagement (HECEP) role?  YES  NO

#### Probes:

a. If Yes to Question 3, please describe its formal or informal nature in terms of format, selection criteria, oversight, etc.

- b.** If No to Question 3, do you believe your institution would benefit from a succession plan for the HECEP role?  YES  NO
- c).** Please explain your response to Question 3b.
4. In your opinion, what are the top four barriers to executing a succession planning program in your institution for the HECEP role?
- Probes:**
- a.** Can any of these barriers be eliminated or marginalized?  YES  NO
- b.** Please explain your response to 4a?
5. How does your institution define professional development?
6. Do you believe it is necessary for higher education institutions to focus on professional development for the HECEP role?  YES  NO
- Probe:** Would you please explain your choice?
7. Does your institution offer internal development opportunities for the HECEP geared to either earning the Carnegie Community Engagement Classification (CCEC)?  YES  NO
- Probes:**
- a.** If you responded Yes to Question 7, please identify these opportunities.
- b.** In reference to the opportunities listed in Question 7a, please describe the formal or informal nature, components, program format, mode of delivery, and duration of programs.
8. Have you participated in any of the internal opportunities listed in Question 7?  YES  NO
- Probes:**
- a.** If you responded Yes to Question 8, please identify these opportunities.
- b.** If you responded No to Question 8, please explain why not.
9. Does your institution offer external development opportunities for the HECEP geared at either earning the CCEC?  YES  NO
- Probes:**
- a.** If you responded Yes to Question 9, please identify these opportunities.
- b.** If you responded No to Question 9, please explain why not.
10. Have you participated in any of the external opportunities listed in Question 9a?  YES  NO
- Probes:**
- a.** If you responded Yes to Question 9, please identify the program(s).
- b.** If you responded No to Question 9, please explain why not.
11. If your institution does not offer development opportunities internally or provide external development opportunities for the HECEP role, do you believe your institution would benefit from development opportunities for the HECEP role?  YES  NO
- Probe:** Please explain your response to Question 11.
12. In your opinion, what are the top four barriers to executing internal development programs for the HECEP role?
- Probes:**
- a.** Can any of these barriers be eliminated or marginalized?  YES  NO
- b.** Please explain your response to Question 13a.

## Appendix E. Professional Development Center Representative Survey

Thank you for agreeing to participate in this survey for a research aimed to determine what requisite knowledge, skills, abilities, professional experiences and education levels are considered required qualifications for the Higher Education Community Engagement Practitioner (HECEP) role. In addition, this proposed study will determine what strategies and program designs are perceived as providing professional development opportunities to HECEPs as institutions as they seek to earn the Carnegie Community Engagement Classification (CCEC) designation. Your participation is strictly voluntary and you may withdraw at any time. By continuing with this survey you are indicating your agreement to participate. Part 1 of this two-part survey consists of eight (8) questions pertaining to demographic information about you, as the Professional Development Center Representative. Part 2 of the survey consists of 13 open-ended questions pertaining to program information for your professional development center.

### Part 1: Demographic Information

1. What is your official title? \_\_\_\_\_
2. Do you carry any other official title in your organization?  YES  NO
3. If YES, please indicate additional other title(s):
  - a. \_\_\_\_\_
  - b. \_\_\_\_\_
  - c. \_\_\_\_\_
  - d. \_\_\_\_\_
4. What is your highest level of education? Please select from below:

|  |  |
|--|--|
| <input type="checkbox"/> Some College                  | <input type="checkbox"/> 2-year College Degree (Associate's) |
| <input type="checkbox"/> 4-year College Degree (BA/BS) | <input type="checkbox"/> Master's Degree                     |
| <input type="checkbox"/> Doctoral Degree               | <input type="checkbox"/> Professional Degree (MD/JD)         |
5. What field is your Degree in? \_\_\_\_\_
6. How many years of related work experience do you have in relationship to your current official title above?

|   |  |  |
|---|--|--|
| <input type="checkbox"/> Less than 1 year | <input type="checkbox"/> 1 – 5 years   | <input type="checkbox"/> 6 – 10 years  |
| <input type="checkbox"/> 11 – 15 years    | <input type="checkbox"/> 16 – 20 years | <input type="checkbox"/> 21 – 25 years |
7. How many years of service you have with this current organization?

|   |  |  |
|---|--|--|
| <input type="checkbox"/> Less than 1 year | <input type="checkbox"/> 1 – 5 years   | <input type="checkbox"/> 6 – 10 years  |
| <input type="checkbox"/> 11 – 15 years    | <input type="checkbox"/> 16 – 20 years | <input type="checkbox"/> 21 – 25 years |
8. How long have you been in your current position?

|  |  |  |
|--|--|--|
| <input type="checkbox"/> Less than 1 year  | <input type="checkbox"/> 1 – 5 years   | <input type="checkbox"/> 6 – 10 years  |
| <input type="checkbox"/> 11 – 15 years     | <input type="checkbox"/> 16 – 20 years | <input type="checkbox"/> 21 – 25 years |
| <input type="checkbox"/> More than 25 year |  |  |

**Part II: Program Information:** Please use the space provided to respond to each question.

1. How does your Center define succession planning for the Higher Education Community Engagement Practitioner (HECEP) role?
2. Do you believe it is necessary for higher education institutions to focus on succession planning for the HECEP role?  YES  NO  
**Probe:** Would you please explain your choice?
3. How does your Center define professional development for the HECEP role?

4. Do you believe it is necessary for higher education institutions to focus on professional development for the HECEP role?  YES  NO  
**Probe:** Would you please explain your choice?
5. Does your Center offer professional development programs for the HECEP as aids to earning the Carnegie Community Engagement Classification (CCEC) designation?  
 YES  NO  
**Probe:** If Yes, please identify some of these programs offered by your Center.
6. Of the programs offered by your Center, which programs do you believe can directly contribute to the development of individuals in the HECEP role or other individuals interested in assuming a HECEP role?  
**Probe:** Please explain the reasons for your choice(s).
7. How does your Center connect the professional development programs mentioned above with the goals established by your Center?
8. In your opinion, what are the essential competencies required of a HECEP to successfully lead an institution to maintaining and earning the Carnegie Community Engagement Classification?
9. What program(s), other than the ones currently offered by your Center, do you consider important as development opportunity(ies) for the HECEP role?
10. How do you recommend that program participants share what they have learned from your programs with their universities' constituents or stakeholders?
11. How does your Center monitor program participants to determine if any of the recommendations from one of your Center's program are implemented by the HECEP at his or her respective institution?
12. How is the effectiveness of the programs offered by your Center for the HECEP role assessed?



## Appendix F. Higher Education Community Engagement Practitioner - Interview Protocol

### Interview Guide

Name of Interviewer: \_\_\_\_\_

Name of Interviewee: \_\_\_\_\_

Location of Interview: \_\_\_\_\_

Date: \_\_\_\_\_ Start Time: \_\_\_\_\_ End Time: \_\_\_\_\_

**Introduction/Opening Statement:** Thank you very much for agreeing to spend time with me today. The purpose of this study is to: (1) determine the extent to which higher education institutions employ succession planning strategies within their community engagement units and for their Higher Education Community Engagement Practitioner (HECEP) role in support of earning the Carnegie Community Engagement Classification (CCEC); and (2) to help determine what knowledge, skills, abilities, professional experiences and education level, combined with strategies and program designs, are likely to provide professional development opportunities that contribute to succession planning for the HECEP role. It is my hope that this study will lead to a heightened awareness among higher education professionals of the need to consider the potentialities of succession planning in the higher education setting. I would like to accurately capture our conversation today. In order to do this may I audiotape your responses? The tape will be destroyed after the end of the study. By participating in this interview, you give consent to participate in this study. I will give you a copy of this statement for your records. Do you have any questions before we begin?

#### **Part 1: Higher Education Community Engagement Practitioner (HECEP)**

The first part of this interview will focus on the Higher Education Community Engagement Practitioner (HECEP) responsible for leading your institution's community engagement initiatives and for preparing the institution for participating in the assessments and evaluation requirements to successfully earn the Carnegie Community Engagement Classification (CCEC).

According to the Society for Human Resources Management (SHRM, 2006), knowledge is defined as the intellectual possession and an understanding of the operations and processes necessary to qualify for and perform successfully in a position. It defines skill as proficiency or mastery in performing tasks such that requirements for communication, persuasion, responsiveness, or quality are met consistently; for example, in leading change. Ability is defined as enduring intellectual, physical, and sensory capabilities necessary to successfully perform in a position by linking processes and practices to positive outcome (SHRM, 2006). An example of ability is reading and interpreting technical data or metrics that calculate and measure business activities and performance. Do you have any questions before we begin?

1. How is talent management defined within your institution?
2. Which knowledge areas do you think are needed to effectively lead an institution's community engagement initiatives?
3. What professional skills do you think are needed to effectively lead an institution's community engagement initiatives?
4. What professional abilities do you think are needed to effectively lead an institution's community engagement initiatives?
5. What educational background do you consider most appropriate for a HECEP?
6. What professional background experiences do you think are best suited for the HECEP role?
7. What professional experiences have best prepared you to lead community engagement initiatives in higher education?
8. What training has best prepared you to lead community engagement initiatives in higher education?
9. In your opinion, how do you envisage the Higher Education Community Engagement Practitioner role within institutions in the next five (5) years?
10. To what extent does your institution's leadership consider the grooming of employees to assume leadership roles as an important element in the life cycle of employment within your institution?
11. In your opinion, what makes succession planning for the HECEP role a bad idea for higher education institutions?
12. In your opinion, what is the role of the Office of Equal Opportunity in succession planning?
13. What role does your institution's Office of Equal Opportunity have in internal promotion processes?
14. Are you able to identify additional factors which may complicate a succession planning program for the HECEP role other than the ones mentioned in question 16 of the survey?
15. Do you believe your institution should implement or consider implementing a succession planning program for the HECEP role?

**Part 2: Carnegie Community Engagement Classification Documentation Framework (Documentation Framework)**

The second part of this interview will focus on the Documentation Framework (see Appendix F) for assessing and evaluating the CCEC.

1. Are you familiar with the elements which make up the Documentation Framework for the CCEC?  YES  NO (if Yes, proceed to Question 9. If No, interviewer will provide interviewee with a copy of Appendix \_\_ prior to proceeding to Question 9).
2. Which area(s) of the Documentation Framework for the assessment and evaluation of the CCEC at your institution do you believe are your strengths?
3. Which area(s) of the Documentation Framework for the assessment and evaluation of the CCEC at your institution do you believe are area(s) you need to enhance your knowledge, skills, abilities, or professional experiences in preparation for the assessment and evaluation?

4. What knowledge areas do you believe need enhancing for you to effectively lead your institution to successfully earn the CCEC?
5. Which professional skills do you believe need enhancing for you to effectively lead your institution to successfully earn the CCEC?
6. How does your institution capture and transmit institutional memory for the HECEP role? (e.g., exit interview process, new employee onboarding orientation)

**Closing:** Thank you for taking time out today to contribute to this study. Again I want to reiterate that this information will remain confidential and be used only for the purpose of this study. I am happy to send you a transcript of the interview for your review to ensure that I have accurately captured our conversation today. If I have any further questions of clarification may I call you for follow up? You are free to contact me if you have anything additional you would like to add.

## Appendix G. Professional Development Center Representative - Interview Protocol

### Interview Guide

Name of Interviewer: \_\_\_\_\_

Name of Interviewee: \_\_\_\_\_

Location of Interview: \_\_\_\_\_

Date: \_\_\_\_\_ Start Time: \_\_\_\_\_ End Time: \_\_\_\_\_

**Introduction/Opening Statement:** Thank you very much for agreeing to spend time with me today. The purpose of this study is to: (1) determine the extent to which higher education institutions employ succession planning strategies within their community engagement units and for their Higher Education Community Engagement Practitioner (HECEP) role in support of earning the Carnegie Community Engagement Classification (CCEC); and (2) to help determine what knowledge, skills, abilities, professional experiences and education level, combined with strategies and program designs, are likely to provide professional development opportunities that contribute to succession planning for the HECEP role. It is my hope that this study will lead to a heightened awareness among higher education professionals of the need to consider the potentialities of succession planning in the higher education setting. I would like to accurately capture our conversation today. In order to do this may I audiotape your responses? The tape will be destroyed after the end of the study. By participating in this interview, you give consent to participate in this study. I will give you a copy of this statement for your records. Do you have any questions before we begin?

1. What are the institutional requirements for participation in your center's professional development programs?
2. What criteria does your center utilize to determine eligible program participants?
3. What educational background do you consider most appropriate for a Higher Education Community Engagement (HECEP)?  
**Probe:** Please explain why you identified these prerequisites?
4. What kind of professional background do you believe is best suited for a HECEP to effectively lead an institution's community engagement initiatives?  
**Probe:** Please explain why you believe these background experiences are best suited.
5. Identify the top knowledge areas you believe are necessary for a HECEP to possess to be able to effectively lead an institution's community engagement initiatives.  
**Probe:** Please explain why you believe these are the top necessary knowledge areas.
6. Identify the top skills you believe are necessary for a HECEP to possess to effectively lead an institution's community engagement initiatives.  
**Probe:** Please explain why you believe these are the top necessary skills.

7. Identify the top abilities you believe are necessary for a HECEP to possess to effectively lead an institution's community engagement initiatives.  
**Probe:** Please explain why you believe these are the top necessary abilities.
8. In your response to Question 10 in the online survey, you identified (the name of program identified) a program that could directly contribute to the development of a HECEP. Please describe that program, identifying the competencies covered, the duration of the program, the delivery method, and the expected outcomes of the program.
9. Are you able to identify any other programs that focus on development opportunities for the HECEP role?
10. In your opinion, is your center concerned about succession planning for the HECEP?  
**Probe:** Why or why not?
11. Although several excellent schemata exist for program assessment, are you aware of a model or a rubric that your center uses to assess the participants' levels of knowledge and skills before they participate in a program and upon completion of the program?  
 YES     NO  
**Probes:**
  - a. If Yes, please describe:
  - b. If No, in your opinion, are such assessment tools necessary?

**Closing:** Thank you for taking time out today to contribute to this study. Again I want to reiterate that this information will remain confidential and be used only for the purpose of this study. I am happy to send you a transcript of the interview for your review to ensure that I have accurately captured our conversation today. If I have any further questions of clarification may I call you for follow up? You are free to contact me if you have anything additional you would like to add.

## **Appendix H. Carnegie Classification Documentation Framework**

The following is a breakdown of the Carnegie Community Engagement Classification Documentation Framework (Documentation Framework) for assessing and evaluating the Carnegie Community Engagement Classification (CCEC):

1. Foundational indicators (these must be demonstrated by both required and optional documentation)
  - a. Institutional identity and culture:
    - i. Examples include missions, marketing material, websites, community perceptions, institutional events, celebrations, and recognitions.
  - b. Institutional commitment:
    - i. Examples include strategic plan, budgetary allocations, infrastructure, faculty development, promotion and tenure policies, and recruitment processes.
2. Categories of community engagement
  - a. Curricular engagement:
    - i. Examples include teaching, learning and scholarship that engages faculty, students and community.
  - b. Outreach and partnerships:
    - i. Outreach focuses on the application and provision of institutional resources for community use.
    - ii. Partnerships focus on collaborative interactions with community and related scholarship for the exchange, exploration, and application of knowledge, information, and resources.

# Appendix I. Florida Atlantic University Institutional Review Board Approval Letter



## Institutional Review Board

*Mailing Address:*  
Division of Research  
777 Glades Rd., SU-80, Suite 106  
Boca Raton, FL 33431

Tel: 561.297.0777 Fax: 561.297.2573

<http://www.fau.edu/research/researchint>

Nancy Aaron Jones, Ph.D., Chair

DATE: May 23, 2013

TO: Dianne Wright, PhD  
FROM: Florida Atlantic University IRB

IRBNET ID #: 412855-2  
PROTOCOL TITLE: [412855-2] An Exploratory Multi-Case Study of Succession Planning For Higher Education Community Engagement Practitioners in Five Selected Higher Education Institutions in the State Of Florida

PROJECT TYPE: *New Project*  
ACTION: APPROVED

APPROVAL DATE: May 23, 2013  
EXPIRATION DATE: May 22, 2014

REVIEW TYPE: Expedited Review  
REVIEW CATEGORY: Expedited review category # B7

Thank you for your submission of Response/Follow-Up materials for this research study. The Florida Atlantic University IRB has APPROVED your *New Project*. This approval is based on an appropriate risk/benefit ratio and a study design wherein the risks have been minimized. All research must be conducted in accordance with this approved submission.

- This study is approved for a maximum of **7 subjects**.
- It is important that you use the approved, stamped consent documents or procedures included with this letter.
- **\*\*Please note that any revision to previously approved materials or procedures, including modifications to numbers of subjects, must be approved by the IRB before it is initiated.** Please use the amendment form to request IRB approval of a proposed revision.
- All SERIOUS and UNEXPECTED adverse events must be reported to this office. Please use the appropriate adverse event forms for this procedure. All regulatory and sponsor reporting requirements should also be followed, if applicable.
- Please report all NON-COMPLIANCE issues or COMPLAINTS regarding this study to this office.
- Please note that all research records must be retained for a minimum of three years.
- **This approval is valid for one year.** A Continuing Review form will be required prior to the expiration date if this project will continue beyond one year.

If you have any questions or comments about this correspondence, please contact Tina Horton at:

Institutional Review Board  
Research Integrity/Division of Research  
Florida Atlantic University  
SU-80, Suite 106  
Boca Raton, FL 33431  
Phone: 561-297-0777

\* Please include your protocol number and title in all correspondence with this office.

**This letter has been electronically signed in accordance with all applicable regulations,  
and a copy is retained within our records.**



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