Research and Development Series

THE IMPACT OF LEADERSHIP AND LEADERSHIP DEVELOPMENT IN HIGHER EDUCATION:

A REVIEW OF THE LITERATURE AND EVIDENCE

Research Report

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Inspiring Leadership | **Leadership Foundation** for Higher Education

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Acknowledgements

Contents

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Foreword

The literature on leadership and leadership development can be unfocused and has a tendency to proselytise. In response to the growing agenda on impact and "what works" in higher education, we commissioned this literature review, to clear the ground and stake out markers to inform future strategies. We are grateful to Sue Dopson from the Said Business School, Oxford University and her colleagues from King's College London, Warwick and Melbourne universities, in particular Ewan Ferlie, Gerry McGivern, Michael Fischer, Jean Ledger, crucially supported by a wider team of information specialists, for this important contribution and for clarifying differences in understanding between leader and leadership development.

This is an overview of evidence selected and tested against quality criteria. Rigorous and reproducible it draws from the best of systematic and narrative review methodology. The lively writing style is pragmatic, critical and intuitive and sets out the limitations in the current state of knowledge exposing the gaps in our understanding about what sort of leadership is appropriate and effective in different contexts.

This report provides new insights on what is known about the impact and outcomes from leadership interventions; the conceptual underpinnings of leadership development research in higher education; and critical discussion of the emerging issues from other sectors and internationally. Finally it generates propositions for a development and research agenda to be taken forward by the sector.

Alongside this report by Sue Dopson and her colleagues we commissioned a companion set of two pieces(a full and a summary report) by Elizabeth Morrow that investigated the impact of research in the field of leadership, governance and management as submitted in the 2014 REF impact case studies. We hope that these reports will be read and used together as they "stake out the ground" and illuminate what we mean by impact from multiple perspectives. Each is frank about the challenges of measurement and offers a conceptual model of the routes to impact from research as well as questions for future research.

Professor Fiona Ross CBE
Director of Research
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Executive summary

Leadership development and its effectiveness has not been explored in depth empirically, especially across university settings. It is therefore timely that the Leadership Foundation has sought to invest in exploring what is known in the area of the impact of leadership development in higher education settings.

Our review is structured thematically and led by the five stated objectives of the commissioned work namely:

1. To identify promising leadership interventions applied in UK higher education that have a reliable evidence base and/or are theoretically informed.

2. To provide clarification on the conceptual and theoretical lenses applied to leadership and leadership development in the higher education sector and how these have developed over time, with reference to developments in related knowledge intensive sectors and settings.

3. To outline a conceptual framework for thinking about leadership development in higher education at different organisational levels and across institutional contexts.

4. To identify any metrics and/or tools currently used to evaluate the effectiveness and impact of leadership interventions, which could assist the Leadership Foundation in generating its own leadership development metrics in future.

5. To identify gaps in the literature on leadership and leadership development in higher education and make suggestions for future research.

The team leading this review have many years' experience researching different aspects of leadership in public sector organisations, mainly but not exclusively in complex healthcare settings. Some of the team are also involved in designing and delivering leadership development activities more broadly.

We adopted a rigorous review methodology that drew on a diverse range of information sources - such as leadership texts – as well as previous literature reviews that had adopted looser approaches. Our approach was pragmatic and question driven, with due attention paid to the quality of the literature and appropriate inclusion and exclusion criteria.

In summary, the current literature on leadership development approaches in UK higher education appears small scale, fragmented and often theoretically weak, with many different models, approaches and methods co-existing with little clear pattern of consensus formation. The report highlights a paradox. The higher education sector is a "knowledge industry" but has a relatively poor record of investing in studying its own effectiveness.

One problem we identified was that leadership development was often seen as synonymous with leader development. We suggest the need to develop a broader conceptualisation of what leadership and leadership development is in higher education settings that moves beyond individual leaders and which considers leadership processes in higher education settings in more distributed, relational and contextual terms.

It is difficult to measure a leadership development programme impact if you are not clear about the definition of the nature of leadership development processes in higher education settings in the first place. In the studies we reviewed on leadership evaluation and metrics there appears to be no boundary that can be easily drawn around possible fields of measurement of higher education development programmes. Studies varied according to whether they are measuring the degree of changes in individuals, changes in the effectiveness of groups to which the leaders belong or wider forms of organisational change.

Given the importance of leadership development in the UK higher education sector and the amount of resource spent on it by higher education institutions (HEIs) as programme commissioners, the number of promising UK-based leadership interventions that we found to have a reliable evidence base and/or be theoretically well informed, is low. The general discussion section of the report reflects on the five overarching aims of this research and specifically suggests some useful potential research projects including: an initial stock take of the national field by collecting texts outlining leadership development activity from all UK HEIs and then subjecting them to a content analysis with follow up interviews; a longitudinal UK cohort study to track individual career and wider personal outcomes over time after participation in leadership development programmes; a longitudinal, processual and comparative case study-based approach where the unit of analysis is tracking a desired strategic change or organisational transformation in an HEI supported by a large scale investment in leadership development activity; and finally a study to act as a national "clearing house" for nationally occurring local evaluations and to try and build a "meta analysis" across them.

Context and background

Leadership development and its effectiveness has not been explored in depth empirically, especially across university settings.[1] Few studies have linked leadership development programmes to organisational outcomes in higher education or performance assessments, such as the UK Research Excellence Framework (REF). It is therefore timely to critically evaluate the concept of leadership and the impact of leadership development in the higher education context, particularly in light of new demands being placed on university leaders and emergent policy, social and economic trajectories.

UK universities have managed to sustain financial growth in the context of a global economic recession, investing in knowledge exchange activities and increasingly collaborating with different institutional partners. In the UK this is estimated to have generated additional income of about £3.6 billion, "a real terms increase of 45% since 2003–04"[2] emphasising the extent to which higher education institutions and their leaders are needing to adapt and become outwardly focused. In the English context, policy has altered university funding mechanisms and explicitly encourages universities to generate economic impact. The Witty Review, for example, sees universities as drivers of economic growth.[3] Hence higher education institutions may be viewed as progressively "entrepreneurial".[4] Such developments raise interesting questions about how to effectively measure the impact of universities across multiple dimensions (educational, research, social, economic) and the ability of educational leaders to respond to a re-configuration of institutional objectives and mission.

One implication of this shifting context is that higher education professionals may be engaging in an increasingly diverse range of approaches to leadership in practice, as institutions evolve over time. Recent work on the impact of the social sciences, for example, suggests that academic influence is related to career stage, specific engagement practices and external reputation.[5] Academics that are effective "communicators" or "influentials" – ie experts with strong linkages to government or external organisations – will generally have greater impact than less visible peers, particularly when compared to early or mid-career researchers. Hence there is an important question about whether or not leadership development programmes in higher education are tailored to career stage and accommodate a professional spectrum covering public engagement, research and publication activities.

A contextual focus on leadership in the university sector is clearly valuable, but so too is conceptual clarification of what leadership is, given the abundance of leadership literature. As the educational policy space has evolved, so too has leadership theory, approaches to leadership development and leadership research. Morrison et al argue that the "essence of leadership development traditionally has been the ability to first understand the theories and concepts of leadership and then apply them in real life scenarios".[6] In preparing for our review, we took time to explore the "landscape" of the scholarship on leadership. This review is captured as Appendix 1, which is offered as a backdrop to our report. We have found in our previous work on leadership development in the health sector that there is often confusion and ambiguity concerning the definition of leadership and who leaders are. The work reviewed for this report also suffers in the same way. Furthermore, many theories in the leadership field are based on US studies, raising questions about the extent to which findings from these studies are relevant to the day-to-day leadership of managers and professionals in "highly politicised, UK public sector organisations".[7]

It is therefore timely that the Leadership Foundation has sought to invest in exploring what is known in the area of the impact of leadership development in higher education settings. We were delighted to have the opportunity to oversee this narrative review and offer it as a contribution to further thinking in this field.

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1   Bryman and Lilley (2009); Nohria and Khurana (2010)
2   UUK (2014)
3   The Witty Review (2013)
4   Etzkowitz (2004)
5   Bastow et al (2014)
6   Morrison et al (2003) p11
7   Alimo-Metcalfe and Alban-Metcalfe (2004) p177

Our review is structured thematically and led by the five stated objectives of the commissioned work namely:

1. To identify promising leadership interventions applied in UK higher education that have a reliable evidence base and/or are theoretically informed.

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5. To identify gaps in the literature on leadership and leadership development in higher education and make suggestions for future research.

The team leading this review have many years' experience researching different aspects of leadership, mainly but not exclusively in complex healthcare settings. Some of the team are also involved in designing and delivering leadership development activities. In our discussion and conclusion sections we draw from that experience as well as the literature we have reviewed. The team's approach to undertaking the review is documented in detail in the next section on methodology.

Methodology

We needed to narrow our search in order to identify examples of leadership interventions in higher education found to be effective, yet we also needed to remain open to relevant developments in leadership theory more generally.

The review was structured thematically and led by the five stated objectives outlined above. We did not carry out a systematic review because we were keen to include a diverse range of information sources - such as leadership texts – as well as previous literature reviews that had adopted looser approaches. We were aware at the outset that there were few controlled experimental studies, meta-reviews and large-scale systematic evaluations on this topic. Furthermore, there is not an equivalent search database in the field of education as found in healthcare (such as the Cochrane Collaboration) and the effects of leadership programmes on both individual and organisational practice are inherently complex and ambiguous. We found it necessary to explore the subject of leadership effectiveness in higher education broadly, rather than according to pre-defined measures or hypothetical propositions.

Our approach was pragmatic and question driven, with due attention paid to the quality of the literature and an appropriate inclusion and exclusion criteria. We outline the major review stages below with further technical details of search strategy available on request from the Leadership Foundation.

STAGE 1: rapid exploration and review
The first stage of the review was exploratory with the aim of producing a map of the topic of enquiry.[8] We began our work by reviewing major theoretical models from the established leadership literature and social science and education databases - including business and generic management sources since the majority of empirical studies and theoretical papers on leadership are discussed in this field (ie in management, leadership and organisation studies). We also consulted helpful reviews already undertaken on the higher education sector. [9]

We met with a library team to devise a search strategy and begin to identify key search terms. This team (located at the Said Business School) began to experiment with different word strings, feeding back their early findings to the academic team in order to develop a more formal approach.

STAGE 2: search protocol development
Library staff developed three component searches (see Figure 1) based around the initial theme of leadership interventions within higher education and their impacts, including any metrics and reviews available about those interventions. Four databases were selected for the search: ProQuest Abi/Inform; Business Source Complete; IBSS and ERIC. The results were documented and references (with abstracts where available) exported to EndNote.

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8   Hart (1998)
9   Bryman (2007)

Figure 1 Prestige and reputation

1. Leadership	Interventions Developments Programmes Activities Training	Higher education	
2. Leadership	Results Impacts Effectiveness Outcomes Evidence	Higher education	
3. Leadership	Interventions Developments Programmes Activities Training	Metrics Tools Quantitative Qualitative Systematic reviews	

It was found that this combination of search terms returned too many results (given the vastness of the literature discussing "leadership"), especially in ERIC, therefore the search strategy was modified (see Figure 2).

Figure 2: Search strategy 2 (with three components)

1. Leadership	Interventions Developments Programmes Activities Training	Higher education	
2. Leadership	Results Impacts Effectiveness Outcomes Evidence	Higher education	
3. Leadership	Interventions Developments Programmes Activities Training	Higher education	Metrics Tools Quantitative Qualitative Systematic reviews

STAGE 3: data extraction and critical appraisal

The library team ran the search across the databases specified above according to an agreed strategy (Figure 2). The term "leadership" and the central column terms for each component were searched within two or three words of each other, using the NEAR Boolean operator. Equivalent terms for "higher education" were identified in each database and used if necessary (for example, Business Source Complete uses "Universities & Colleges"). The key terms were searched for titles and abstracts, except for "higher education" (and associated synonyms), which were searched for as subject headings. Results were filtered for academic results only.

In total, 777 results were originally identified. These results (titles and abstracts) were initially reviewed by the team according to their relevance to the protocol and literature review questions, thus reducing the total to 41. During this process, few papers were found to be sufficiently focused on the outcomes of leadership interventions or of a satisfactory quality for inclusion in the review ie many returns were descriptive and lacking in empirical data and/or theoretical explanation. Others were not sufficiently focused on higher education. Hence the number of returns was significantly reduced at this point and lower than expected.

The references of selected articles and those articles that cited them were also searched to find additional sources, and added to the database. Citations were searched using Web of Knowledge, Scopus and Google Scholar and duplicate entries were highlighted.

Given the paucity of high quality articles returned (ie those that, firstly, fitted with the research objectives and, secondly, had clear methodological and theoretical framings), the team decided to target a group of high tier journals for the subject areas "Education and Educational Knowledge" and "Management" from Web of Knowledge; specifically, we identified 12 journals rated highly by five-year Impact Factor (scoring three and above). Few of the articles found by this method were in the original search, therefore there was little crossover upon comparison. The search was run again in the high impact journals but without the "higher education" delimiter to broaden the scope. However, as we had found with our initial searches, this was simply too broad and produced a large number of results of limited relevance.

At this point, the academic team further agreed that in view of a lack of empirical articles *specifically* focused on "leadership metrics" as a distinctive topic applied to the higher education sector, that an additional search without "higher education" was required – again to broaden out to other possible relevant findings from ABI/Inform, BSC, IBSS and ERIC. Indeed, we note that a problematic issue with tightly structured literature reviews is that they risk excluding useful and "classic" sources, yet on the other hand, widening the parameters of the search frequently returns multiple, irrelevant sources. A problem or question-driven review can thus be considered an ongoing, iterative process between narrowing search terms to hone in on concrete topics, and broadening the search where gaps become apparent. We returned over 2500 references initially, yet the majority were not relevant to our objectives and refinement was clearly necessary.

The term "evaluation" was lastly added as a keyword and results filtered for academic (peer-reviewed) sources only (see Figure 3). The library team searched the British Education Index as an additional database but no relevant results emerged as this literature was largely concentrated on schools rather than universities (a common finding in our review). This later strategy aimed at narrowing down our search on evaluation/metric studies of leadership interventions and returned 92 new articles across the main four databases, with additional findings found in Google Scholar (110), so 202 additional references in total.

Figure 3: Additional leadership and metrics search (component three)

Leadership	Interventions	Metrics
	Developments	Tools
	Programmes	Quantitative
	Activities	Qualitative
	Training	Systematic reviews
		Evaluation

In parallel, we undertook a tailored search of the grey literature, seeking to identify policy reports and commissioned research from higher education agencies, government and think tanks that would emplace issues of leadership specifically within a UK higher education context.

The grey literature was searched according to organisational, institutional and governmental websites:

- Universities UK
- Nesta
- Government departments - outputs on UK higher education
- Hefce
- BERA
- Society for Research in Higher Education

We included grey literature as the tender specifically requested that grey literature and policy reports should be included and indeed we acknowledged the need to understand and analyse context for the research and identify work that might be missed by focusing on academic literature. Finally, a brief online search of the UK REF database was undertaken to find examples of high impact leadership case studies across subject areas. We do not include these results because we are aware that the Leadership Foundation has commissioned a separate report on the UK REF and higher education impact, hence we have attempted to avoid unnecessary duplication of effort.

STAGE 4: in-depth appraisal content review
The results were critically appraised as follows:

1. The returns from the search strategies above were compiled into an Excel database and shared via Basecamp (our communications and discussion platform for working as a team on this project), where abstracts were reviewed by a minimum of two academic team members. Papers were selected for their relevance in addressing the five objectives of the review, with low quality, descriptive and atheoretical papers excluded at this stage.

2. Selected abstracts were read and scored by a team member (again, where possible, this was done in pairs). This drew on a similar process Ferlie and Ledger have piloted in their current NIHR-funded project on knowledge mobilisation and leadership in healthcare where papers were scored one to three (three being highest) across four core domains (relevance; methods; theory; novelty/interest) and linked to the source's journal impact factor.[10] Relevance for us involved: was the piece relevant to the objectives of the review? Was the methodology appropriate? Was there a sound and appropriate theoretical base and were there practical implications for assessment? Papers with scores of two or higher were included.

- Of the 41 papers shortlisted from the original review, only 15 were included for full review following this process. Another 17 were identified from references and citations of those selected papers (see Section 5).
- Of the 202 results for the metrics and evaluation additional search, 33 articles were selected due to their relevance and/or conceptual interest.
- Of the grey literature, 30 independent/government reports were included.
- TOTAL = 65 academic papers, plus grey literature

STAGE 5: data synthesis and report
Large-scale, structured reviews generate a mass of disparate material and, as discussed, it is a multi-staged process to reduce the findings appropriately. In this review, the approach was pragmatic - both broad and narrow depending on the search results during the process.

Leadership development in higher education: reviewed articles from the structured search

Only 31 papers survived our quality sift. Table 1 summarises this group of papers. These papers were grouped into clusters (see below).

Cluster 1: outcome assessment of higher education leadership development programmes

A number of papers took a distinctive perspective on the question of the outcomes assessment of higher education leadership development programmes. Chibucos and Green evaluated the impact of a well-established American higher education leadership development programme, the American Council on Education Fellows programme which was set up in 1965.[11] It was designed to train college and university administrators (who appear to be mainly established academics seeking to move into senior administrative roles such as deanships) and has attracted continuing institutional support. Unusually, the programme has been subjected to longitudinal evaluation.

Chibucos and Green drew on: (i) a complete dataset gathered routinely by the American Council on Education on cohorts in the first 18 classes (747), and (ii) a survey of surviving fellows and their associated mentors which achieved a high response rate. Fellows experienced a one-year internship with their mentor and also had exposure to several week-long seminars which covered issues in higher education administration. The home institution has to support the fellow on full salary for a year so it is a substantial investment. Fellows are offered regional networking opportunities and are encouraged to read the literature and then write an analytical paper, the best of which are published in the American Council on Education's in-house journal. It appeared that over time more women and minority participants were being enrolled in the programme, which was indeed an explicit goal for the programme from the mid-1970s.

Their survey-based study produced data which tracked long term career outcomes: for example, the position of dean or higher was achieved by 56% of fellows and a significant number became university presidents. Fellows cited the mentorship element of the programme as particularly effective; the mentors also reported high levels of activity in this area. The internship and week-long seminars were also reported as being highly valued. Overall, strong support was expressed for the programme and for its role in contributing to a range of learning outcomes (eg leadership styles). One problem was that fellows' high expectations were not always fulfilled (at least in the short term) on their return to their host institution with the danger that they could become mobile (and the institution lose its investment). Chibucos and Green concluded: "the fellows programme has provided a mechanism for higher education to identify and train promising individuals for leadership positions. It has required a high level of institutional support as well as a commitment to the idea that an investment in the development of a cadre of well-prepared administrators is worthwhile both for the individuals and for the institutions they will serve."[12] We comment that this was a strong paper in terms of its longitudinal and national level coverage.

McDaniel updated the evaluation of an updated American Council on Education programme, specifically tracking the class of 1999/2000 fellows.[13] The fellows scheme was redesigned in the late 1990s to articulate a set of higher education sector relevant competences that could be a guide to leadership development in the domains of content (eg "demonstrates understanding of issues of academic administration", "demonstrates understanding of athletic process", "demonstrates leadership as service to something other than to self") and communications (eg "articulates and communicates a vision"). The new set of competences became the intended learning outcomes framework for this class and class members undertook a "before" competences self-assessment exercise using Likert scales to identify strengths and weaknesses. These self-assessments became the basis of individual learning plans: "in those areas where a fellow identified a gap, he or she was encouraged to articulate learning goals and design learning activities to participate, research, observe, and reflect on situations in which senior leadership was demonstrated. As the fellowship unfolded, fellows were encouraged to collect evidence to document their learning and to reflect on their growth related to leadership using a portfolio."[14] Qualitative remarks from some fellows on the value of this approach at the end of the year were positive, although we comment that the data presented by McDaniel is still small scale and preliminary. The use of a competences approach is also controversial, particularly when applied to such senior level and complex work.

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11   Chibucos and Green (1989)
12   Chibucos and Green (1989) p40
13   McDaniel (2002)
14   McDaniel (2002)

Ladyshewsky and Flavell's qualitative study examined the medium-term impact (going beyond short-term measures of course satisfaction to consider six or 12 month reported outcomes) of a leadership development programme in an Australian university for mid-level programme coordinators (rather than senior management team level). [15]

The design of the programme: "was highly collegial, was situated in the context of higher education, included peer coaching and had a 360 degree review process which was aligned with a well-established leadership development framework entitled the 'integrated competing values framework'…overall, the programme's theory of action was centred around experiential learning." [16] The peer learning and coaching was facilitated by internal specialists. Kolb's adult learning text was cited as a significant influence. [17]

A cohort of 10 programme coordinators were interviewed and "questions focused on how each individual participant's behaviour had changed and what personal insights concerning his or her practice has emerged as a result of the leadership development programme." The "challenge for programme coordinators is that, in addition to having academic credibility they must lead and manage the course team without having any line management authority. Hence they must build their influence through collegiality and informal relationships." [18] The notion of a more distributed form of leadership was important in this sector.

Respondents reported various positive outcomes that had endured up to 12 months. The central outcome of the programme was increased "confidence" and a reported sense that they had been empowered to lead their programmes. Negative conditions in the university ("workstrain") was seen as reducing the potential impact of the programme somewhat.

Marshall undertook a personal research project and qualitative study examining the experiences of a cohort (10) of middle managers (eg head of departments) in trying to manage change in a New Zealand tertiary education setting. [19] These middle managers could be seen as "caught in between, top down and bottom up forces within a middle up/besides/down perspective. They had busy and cross-pressured change agendas. Management education and development was not consistently available, and indeed was severely lacking in some cases: 'most of this study's participants fell into leadership positions and did not consciously undertake training for the position'". [20] An implication of the paper is that higher education institutions need to give more thought to developing emergent leaders.

Key points:

- There are very few programmes where outcomes have been subjected to longitudinal evaluation (a notable exception is Chibucos and Green). [21]

Competences approach is controversial when applied to senior and complex work in this sector.

Cluster 2: gender and diversity in higher education leadership development
Gender and diversity in higher education leadership was a second important theme explored in a number of articles, which picked up on policy level initiatives in the same field. In New Zealand, the L-SHIP research project sought to uncover women's own perceptions of how formal and informal experiences influence professional development and advancement by women. Collings et al searched for positive stories from the field. [22] They used "positive" and qualitative research techniques such as Critical Incident Analysis to uncover these experiences, undertaking an online survey of 26 women from all eight New Zealand universities. They grouped the 108 responses received into five meta categories: (i) work relations with seniors; (ii) university environment; (iii) invisible rules; (iv) proactivity (the biggest group, with 31 responses, including reports of planned, and also spontaneous proactivity undertaken by the women themselves as well as engagement in personal development activity); and (v) personal circumstances. We comment that the important role of self-directed agency is an interesting finding which might usefully be explored further.

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15   Ladyshewsky and Flavell (2011)
16   Ladyshewsky and Flavell (2011) p132
17   Kolb (1984)
18   Ladyshewsky and Flavell (2011) p128

19   Marshall (2012)
20   Marshall (2012) p519
21   Chibucos and Green (1989)
22   Collings et al (2010)

Deem also takes a feminist and gendered perspective to re-analyse the results of two of her previous interview-based studies (30 respondents in six universities), looking at the possible tension between principles of excellence and diversity in UK higher education.[23]   Respondents appeared closer to distributed or team concepts of leadership rather than a more charismatic approach. One theme in one study considered in the paper is how "excellence" is construed in sectoral leadership development programmes, including the significant Top Management Programme sponsored by the Leadership Foundation. It was felt by respondents that these programmes were best suited to less experienced leaders and that they contained major material on managing organisational change. They were also seen as being important networking arenas; with "club like" features (some respondents were critical of this aspect). If so, then the question arises of how diverse the intake to this key programme is.

DeFrank-Cole et al report an (internal) evaluation of a women's leadership initiative undertaken in one American university.[24] They offered an in-house leadership development programme which was more cost effective (and could be offered to a larger group of women) than buying places in an external programme. Nevertheless, it drew on principles developed in the Harvard Women's Leadership Forum programme. Drawing on adult learning theory, they used coaching groups and sessions, external facilitators (in the first phase) and homework and reading assignments. Women from the initial cohort (29) were trained to act as coaches and facilitators for the second cohort. Their mixed methods evaluation concluded: "it is quite clear from both the qualitative and quantitative data that participation in our university's Women's Leadership Initiative had a significant positive impact on the first round of women. The data for Phase 2 participants (43) are likewise encouraging; there are just fewer significant positive impacts."[25] They argued this could be because this was the first time women trained in the first cohort had gone on to act as coaches themselves. We comment that follow up evaluations to test this argument (and whether their coaching skills do improve) will be important in terms of developing collective capacity across the university.

Gallant undertook semi-structured interviews with a cohort of eight women in an Australian university who had been through a leadership development programme, taking a symbolic interactionist perspective.[26]   Respondents' own social constructions around women leaders stressed their soft and nurturing qualities; while the male leaders were constructed in terms of (admired and important) hard skills such as "being decisive" and managing people. Interestingly, notions of hybrid skills were absent. The impact of the programme was not assessed in direct terms. Gallant concluded: "the mid-career women academics are facing workplace relationships that have been institutionally inherited. They are attempting to build on these as they aspire to leadership, which is not leading to vertical promotions. The unconscious gendered views are a block in developing hard skills."[27] An implication is that formalised leadership and skill-based programmes may be more helpful than experiential methods which do not shift these gendered notions.

Harris and Lebermam studied the impact of a major leadership development programme (New Zealand Women in Leadership) aimed at senior women in New Zealand universities (20 participants per cohort drawn from the eight universities).[28] A longitudinal case study approach was adopted, including surveys, phone interviews and an independent evaluation: "the programme aims to recognise and enhance women's leadership capacities and influence within universities. It provides opportunities for participants to examine leadership attributes and reflect on strategies; increase knowledge of a range of management competences relevant to higher education; the tertiary education sector, and of the research funding environment to develop strategies for securing grant monies and build personal and national networks."[29] The programme was informed by the principle of the "collective process of collaborative learning as a situation where a group of individuals learn from each other by engaging in discussion, reflecting on their experiences and even exploring reasons for differences in judgement."[30] The main benefits cited by participants related to more self-confidence and better developed networks. We comment that these two selected outcomes are both relatively "soft" and by themselves of an intermediate and limited nature.

23   Deem (2009)
24   DeFrank-Cole et al (2014)
25   DeFrank-Cole et al (2014) p59
26   Gallant (2014)
27   Gallant (2014) p234
28   Harris and Lebermam (2011)
29   Harris and Lebermam (2011) p33
30   Harris and Lebermam (2011) p33

Zuber-Skerritt and Louw's case study and qualitative evaluation of an (small scale, with nine respondents) academic leadership development programme in a South African university raised a number of questions.[31] This three-day programme had academic content at its core, being designed to teach Qualitative Research (QR) techniques and principles of project design to a cohort of academics who were then intended to "cascade" such knowledge more widely throughout the organisation. The programme was based on adult learning theories and used processes of experiential learning; action learning and action research. It focused on individual (and team) project design and provided practical advice on writing proposals, literature reviews and publishing.

The original programme was run in 2011 and there were follow-up interviews (seven) undertaken two years later in 2013. The participants highlighted knowledge gains, changes in their approach to learning and they appreciated the coaching opportunities provided. There were two limitations found in the long-term impact of the programme. Firstly, it proved difficult to sustain the planned support group that was originally intended to continue after the end of the intensive module. Secondly, it proved difficult in practice to cascade the learning more broadly across the institution, given competing demands and heavy operational workloads.

DeLourdes Machado-Taylor and White explore the role and leadership style of senior women leaders in universities in Australia and Portugal on the basis of 44 interviews with both men and women leaders.[32] They used the well-known 7 S diagnostic framework in the analysis which distinguishes between "hard" and "soft" (here conflated into transformational leadership) styles and also explored their gender correlates: women were more likely to report using softer styles. What was interesting here is the influence of wider national systems: Australia has more senior women leaders in higher education; a better developed equal opportunities framework and women respondents there were less likely to feel that they were outsiders.

Parrish notes that many academic leaders have low motivation to take on formal leadership roles, a weakness perhaps reinforced by poor leadership development opportunities in the sector.[33] They are often appointed on the basis of their research excellence and may have poor interpersonal skills. Parrish's preliminary literature review suggested that emotional intelligence (as opposed to rational intelligence) may be an important leadership competence in the sector.[34] Parish then reports the results of a small-scale study (11 interviews of Australian academics) undertaken before and after a leadership development programme with a focus on emotional intelligence. Few details of the programme itself are given. The interviews however concluded: "emotional intelligence was recognised by all the case study participants to be highly relevant and an important requirement for academic leadership."[35] Three competences in particular stood out: (i) empathy; (ii) inspiring and guiding others; and (iii) responsibly managing oneself (considerate and professional in interaction; staying calm under pressure).

Key points:

- The importance of being mindful of the need for diversity of the intake is highlighted.
- The importance of follow up is underlined and seen to be particularly important in supporting and sustaining a diverse leadership population.
- Formalised and skill-based programmes may be more helpful than experiential methods in shifting gendered notions of leadership.

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31   Zuber-Skerritt and Louw (2014)
32   DeLourdes Machado-Taylor and White (2014)
33   Parrish (2015)
34   Parrish (2015)
35   Parrish (2015) p829

Cluster 3: empirically orientated research and wider writing which could inform the better design of higher education leadership development programmes

A cluster of papers reported the results of empirical studies in higher education settings, which had the potential to inform the design of leadership development programmes. Morris and Laipple observe that many American academic administrators (eg deans, directors and departmental chairs (so including tenured faculty who have moved to an administrative career track) have had little leadership development opportunities. The danger is that some of these role holders remain ineffective, or burn out and return to the academic track. They report preliminary results from a large-scale study of academic administrators exploring their preparation for, and experience of, such administrative roles, intended as the baseline phase of a longitudinal study. Likert type scales were used to measure such areas as: job satisfaction; role interference and burnout.

They commented that their baseline results indicated leadership development opportunities[36] were badly needed in areas of financial stewardship, conflict management and visioning. There was some evidence of high burnout and of progressive leader disengagement. Women reported that they felt more overwhelmed and also less skilled in some areas (eg finance) than men; but more skilled in inspiring others and addressing poor performance. Overall, many respondents reported a low quality of life at work, which could lead to motivation and retention issues.

Scott et al report early results from a large-scale study of Australian higher education leaders (pro- and deputy-vice-chancellors) that used a mix of quantitative (survey based) and qualitative (interview based) methods.[37] In the survey, these senior leaders ranked the following activity areas as of top importance to them: (i) managing relationships with senior staff; (ii) strategic planning; and (iii) developing organisational processes. The qualitative interviews highlighted themes of: (i) working with diversity and building a team; (ii) having stamina and perseverance; and (iii) juggling.

Scott et al's exploration of the implications of their empirical findings for the design of leadership development programmes for these senior academic managers suggested first of all that 360-degree performance and development tools should incorporate their specification of core competences. Leadership development programmes should then be based on principles of "just in time and just for me" learning. There should be face to face and online access to highly performing role holders for comparative learning; use of case studies; workshops which address situated knowledge rather than generic concepts of leadership and carving out time to learn in pressured operationally management-based organisations.

Tolar's qualitative analysis of survey responses from a cohort of women in the American Truman scholarship programme further highlighted the generally positive role of mentors.[38]

Turnbull and Edwards's interesting qualitative study (using semi-structured interviews, focus groups and ethnographic observation) describes and analyses a leadership development intervention they worked on (as organisational development-based change agents) in one post-1992 UK university.[39] They start more widely by reviewing the (small) literature on organisational development and on leadership in university settings to provide a wider theoretical framework. They suggest that they should be seen as complex hybrids who are trying to balance traditional academic values with an increased market focus. Leading academics is a challenging task and its nature may vary by level of seniority: departmental-level chairs, for instance, may typically display a collegial style otherwise it would be difficult to return to a faculty-level position once the period of the chair role had finished. These constraints may apply less to higher-level roles, where visionary forms of leadership may become more possible.

36   Morris and Laipple (2015)
37   Scott et al (2010)
38   Tolar (2012)
39   Turnbull and Edwards (2005)

Turnbull and Edwards describe the design of the organisational development programme which consisted of three modules; (i) personal and team leadership; (ii) strategic organisational leadership; and (iii) follow up and review, interspersed with action learning set activity. Their overall conclusion[40] found a lack of leader empowerment: "the leadership role was found to be underdeveloped and often misunderstood. Many of these leaders previously equated leadership with a control or transactional approach and initially found the adoption of transformational models of leadership, even within the safe confines of the module, to be challenging and uncomfortable. They saw themselves as organisational development change agents helping to develop the transformational leadership skills of the top level leadership and indeed continued top team involvement in the organisational development change intervention was critical for its wider credibility. There was a reference (p409) to the need to enrol subgroups of senior staff with deeply held values within the various subcultures encountered.

Many of the leaders in the programme also appeared to be abdicating their responsibility for leadership of the university, being more comfortable either with a functional managerial model or a laissez faire academic model.' There were a number of tensions these leaders needed to balance, such as business interests v academic freedom.

The programme involved both academic and non-academic staff. They also noted: "the non-academic delegates tended to defer to the academics when seeking signals about how to respond to the programme. The responses of the academics were mixed but tended to reflect intellectual rather than emotional involvement. As the programme progressed, however, a deeper and more emotional involvement began to be displayed by all groups."[41] Turnball and Edwards also concluded: "the cultural differences between the academics and administrators have been mythologised and appeared less extreme during the programme than had been reported at the focus groups."[42]

Haddon et al explore what followers want from their leaders in terms of management style in an organisational crisis. [43] They took the specific case of an American academic institution facing substantial budget cuts and moving into a financial crisis. They used a mix of quantitative (questionnaire based) and qualitative interviews in their methods. Much of the prior literature had suggested that an agentic or authoritative style may be preferred in the presence of crises and threats. Their quantitative findings broadly supported this view. The qualitative data, however, suggested that academic "followers" painted a more complex picture: "not only did respondents expect leaders to make decisions and take action in light of the crisis, but they indicated that this propensity to act is only effective when enacted over a backdrop of simultaneous and continuous communication." [44] This study suggested that findings may be method related and that multi-method studies may be more rounded. The qualitative (but not quantitative) data suggested that a combination of decisiveness and continuous communication was an effective style in crisis management in higher education settings.

Deem et al's monograph explores the impact of New Public Management-based reforms on roles, identities and learning needs of academic managers in UK universities.[45] They had a large cohort of 137 academic managers in their interview-based study. Their chapter five explicitly considers the question of management learning strategies. Academics going into managerial roles reported they often were offered relatively modest and front loaded induction programmes. They were often highly cognitive in orientation, tutor led, prepared and generic in nature. They were also found to be of limited usefulness, although the wider networking opportunities they triggered were useful. In terms of content areas, Deem et al suggest that the following areas might be seen as of particular interest to academic managers coming into post: financial management; culture change (seen as complex); acting as a change agent; dealing with more assertive consumers; entrepreneurship; performance management of academic staff (where there were many constraints in practice) and risk management.[46]

40   Turnbull and Edwards (2005) p406
41   Turnbull and Edwards (2005) p408
42   Turnbull and Edwards (2005) p409
43   Haddon et al (2015)

44   Haddon et al (2015) p622
45   Deem et al (2007)
46   Deem et al (2007) p147

The learning needs for newly appointed heads of department were expressed in particularly acute terms. They suggested that as well as "learning by doing" it might be possible to think about more productive forms of management learning than these cognitive and pre-packaged induction programmes: "ideally, those who become manager academics need to become reflective practitioners who are able to create sensible and critical management practices that are appropriate for the management of knowledge workers, while preserving the generic idea of the public and academic purposes of the university."[47] They needed: "access to challenging and supportive focussed learning environments where their assumptions can be challenged." This notion of active and applied learning is an intuitively appealing one, but we comment that it needs to be operationalised and more thought given to implications for programme design.

Rowley and Sherman present a discussion piece, which also considers some broad issues in higher education leadership.[48] A key condition is that many of the managers/leaders are also academics. The question is whether such academics undertake these roles for public service reasons - say at head of department level - for a confined period of time before going back to "pure" academic roles or whether they are on longer term career tracks towards full time managerial roles (say at dean level or above). Many of these issues are also evident in other professionalised sectors such as law and healthcare. We comment that for "incidental" hybrids,[49] who only serve for a short period, it is probably rational to adopt a highly collegial management style and probably only show a contained level of interest in leadership development activity. However, it is important to spot and develop "willing hybrids" who may make a longer term transition in role and perhaps even identity.

Akbulut et al report the results of a recent quantitative and survey-based study of faculty members' perceptions of the effectiveness of their departmental heads in a university in Turkey.[50] The paper is well embedded in the generic leadership literature, which is then applied empirically to a higher education site with implications for the possible design of leadership development programmes.

Wolverton et al undertook a needs assessment exercise in an American university to inform the design of a leadership development programme for incoming departmental chairs, who were seen as a key but unsupported group.[51] Preparation in the year before they came into post might make them more effective. They gathered data from deans, current chairs and prospective chairs. They concluded: "three pervasive themes surfaced among departmental chairs – budgetary issues, personnel management and balancing roles."[52] The balancing issue arose from a frequent perception at departmental chair level of role overload and cross cutting pressures.

Spendlove's well-cited and interesting paper explores in a small qualitative study (10 semi-structured interviews with pro-vice-chancellors in British universities) whether leadership competences could be identified at this senior managerial level.[53] These post holders were often academics and "for most of the respondents, leadership equated to academic leadership"[54] and it was important to retain a self-identity as an academic. The core themes which emerged from the transcripts were: (i) the need to retain academic credibility, reputation and respect; (ii) the perceived advantage from having relevant experience in the sector and (iii) the need for people skills, including delegation and team building.

Spendlove suggested there were some generic leadership traits surfaced in the interviews which were often associated with a transformational leadership style: "openness, honesty, the need to consult others, the ability to listen, negotiate and persuade; the ability to think broadly/strategically and to engage with people".[55] There were also important sectorally related characteristics such as academic credibility and visibility: "rather than 'borrowing' models from business, the priority must be for researchers to use a grounded approach to build comprehensive, new, models of effective leadership in higher education."[56]

47 Deem et al (2007) p155
48 Rowley and Sherman (2003)
49 See McGivern et al (2015) on the case of NHS clinical directors
50 Akbulut et al (2015)
51 Wolverton et al (2005)
52 Wolverton et al (2005) p230
53 Spendlove (2007)
54 Spendlove (2007) p414
55 Spendlove (2007) pp411-412
56 Spendlove (2007) p415

The interviews also suggested that many UK HEIs remained weak in terms of succession planning processes or leadership development strategies, despite previous critical reports.

Vilkinas and Ladyshewsky report the results of a survey-based study into the perceived effectiveness of an often neglected group of academic programme directors in Australian universities who could be important in leading the high quality teaching programmes that higher education policy increasingly desires.[57]   Yet the role had weak formal power and was even seen as a "career killer" position. They used the Integrated Competing Values Framework model (ICVF) and 360 degree feedback techniques to uncover the degree of effectiveness in role as assessed by the academic programme directors themselves and from colleagues. Academic programme directors saw themselves as "moderately" effective; the view from professional service staff was more positive. In terms of core ICVF dimensions, academic programme directors majored on the people and delivery-focused aspects of their role, but were weak on integration aspects (learning; change; systems working). Leadership development activity which increased their self-awareness could help them to achieve greater balance.

Key points:

- 360 degree feedback and mentors emerge as useful interventions.
- The need to be attentive to leadership needs in relation to levels of seniority. Visionary leadership styles may be more possible at senior levels.
- A combination of continuous communication and decisiveness appears as an effective style in crisis management situations in higher education.
- A "system" for spotting willing hybrids in this sector is highlighted as is the need for timely succession planning.

Cluster 4: literature reviews of the field leadership studies with implications for higher education settings

Bryman's structured, well-cited and thoughtful literature review of recently reporting studies (from the UK, USA and UK) in peer reviewed journals on "effective leadership" in higher education is of interest for several reasons.[58]   The first reason is that it is the only literature review that survived our quality sift (the other papers report often small scale and empirically orientated studies) and provides a broad overview of the field. The second is that the content of the papers retrieved are of clear sectoral relevance to our present literature review, although it does not consider leadership development activity in any depth. Thirdly, Bryman makes some interesting methodological observations, which are also relevant to us here. Articles were only included if they met a specified set of basic academic quality criteria, although there appeared to be only one rater. There was a concern in this study to keep the results of the abstract search manageable, which explained the restriction to peer reviewed journals (as a proxy for quality) and to UK, USA and Australian setting: we comment that we encountered similar overload issues in our review. However, only 20 articles survived the quality sift, indicating a small literature base or one which was not of conventional high academic quality. Bryman also added in some further books and chapters which were also judged to be of reasonable academic quality to increase volume (these additional outputs were shown separately in italics in the list of outputs included). Almost all of the articles included come from relatively weak cross sectional studies, the results of which could be over interpreted. Definitions of what constituted leadership varied between the papers, as did dimensions of effectiveness. The prime focus in the literature was on leadership exercised at the departmental rather than senior management level.

The literature review suggested 13 bases for effective leadership of an academic department. We here introduce three of these dimensions just to give a flavour of the analysis: (i) a clear sense of direction and a strategic vision; (ii) preparing departmental arrangements to facilitate the direction set; and (iii) being considerate. Bryman points out that some of these features are highly general and sometimes lie in tension with each other: the implication is that they were not easy to turn into a list of competences or indeed to teach in leadership development programmes. He also notes that the literature reviewed strongly suggested that academic leaders are more effective if they promote a participative style of decision making, suggesting that the academic milieu still presented a distinctive context.

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57   Vilkinas and Ladyshewsky (2011)
58   Bryman (2007)

Bryman concludes with some interesting general remarks which draw on the work of Mintzberg[59] and explores the distinctive notion of leadership in professionalised settings, of which higher education represents a good example (but there are other major professionalised sectors too). In this context, a tight supervision style may be less functional than a style based on "protection and support", for example, advancing the case for the department.

Bryman concludes by arguing: "what may actually occur is that leadership may be significant for its *adverse* effects rather than for the positive ones that might be achieved in other milieus."[60] In other words, leadership may conceivably be more significant sometimes for the problems that it generates than for its benefits. This would mean that the issue in higher education institutions is not so much what leaders should do, but more to do with what they should avoid doing.

Hamlin and Patel build on Bryman's "Anglocentric" study [61] to examine whether perceptions of effective and ineffective managerial and leadership effectiveness differed in the case of a French university.[62] They undertook a content analysis of texts around critical incidents, both positive and negative. Overall, just over 40% of effective behaviours found in the French setting and 70% in Bryman's review of Anglo literature overlapped. We here summarise the first three reported common features (taken from what is a long list): "ensure staff have the necessary resources and support to perform well, including adjusting academic workloads to stimulate scholarship and research; proactively champion/fight for and advance the cause and interests of their department and staff and defend them when under threat; create a warm, friendly, mutually trusting, respectful healthy relationship with staff and a positive/collegial work atmosphere…" [63]

Bolden et al present a more generic review of leadership theories and also leadership competency frameworks being developed by a variety of private and public sector organisations (although there are no higher education examples given). [64] They start by briefly reviewing a set of leadership theories: the trait school; the behavioural school; the contingency model; leaders and followers and the dispersed model of leadership. The paper can be seen as strongly grounded in the broad academic literature. They do not present any methodological reflections on their search and selection strategy however.

Bolden et al then go on to review a set of leadership competency frameworks, noting that a "somewhat limited version of 'transformational' leadership is being promoted" in many examples.[65] They argue: "the almost evangelistic notion of the leader as a multi-talented individual with diverse skills, personal qualities and a large social conscience, however, poses a number of difficulties".[66] There was a need to consider how leaders interacted with followers and their organisational contexts. There was also a need to develop a better evidence base underpinning the design of competency frameworks, as at present such was weak or even absent.

Key points:

- Bryman offers a useful discussion of 13 bases for effective leadership of an academic department. A "protection and support style" is deemed to be helpful in higher education settings.
- Understanding what leaders in these setting should not do is important.
- It is critical to spell out what we mean by transformational leadership; a somewhat limited view could be problematic.

59   Mintzberg (1988)
60   Bryman (2007) p707
61   Bryman (2007)
62   Hamlin and Patel (2015)
63   Hamlin and Patel (2015) p14
64   Bolden et al (2003)
65   Bolden et al (2003) p37
66   Bolden et al (2003) p37

Cluster 5: novel theories of leadership or novel methods

Bryman and Lilley's interesting and well-considered paper asks: what promotes effective leadership at HEI level, especially at the level of the head of department?[67] They note the paradox that many leadership researchers are based in HEIs but that HEIs are underexplored sites when explored from this angle, reflecting the wider atheoretical status of much higher education research. Given the weak literature base, an early step might be to ask established leadership researchers based in HEI settings for their reflections on this question.

They undertook semi-structured and reflective interviews with 24 such UK-based respondents in HEIs, within the spirit of auto ethnography. They concluded first of all: "the main contours of the findings are broadly consistent with those derived from the literature review previously referred to.[68] In particular, no single aspect of leadership behaviour emerges as being particularly important in what is regarded as effective higher education leadership. Indeed, only one aspect of leader behaviour was mentioned by more than one third of interviewees as being associated with effectiveness. This was that the leader should be someone who is trusted and has personal integrity. This feature was often intertwined with the notion of the leader as someone who is honest."[69] Other commonly mentioned features were: being supportive of their staff; protecting their autonomy from top down edicts; being consultative; being strongly value based and able to set overall direction. There was very little mention of charismatic or transformational approaches to leadership. Heads of department had an especially difficult leadership role as they were "in the middle of the sandwich" (in a phrase often used by respondents) between top down and bottom up pressures.

Bryman and Lilley also considered some special features of the higher education context, which might shape leadership styles and begin to develop a sectorally grounded theory of leadership.[70] They were sceptical of the trend to develop generic leadership competency frameworks because of their lack of sectoral application. They highlighted important sectoral characteristics (some of which may be seen as common to strongly developed professions more generally): the emphasis on collegiality; the desire for autonomy; individualism; a prime loyalty to the discipline rather than the employing organisation; and tensions with some "difficult" colleagues resistant to management. Debowski's commentary adds consultation and respect for staff as other core values.[71] Managing academics was like "herding cats", in another phrase often employed by their respondents.

Angawi also develops a new theory of leadership in the higher education setting: Neo Charismatic Leadership.[72] This was applied to the study of leadership processes in two cases, which involved three leaders. Angawi reviews first of all the generic leadership literature: trait theory; behaviour theory; contingency theory; power theory and the transactional v transformational leadership debate. However, there was a need to consider more fully the behaviour of followers as well as leaders. Angawi then outlined a model of Neo Charismatic Leadership, which can be seen as closer to the transformational rather than transactional model. It should not be confused with Weber's model of charismatic authority, which is entirely personalised. Rather, Neo Charismatic Leadership-compatible leadership behaviours are defined in broader terms as: projecting a vision and enrolling others into it; being sensitive to other people's needs; risk taking; unconventionality; and altruistic/ethical forms of behaviour.[73] The conclusion reached on the basis of the case studies was "I conclude the model is a good means for explaining the behaviour of effective leaders and the ethical dimension of their roles."[74] So ethical and altruistic approaches to leadership may be seen as important in the higher education setting.

67   Bryman and Lilley (2009)
68   Bryman (2007)
69   Bryman and Lilley (2009) p334
70   Bryman and Lilley (2009)

71   Debowski (2015)
72   Angawi (2012)
73   Angawi (2012) p36
74   Angawi (2012) p43

In an interesting and radically different paper from mainstream leadership development literature, Jarvis et al describe and also analyse a leadership development programme (based on several modules over two years with 43 participants) in the UK publicly funded social care sector, selected and included here as a cognate setting to publicly funded higher education settings.[75] The programme coincided with a period of austerity in UK public services and the commissioners wanted measures of return on investment in leadership development spend and demonstrated progress in meeting the supposed "leadership gap" in the sector. However, Jarvis et al's mainly qualitative approach to evaluation drew on the principles of Complexity Responsive Process of Relating Theory: "we draw on the theory of complex processes of relating because it facilitates an understanding of organisations in terms or relationship rather than as systems or collections of individuals".[76] Developments could be emergent or interactive rather than seen in linear cause/effect terms. Their approach to evaluation design involves mixed research and development, within the broad tradition of appreciative enquiry.

They moved away from heroic or individualistic notions of leadership to more relational models. Their theoretical prism highlighted changes in the following areas as important to explore in their evaluation: (i) critical reflexivity and self-awareness; (ii) the development of networks, relationship and high trust levels; (iii) the extent of connectivity and peer to peer learning spaces; (iv) diversity in organisational life; (v) creativity and change; (vi) the quality of organisational conversations; and (vii) the holding of anxiety around the austerity agenda and implications for service delivery and indeed participants' own posts.

Jarvis et al argued that, over time, the programme contributed to a "sense of a self-reflective space that facilitated diversity, new forms of conversation and an interruption to established power relations…" and "more divergent and free flowing conversations".[77] They do also note the slight disappointment of the programme's commissioners that harder edged outcome data was not made available in the evaluation suggesting that basic approaches to evaluation design may themselves be contested.

In a creative and thoughtful paper, Bolden et al seek to develop a new theory of leadership in UK higher education settings, namely "a societal perspective on academic leadership by exploring the preoccupations of academics as citizens rather than as employers, managers or individuals."[78] Empirically, they set up three "listening posts", which recruited 26 participants from 15 institutions, using an exploratory and dialogic method developed by the Tavistock Institute. They suggested that present leadership research in university settings was too top down, excluded a consideration of the leadership role of rank and file academics and was too narrowly focused on performance and market related issues. It also failed to consider wider social and political contexts and processes.

Bolden et al present an alternative discourse of academic leadership where the profession as a whole is seen as having a broad leadership role in self-governance and outreach, as part of the societal bargain around achieving high autonomy.[79] This service aspect of academic leadership includes elements of: (i) political literacy; (ii) community involvement and (iii) social and moral responsibility. This agenda has not been influential in recent markets/management-led reforms in UK higher education. Interestingly, they noted that some academics might find it easier to exercise leadership in field- or discipline-based bodies (eg professional associations and learned societies) than inside their institutions.

Their respondents often felt disempowered in what were reported to be managerialised and corporatised HEIs. Yet they still displayed a basis of genuine passion and commitment to the values and purposes of higher education: "they wanted to find ways to have more of a voice and engage in active debate about the changes in higher education and how to stay true to academic values. They expressed a desire to find ways to participate more actively in the civic life of their institutions and the communities that surround, feed into and support them."[80] Rank and file academics felt disempowered, despite a common use of rhetoric of dispersed models of leadership.

We comment that this interesting paper offers a broader, more bottom up and more societally engaged discourse of academic leadership than is often found in the UK higher education sector at present. It would have sharp implications for the (re) design of academic leadership development programmes. The argument that academics may offer service-based leadership within their disciplinary fields and to broad society is an interesting one. Are academics, for example, still serving as school governors and trustees of third sector organisations or have they retreated from social leadership given the intense performance pressures within their employing organisations?

75   Jarvis et al (2013)
76   Jarvis et al (2013) p30
77   Jarvis et al (2013) p38

78   Bolden et al (2014) p754
79   Bolden et al (2014)
80   Bolden et al (2014) p763

We note that their research was funded by the Leadership Foundation and has produced various interesting publications recently. Owusu-Bempah explores some methodological issues that arise in the broad field of leadership research given a growth of interest in "followership".[81] Qualitative research methods are often used but produce small samples and are sometimes criticised as "unscientific". The use of the "Q method" is proposed instead as it can produce larger datasets which can be subjected to quantitative analysis: "the Q method consists of five key steps: collecting relevant ideas, beliefs and opinions concerning the research object (concourse); selecting and formulating a set of meaningful statements (Q sample); selecting respondents and giving them statements to sort in their own way and analysis and interpretation of the data."[82] Brief examples are cited from educational and higher education settings.

Key points:

- An important question to be asked and debated is what promotes effective leadership in HEIs? Given the weak empirical base it could be helpful to convene this conversation among the relevant communities of practice.
- There is scepticism that generic leadership competency frameworks are adequate because of the absence of sectoral application.
- Bolden et al offer an alternative discourse of academic leadership where the profession as a whole has a broad leadership role in self governance and outreach as part of the societal bargain around high autonomy.[83]

Reflection on the literature on leadership development in higher education that survived our filtering process.

Our first general point is that the amount of literature that survived our initial quality sift remains small scale (repeating Bryman's finding[84]). Even these articles frequently contained weaknesses when assessed from a traditional research perspective: we suggest this is not a strongly developed literature academically (Bryman's review[85] was an exception). So the empirical data from studies are often small scale or confined to a single site. Theoretical emplacement and development are often weak. In some cases, the papers are self-evaluations by the sponsors of organisational development and educational interventions.

The UK higher education-based literature (at least the papers we retrieved and which survived the quality cull) appears to be small scale and often non-cumulative; many papers were also drawn from USA, Australia, New Zealand and South Africa higher education settings. The empirical papers operated at many different levels of the higher education hierarchy, including head of department level (often seen as a difficult role), senior management level, and relating to professional staff and programme directors.

Within the papers, the main substantive themes were: (i) attempts to measure the outcomes of higher education leadership development programmes; (ii) a concern for the handling of gender and diversity issues in higher education leadership development; (iii) the broader implications of higher education leadership research for the design of such programmes; (iv) some attempts to develop novel theories, perspectives and methods. Papers took different views, for instance, on whether the adoption of transformational leadership styles played out well in the higher education sector or not. Some papers took a competences approach, although it is possible to critique such an approach for its lack of attention to organisational and sectoral context.

Some of the broader papers raised the underlying question of the possibly distinctive nature of the academic profession with its strong values of research intensivity, autonomy and collegiality and the extent to which these sectoral conditions should shape the design of sectorally attuned higher education leadership development programmes.

81   Owusu-Bempah (2014)
82   Owusu-Bempah (2014) pp50-51
83   Bolden et al (2014)
84   Bryman (2007)
85   Bryman (2007)

Leadership evaluation and metrics

Of the evaluation and metrics search, 37 additional papers were included and, of the grey literature, 30 independent /government reports were included. These are summarised in Table 2, and a review is presented below, organised in terms of emerging themes.

Evaluating transformational leadership

A major strand of the recent literature on the evaluation of leadership development focuses on transformational leadership. However, this focus may extend beyond individual transformational leaders. For example, Dvir and colleagues bring subordinates into the focus of their research by testing the impact of transformational leadership (enhanced by training) on subordinates' development and performance.[86] The authors define transformational leadership as exerting "influence by broadening and elevating followers' goals and providing them with confidence to perform beyond expectations specified in the implicit or explicit exchange agreement."[87] As a principle aspect of transformational leadership is concerned with followers' development[88], Dvir et al developed a conceptual framework encompassing three main domains of followers' development, motivation, morality and empowerment. Although their research provides a valuable starting point by taking the experiences of subordinates into account, relatively little effort has been made to examine the relationship between leadership development and the impact it has on the performance or growth of subordinates.

Another attempt to evaluate the impact of leadership development is a study by Kelloway and colleagues, who attempt to assess the effects of leadership training on subordinates' perception of transformational leadership behaviour.[89] The research supports earlier findings, suggesting that a combination of leadership training and personal feedback leads to enhanced transformational leadership. More importantly, however, Kelloway and colleagues argue that training and feedback may be interchangeable to some extent. The results suggest that either approach can "stand on its own" as an effective intervention to increase leaders' transformational leadership behaviour.[90] However, as the particular focus of this study was solely based on transformational leadership, it only provides a limited account of how leadership training and development programmes might influence the perception of subordinates in a wider context.

Hardy and colleagues argue that transformational leadership should be studied as separate sub-dimensions.[91] They consider the relationship between transformational leadership behaviour and outcomes in military recruits. They firstly used a cross-sectional design to examine sub-dimensions of transformational leadership behaviours and attitudes in military recruits. Secondly, they drew on an experimental random block design to study the effectiveness of a leadership development intervention (underpinned by transformational leadership theory) in the military academy. Recruits' blocks were alternately assigned to the control condition (no leadership development intervention) and the experimental condition (with a leadership development intervention) to evaluate the intervention effectiveness. They evaluated outcomes in 275 recruits, using questionnaires (based on Posakoff et al's Transformational Leadership Inventory[92]). The results show the intervention significantly affected certain leadership behaviours, supporting the authors' overall findings that transformational leadership behaviours should be studied as separate sub-dimensions (rather than as a global scale, as in other studies). The authors conclude that transformational leadership behaviours can be enhanced by leadership programme interventions.

86   Dvir et al (2002)
87   Dvir et al (2002) p735
88   Avolio and Gibbons (1988)
89   Kelloway et al (2000)
90   Kelloway et al (2000) p148
91   Hardy et al (2010)
92   Posakoff et al (1990)

In Martin et al's evaluation of a clinical leadership programme for nurse leaders, they studied the development of participants' transformation leadership competencies.[93] Based on a well-established programme of 18 days conducted over 12 months, with a six month follow-up day, the authors assessed the programme using Kouzes and Posner's Leadership Practices Inventory[94] (involving questions assessing five leadership practices: modelling the way; inspiring a shared vision; challenging the process; enabling others to act; encouraging the heart), completed by participants at three time intervals pre-programme, at the end of the post-programme, and six months post-programme. Although this was a small evaluation study, findings include that two of the five subscales showed improvement, which was sustained over time: "inspiring a shared vision" and "challenging the process". The authors comment that the findings should be seen as preliminary results based on the use of a single instrument, rather than a fuller picture. They advocate the use of mixed methods to ensure improved evaluation.

While the above studies provide useful evaluations of transformational leadership development, an important consideration is Van Knippenberg and Sitkin's significant critique of the charismatic and transformational leadership literature.[95] In their critical review of this field, Knippenberg and Sitkin highlight significant theoretical, methodological and empirical problems with the concepts of and research on charismatic and transformational leadership, in particularly confounding leader characteristics with their supposed transformational effects. Their criticisms are so significant that Knippenberg and Sitkin suggest the concepts are dropped altogether.

Evaluating changes in individual leaders' traits, skills, behaviours and knowledge

In line with the prevailing *leader*-centric focus on individual leadership traits, skills and behaviours, many studies evaluating leadership and leadership development have tried to measure changes in individuals' traits, skills and behaviours[96], including changing values, mindsets and (self-) perceptions of self-efficacy,[97] or how superiors think subordinates have developed following leadership training.[98]

Day and colleagues discuss learning, skills, personality, self-development, interpersonal skills and authenticity as common issues considered in relation to leadership development, although Day's research places emphasis on leadership - rather than leader - development as an organisational activity and collective accomplishment.[99]

In a similar vein, Orvis and Ratwani examine the recent movement in organisations towards self-development as a means to supplement formal leadership development.[100] This involves the "expansion of a person's capacity to be effective in leadership roles and processes".[101] In essence, the leader decides what knowledge and skills he or she needs and then determines the pathway that best facilitates the development in a given area. This growth can occur through a number of different outlets such as job experiences, workshops or professional conferences,[102] as long as it is initiated by the leader and not formally required by the organisation.[103] Although this approach does not explicitly examine the effectiveness of leadership development programmes, it addresses how leaders may grow on a personal and voluntary basis beyond formal requirements.

Avolio and colleagues describe pygmalion, developmental, affective, behavioural, cognitive and performance effects associated with leadership development programmes.[104] They state that the leadership development programmes they examined had a 66% chance of impacting participants - although such a statistic may be unrealistic given the complex, contextual and contested nature of leadership.

93   Martin et al (2012)
94   Kouzes and Posner (2003)
95   Van Knippenberg and Sitkin (2013)
96   Avolio et al (2009c); Ely et al (2010); Cummings et al (2008)
97   Amagoh (2009)
98   Abrell et al (2011)

99   Day et al (2014)
100   Orvis and Ratwani (2010)
101   Van Velsor and McCauley (2004) p2
102   Noe and Wilk (1993)
103   Maurer and Tarulli (1994)
104   Avolio et al (2009b)

Evaluating reflection

Blackler and Kennedy describe a leadership development programme for NHS chief executives aiming to promote reflection.[105] The programme was structured around three themes namely: (i) reflection on self; (ii) reflection on organising; and (iii) reflection on leadership. Blackler and Kennedy anticipated that critical reflection could emerge from a focus on pragmatic concerns, and that exercises to help participants reflect on the complexity of their activities would be useful. The outcomes of the programme indicate that some participants felt more committed to their work, although Blackler and Kennedy emphasise that "while the programme evidently proved useful for many participants, questions remain about the ways in which it supported their learning and what the broader implications of this case might be."[106]

In an approach that might also bring reflection more centre stage, Ely and colleagues reviewed the literature on evaluation of leadership coaching, a common mode of leadership development.[107] Two thirds of the studies they reviewed were based on surveys and used descriptive statistics, most focused on engagement with key behaviours; almost all involved self-reports, with few (less than a quarter) examining the reactions of subordinates, peers, coaches or supervisors or overall perceptions of effectiveness. Ely and colleagues note that leadership coaching usually focuses on the needs of individual clients. Thus, they argue, assessment of its impact should reflect individual clients' goals; with a diversity of clients, goals and needs, creating a plurality of diverse outcome measures, which may be difficult to aggregate, compare and evaluate. They also note that clients are at different career stages, more or less ready for and receptive to coaching, again complicating the issues of aggregating impact outcomes.

360-degree evaluation

Other authors also support the use of multisource data and 360-degree feedback in evaluating leadership and leadership development outcomes.[108] For example, Alimo-Metcalfe and Alban-Metcalfe offer an interesting account of different case studies employed in the public sector in the UK.[109] Although they discuss their involvement in a number of different studies, a case study from the National College for School Leadership seems particularly useful. The authors investigate how to maximise development opportunities for head teachers by employing a leadership development programme. The initiative was divided into different stages, including master classes and one-to-one discussions as well as peer support. At the time of the publication, the project was still ongoing, making definite findings hard to suggest, but the authors argue that "the results to date suggest that the participants are findings 360-degree feedback extremely valuable, and the teachers who are providing one-to-one support following receipt of the 360 report are finding the experience of this role invaluable."[110]

Another example by Day and colleagues, suggests that 360-degree multisource feedback may also be useful for leaders themselves; helping them to understand their strengths and weaknesses, although 360-degree feedback may only be effective in more innovative organisational cultures and may produce impression management.[111]

Similarly, Solansky advocates the use of 360-degree feedback as well as mentors in assessing leadership skills rather than only relying on self-reports.[112] In her study, she argues that self-report data alone may not provide programme participants with enough information to achieve a given goal and, by extension, may not provide evaluators with complete data regarding programme efficiency.

105   Blackler and Kennedy (2004)
106   Blackler and Kennedy (2004) p190
107   Ely et al (2010)
108   Solansky (2010); Alimo-Metcalfe and Alban-Metcalfe (2004)
109   Alimo-Metcalfe and Alban Metcalfe (2004)
110   Alimo-Metcalfe and Alban Metcalfe (2004) p148
111   Day et al (2014)
112   Solansky (2010)

Evaluating changes to social networks

Day et al suggest that leadership development could be also evaluated through social network analysis to see how relations have developed as a result, and through formative and summative evaluations using mixed methods.[113]

In an interesting approach, Hoppe and Reinelt provide a framework for conceptualising and evaluating various types of leadership networks: peer leadership networks, organisational leadership networks, field policy level networks, and collective leadership networks.[114] They argue that leaders' abilities to nurture and use such leadership networks are a potentially important aspect of leadership development. Using Social Network Analysis, they focus on understanding and measuring differences in these networks. They pay particular attention to roles of bonding (involving connections to a tightly knit group) and bridging (connecting to diverse other groups), which they argue can be seen as intermediary outcomes of leadership development. In evaluating leadership networks, the authors highlight questions of network connectivity (for instance, what changes might have followed a leadership development intervention), overall network health (involving dynamics of trust, power relationships, and openness to network expansion), and network outcomes and impact (such as its abilities to influence wider changes and allocation of resources). Although a focus on network outcomes can be directed at various levels of individuals, communities and organisational fields, the authors note that few techniques have been developed to evaluate network outcomes and impact. They advocate using a range of methods such as interviews, case studies and survey techniques, among other methods to track progress towards desired outcomes.

Summative and formative evaluations

Ely and colleagues suggest that both summative evaluations (assessing final outcomes) and formative evaluations (assessing interim processual and developmental progress) of leadership coaching are needed.[115] They provide a summative evaluation framework examining: (i) reactions (clients' and coaches' subjective perceptions and satisfaction; (ii) learning (clients' reported self-awareness, cognitive and affective flexibility, self-efficacy and job attitudes); (iii) behaviour (change in clients' leadership behaviours [communication and interpersonal dealings, supervision, technical activities and personal behaviour] and achieving their goals); and (iv) results (employee retention, pipelines to fill senior leadership positions, changes in subordinates, customer satisfaction, and return on investment), noting "distal outcomes". Ely et al's formative evaluation framework involves assessing: (i) client readiness, expectations and organisational support, goals and climate; (ii) coach competencies and expertise, client-coach relationship; and (iii) the coaching process, assessment of results, challenge and quality of goals and support, which may evolve during the process. From their review, they make three recommendations regarding measuring the impact of leadership: (i) using multi-source data (from subordinates, peers and superiors and measures of business impact); (ii) measuring changes in the attitudes, performance, and retention of clients and their subordinates; and (iii) including "distal outcomes", observable months or even years after the intervention.

Return on investment

We found one study that sought to evaluate the return on investment in leadership development. Avolio et al suggest this can range from negative to up to 200%, depending on the organisational climate, although how these impacts occur is unclear – a key measure used in the study is the increase in leadership development participants' salaries.[116] Again, we remain sceptical about the value of such measures, given the complex nature of leadership.

113   Day et al (2014)
114   Hoppe and Reinelt (2010)
115   Ely et al (2010)
116   Avolio et al (2010)

Evaluating more complex leadership and leadership development outcomes

Avolio et al note that leadership development programmes indirectly affect followers, organisational learning, cultures and communities.[117] They go on to suggest that the complexity of these relationships make impact even more difficult to explain. The authors comment that developmental interventions tend to have longer lasting impact and that, for example, leadership development interventions that focus on behavioural change tended to have more impact on behaviour, compared with interventions targeting emotional and cognitive development. However, this again raises questions about whether the leadership models that leadership development programmes are based upon, and the measures chosen to assess impact, have more bearing on reported leadership outcomes than impacts of leadership development courses themselves.

Leskiw and Singh review the literature on best practices in leadership development, taken from studies in which "best practice organisations" had been independently identified.[118] Their review found six best practice areas to be important in programme design: (i) a thorough needs assessment; (ii) selection of the participants; (iii) infrastructure design to support the initiative; (iv) design and implementation of the entire learning system; (v) an evaluation system; and (vi) actions that reward success and improve deficiencies. Leskiw and Singh argue that evaluation of leadership development may not be measurable in quantifiable terms and therefore those evaluating leadership development programmes need to ask "the right questions", including whether the metrics used to evaluate leadership development reflect organisational aims and whether all key organisational aims can be measured.[119] Leskiw and Singh suggest Kirkpatrick's four stage model of responses to learning[120] (involving an immediate response, learning, behaviour and impact) as a useful framework for designing evaluation, conducted at diverse levels, such as daily evaluations of participants and end of programme evaluations; dialogue and focus groups to assess teams; customer satisfaction results, climate and culture surveys, workplace statistics and analysis of organisational processes and systems.

In a review of the leadership development literature, Bolden and colleagues, drawing on a model by Rogers et al,[121] consider both leadership and leadership development along two dimensions.[122] The authors argue that "leadership development initiatives differ in the degree to which they focus on individual or collective processes and prescriptive or emergent approaches", as indicated in the figure below.[123]
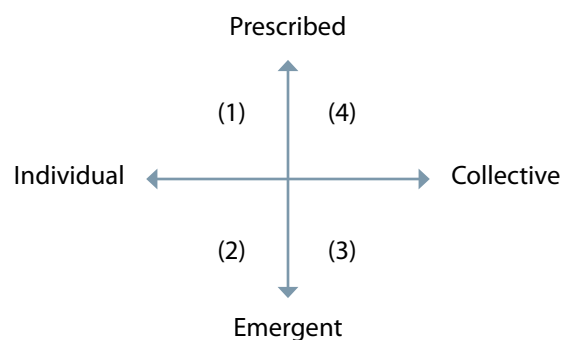
Rogers and colleagues note that there is an almost exclusive emphasis on (1) and on the leadership inputs (eg competencies) and outputs (eg standards) but little attention is being paid to other, more collective and emergent, processes.[124]

117   Avolio et al (2009a)
118   Leskiw and Singh (2007)
119   Ready and Conger (2004)
120   Kirkpatrick (2006)

121   Rogers et al (2003)
122   Bolden et al (2003)
123   Bolden et al (2003) p39
124   Rogers et al (2003)

Another model, established by Simmonds and Tsui, was tested using a leadership development programme of a large well-known multinational organisation, and later redefined based on the empirical results.[125] The model aimed to establish impact on behavioural changes of four contemporary learning elements: senior-executive taught workshops, 360-degree feedback, action learning and book reviews. The behavioural categories that each learning element was intended to change include: (i) performance meritocracy; (ii) commitment to mission, values and strategies; (iii) setting direction and driving accountability; (iv) networking, relationship building and collaboration; (v) self-development; and (vi) innovation management. The learning elements used in the study (except the approach of reviewing leadership books) all contributed to the adaptation of desirable leadership behaviours. However, participants frequently cited the combined influence of a blend of elements as being of greatest benefit in implementing their learning.

Russon and Reinelt emphasise the usefulness of "programme theory", which they note is "also called a theory of change".[126] It is a description of how and why a set of activities is expected to lead to outcomes and impacts. When a theory of change is put forward, a common goal of evaluation is to gather evidence that would prove or disprove the theory, to evaluate leadership development programmes because it helps staff to check the alignment between planned activities and desired outcomes and impact. This allows for a description of how and why a set of activities is expected to lead to outcomes and impacts. The authors also highlight three other approaches to evaluate leadership development programmes:

- The "case study approach" which is growing in popularity because it has the ability to capture the complexity and nuance of leadership development, with the aim of understanding the experiences of participants.
- The "empowerment and participatory approach", which is often directly integrated into the leadership development programme in order to contribute to the attainment of outcomes and impacts.
- The "experimental and quasi-experimental" approach which enables examination of information about statistical differences between groups of participants in a development programme. However, this approach has only limited use as it does not accommodate leadership development programmes that are responsive to the unique needs of individuals.

Given the complexity of the intervention, the authors argue, "just as there should be alignment between planned activities and desired outcomes and impacts, there should also be alignment between evaluation approach and desired evaluation information."[127]

McAllann and MacRae use Kirkpatrick's four stage model of responses to learning (immediate response, learning, behaviour and impact)[128] to evaluate a leadership development programme in a large, local authority social work service.[129] Using the Kirkpatrick model as a methodological scaffold, they adopted several techniques to evaluate learning, ranging from knowledge tests on taught input (pre- and post-programme) to semi-structured questionnaires, one-to-one interviews with participants, their peers and managers, and focus groups. A particularly interesting element of this study is the evaluation of post-programme projects to investigate how participants drew upon their learning to enact practical change. The authors followed 12 of the 45 projects undertaken to explore participants' impact in the workplace - finding these participants were better able to use evidence effectively, and took an enquiry-based approach to tackle complex issues. Overall, these post-programme projects were an important vehicle for transferring learning that appeared effective for both individual and organisational learning. In particular, they provided a means for participants to model to others how to adapt to and influence change.

King and Nesbitt's attempt to gain a deeper understanding of the evaluation challenge seeks to move beyond theory-based (aligning objectives and activities), mixed methods and case study approaches to highlight the importance of intangible outcomes.[130] They argue that whereas the complexity required to lead is acknowledged in leadership theory,[131] evaluations of leadership development do not reflect this complexity. For instance, they are critical of how the widely used Kirkpatrick Evaluation Model,[132] where "potential outcomes are defined at four different levels: participants' emotion post-programme; learning; behavioral change; and the projected financial impact of those behavioral changes on the organisation", tends to be adopted in practice – not at the four levels intended but as a means of measuring participants' emotional responses to and satisfaction with the programme experience.[133] The authors question the value of participants' post-programme evaluations, arguing these may not correspond to learning and tend to downplay the significance of challenging and difficult experiences (both during and post-programme) as often integral to leadership development.

125 Simmonds and Tsui (2010)
126 Russon and Reinelt (2004) p105
127 Russon and Reinelt (2004) p106
128 Kirkpatrick (1983)
129 McAllann and MacRae (2010)

130 King and Nesbitt (2015)
131 See Uhl-Bien et al (2007)
132 Kirkpatrick and Kirkpatrick (2006)
133 King and Nesbitt (2015) p135

King and Nesbitt's study uses a "delayed, reflective evaluation method" as a more qualitative and longitudinal analysis, focused on learning experiences and changes in perspectives post-programme.[134] They study empirically a large, complex and highly professionalised organisation governing financial services and focus on post-programme changes: how participants approached challenges at work, any benefits they perceived, and the impact of their learning upon their work environment. To compare different evaluation methods, in a first phase they used a quantitative post-programme, using Kirkpatrick's model, to focus on participants' learning outcomes.

Then in a second phase, King and Nesbit conducted 30 semi-structured interviews post-programme.[135] The authors found that whereas the first (quantitative) evaluation focused on "content that sticks" and action-orientated outcomes, the second (qualitative) evaluation reflected participants' deep learning and perception changes post-programme. In particular, this was seen as highlighting critical incidents that can be seen as "a way to capture outcomes that are unpredictable, difficult to measure, and highly impactful".[136] The longer-term evaluation uncovered greater emotional impact of the experience, as participants linked behavioural with cognitive changes, which were sometimes dramatic.

Furthermore, the role of post-programme reflection was found to be a significant driver of development: "many were able to articulate a process whereby personal reflection emerged in response to the programme which, in turn, led to insights which initiated a change in cognition or behaviour."[137] Post-programme, a third of respondents commented they had developed personal work-related reflective practices to allow reflection on their leadership practices and a process for ongoing self-development. The authors conclude that such post-programme development and reflection is a significant positive outcome in a complex and turbulent context, which many participants described as challenging, stressful, and sometimes toxic.

Evaluating distributed leadership

Recent conceptualisations of leadership suggest that leadership is a more holistic, collective, distributed, political, relational and contextual phenomena.[138] These point to the need for less individualistic and more holistic, contextual, team or organisational measures of leadership effectiveness. As Fischer and Sievewright similarly argue, leadership development research should move to more strongly contextual and organisational levels of analysis;[139] whereas this has been hitherto largely overlooked in the literature, it has significant, untapped scholarly potential.[140]

Supporting this perspective, Martineau et al argue that the focus on leadership development has increasingly focused beyond individuals to team and organisational level development, emphasising organisational effectiveness.[141] Important aspects of leadership development evaluation are not merely methods used to assess changes, but also who defines success, for what purpose, and how evaluations are used. Evaluation roles necessarily vary, ranging from the perspectives of assessors to planners, designers, trainers and reflective practitioners. However, the outcomes of leadership development are not linear or necessarily progressive; this suggests the need for a broader set of theories and methods capable of capturing its complexity. In an increasingly globalised and multicultural world, more understanding of leadership in different global cultural contexts is needed.[142] Furthermore, the impact of male and female leaders may vary, with female leaders making a more communal impact and men exercising more individualistic agency.[143]

134   King and Nesbitt (2015)
135   King and Nesbitt (2015)
136   King and Nesbitt (2015) p137
137   King and Nesbitt (2015) p143
138   Avolio et al (2009c); Bolden et al (2008); Day et al (2014)

139   Fischer and Sievewright (2014)
140   DeRue and Myers (2014)
141   Martineau et al (2007)
142   Avolio et al (2009c)
143   Avolio et al (2009a)

Harris and colleagues conducted a review of empirical studies of distributed leadership in schools, particularly considering its potential impact upon student learning.[144] Their review included two large quantitative studies in Canada and Australia. Spillane's four-year longitudinal study of 13 schools in Chicago found that the interplay between leaders is key to understanding leadership practice, suggesting that the school rather than individuals is a more appropriate unit of analysis when planning and evaluating leadership development.[145] However, Harris and colleagues caution that the concept of distributed leadership has a "chameleon-like quality", involving different meanings to different people; they also point to significant methodological difficulties unless there is direct observation of the context as it unfolds.[146] Overall, the authors found that distributed leadership had a positive effect on organisational development and change, particularly requiring abilities to cross structural and cultural boundaries. But they conclude that existing studies are insufficiently detailed to provide insights into the relationship between distributed leadership and organisational development, and call for further research into this area.

Similarly, Bolden and colleagues discuss leadership in higher education from a "distributed perspective".[147] The authors note the ongoing dominance of the individual perspective on leadership but suggest that leadership is a contextual, processual, relational social, political and temporal phenomenon. They suggest that leadership can be thought of as involving five dimensions: *personal* (relating to, for example, leaders' credibility); *social* (relating to leaders' abilities to navigate social groups, network and develop trust); *structural* (leadership is constrained by the structures within which it happens, so, for example, without the devolution of responsibility leaders are unable to do much); *contextual* (constrained by outer social and inner organisational contexts and politics[148] and factors such as social media, rankings,[149] and *developmental* – having an impact over time.[150] They also note that for academic leaders, maintaining their identities as academics was important,[151] so wider professional institutional norms and identities also constrain leaders in professional organisations such as universities.[152]

Reflection on the literature review on metrics that survived our filtering process

That lack of clarity about what leadership is presents challenges for its measurement.[153] For example, Cummings and colleagues' review of the literature on evaluating leadership development notes: "a variety of tools emerged as being of use in measuring the impact of leadership development in this particular literature review… [but] *researchers had different conceptualisations of leadership that encompassed a broad range of areas, styles and principles applied differently in a variety of settings. A variety of tools were used to measure leadership, therefore each may have measured a different conceptualisation of leadership* suggesting no consensus on the definition of leadership" (emphasis added).[154]

Leadership development can be seen as a complex human process, involving leaders, followers, dynamic contexts, timing, resources, technology, history and luck - among many other things.[155] In a recent special edition of Leadership Quarterly on leadership development evaluation, Hannum and Craig describe the significant conceptual and measurement challenges associated with evaluating leadership development activity, reflecting the highly nuanced and necessarily contextualised concept of leadership itself, as well as the many different forms leadership may take.[156]

Goldstein and Ford note that the most carefully designed evaluation will "stand and fall on the basis of the adequacy of the criteria chosen".[157] Ely and colleagues complain that "despite the fact that the core of organisational leadership entails social influence, few studies examined criteria beyond the leader themselves."[158] For example, even where the impact of leadership on subordinates is considered, this is often based upon the self reports of leaders and their perceptions of how subordinates see them has changed, rather than the accounts of subordinates themselves.[159] In light of these problems Day and colleagues concluded that "methodological and analytical issues" in the leadership literature raise questions about "whether we could, or even should, attempt to measure change."[160]

144   Harris (2008); Harris et al (2007)
145   Spillane (2001, 2004)
146   Harris et al (2007)
147   Bolden et al (2008, 2009)
148   Bolden et al (2008)
149   Bolden et al (2009)
150   Bolden et al (2008)
151   Bolden et al (2008)
152   McGivern et al (2015)

153   Bolden et al (2008)
154   Cummings et al (2008) p246
155   Avolio (2005) p4
156   Hannum and Craig (2010)
157   Goldstein and Ford (2002) p143
158   Ely et al (2010) p596
159   Ely et al (2010)
160   Day et al (2014) p77

Studying such complex social processes involved in leadership development involves properly addressing the holistic, contextual, processual, relational, social, political and temporal nature of leadership in higher education.[161] Indeed the model provided by Bolden and colleagues may be useful in terms of conceptualising such an approach.[162]   However, the metrics used to evaluate leadership may also depend on the outcomes organisations seek to achieve. As Day and colleagues note:

"Researchers need to give serious thought to what is hypothesised to develop as a function of leader or leadership development in a given context. This may involve human capital kinds of variables related to individual knowledge, skills, and abilities, or it maybe things that are even more difficult to assess… Adopting good outcomes (in place of job performance) to study models of leader and leadership development is also important. Of course, there should be a link between development and performance in a job or role but that is likely neither immediate nor straightforward… leadership is conceptualised as a process rather than a position, so using position as an outcome in leader development research has limited meaning."[163]

Popper and Lipshitz offer an interesting conceptual framework for theory-based leadership development and represent one of the few frameworks to link leadership development to theories of leadership.[164] Popper and Lipshitz claim that leadership development programmes should include three components: developing self-efficacy in the domain of leadership, developing awareness of modes of motivating others and developing specific skills such as giving feedback. Self-efficacy refers to the extent a person believes he/she can perform well in a given task. In order to develop self-efficacy in the domain of leadership an individual has to develop a sense of having real impact on other members in the group. Therefore, the authors argue that having self-efficacy is the basis of any leadership development programme. The second component of their model addresses the awareness of motivating others. In other words, different concepts of leaderships are concerned with different types of motivation. Hence, an efficient leadership development programme must integrate the fact that different types of leaders must enhance the awareness of different modes of motivating. The third and last aspect they discuss in their conceptualisation is concerned with developing leadership skills that leaders use in their interaction with followers. This particularly refers to aspects such as giving feedback or conducting group meetings. However Popper and Lipshitz highlight the risk that, given the considerable attention paid to this subject in the literature, individuals create the impression that improving leadership skills is the essence of leadership development.

Rodgers and colleagues have also contributed to this line of thought by developing a useful model to assess leadership and leadership development along two dimensions.[165] The core of the model suggests that leadership development programmes differ in the extent to which they address individual or collective processes, meaning that they can lie within four different "fields". Bratton and Gold used this model to examine the usefulness of leadership development programmes more closely.[166] For example they pay particular attention to training events and courses, which, according to them, are often based on theory, models and ideas that are presented as "best practice". Although they highlight that there is often a clear understanding of objectives and outcomes to be achieved, it is also argued that these training events can create a gap between what individuals and managers need and what is provided.

Another important aspect they examine in order to address the usefulness of development programmes is the extent to which managers learn on the job rather than in formal courses. Bratton and Gold stress that, while some individuals might receive opportunities for development programmes while moving between jobs or institutions, most individuals learn on the job, "informally, by accident or incidentally through experience and practice".[167] As many opportunities go unnoticed, individuals must make learning more deliberate by actively reflecting and reviewing on certain situations."[168]   Hence, it is crucial to examine how individuals develop themselves and their competencies in order to assess to what extent leadership development programmes can add value to the initial position of each individual.

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161   Bolden et al (2008); Bolden et al (2009)
162   Bolden et al (2008)
163   Day et al (2014) p79
164   Popper and Lipshitz (1993)

165   Rodgers et al (2003), cited in Bolden et al (2003)
166   Bratton and Gold (1999)
167   Bratton and Gold (1999) p348
168   Bratton and Gold (1999) p348

General discussion and conclusions

Our review had five overarching aims, which are listed below for ease of reference followed by a summary of our findings in relation to each aim:

1.   *To identify promising leadership interventions applied in UK higher education that have a reliable evidence base and/or are theoretically informed.*

From our review of the literature we regrettably conclude there were few promising UK-based leadership interventions that have a reliable evidence base and/or are theoretically well informed. One problem we identified is that "*leadership* development" is often seen as synonymous to "*leader* development", yet these two terms have a fine and important difference. "Leader development" is associated with the development of the organisation's "human capital" (ie development of *individual* skills, knowledge and abilities) whereas "leadership development" is associated with the development of its "social capital" (which is about building networked relationships among multiple individuals, leading to improvements in organisational effectiveness).[169] With the exception of Day, who distinguished between *leader* development (focused on personal characteristics) and *leadership* development (focused on interpersonal aspects within organisational contexts),[170]   we rarely found considered discussion of the differences between the two concepts.

Empirical data from the studies we reviewed is often small scale or confined to a single site. Theoretical emplacement and development are often weak. In many cases, the papers are self-evaluations by the sponsors of organisational development and educational interventions, raising questions about the objectivity of reported outcomes. The literature is also non-cumulative. Many papers were also drawn from USA, Australia, New Zealand or South Africa, rather than UK, higher education settings. The empirical papers located in the higher education field also operate at many different levels of the higher education hierarchy, both at head of department level (often seen as a difficult role) and at senior management level, as well as relating to professional staff and programme directors. The diffuse focus of the literature, which ranges across many tiers, also prevents ready aggregation of the findings of research.

However, we highlight a promising older study by Chibucos and Green, which takes a large-scale and empirically focused approach in the study of American leadership development programmes in higher education – albeit one which is orientated quite narrowly to the tracking of long-term individual career outcomes[171]   It is of considerable scale and scope (eg a national programme) and participants were followed up in terms of career outcomes for a considerable period of time. There appears to be no similar UK study as yet. We also draw attention to Bolden et al's recent study, which although based on small-scale empirical research in the UK, has an interesting theoretical framing.[172]   It is creative theoretically as it brings a radically different model of academic leadership into the field of investigation. More generally, however, there appear to be few well-designed and large-scale UK studies in this area. Promising studies can include those that are creative theoretically (and which can potentially be replicated in further studies) as well as large scale empirical studies.

In our previous work considering aspects of healthcare leadership, we have suggested that a small team-based form of leadership, which included representatives of various constituencies, was often effective where securing major organisational change across boundaries was an important objective.[173]   Furthermore, in our work we have also highlighted the frequent absence of organisational forums where leaders, drawn from different constituencies or even different sectors can share and learn together. The creation of such forums offer spaces to debate and to draw upon new knowledge that could lead to the development of better ways of running HEIs and which might foster new and alternative approaches to leadership work. While we have found that these spaces are best facilitated, we have also seen examples of self-managed forums.[174] We have also found that such spaces provide an arena in which to share and off-load concerns relating to difficult and often stressful day-to-day professional work. [175]   Accordingly, we suggest that support (such as facilitated discussion groups or action learning sets) should be given for multi-professional (rather than uni-professional) learning forums, bridging the boundaries between different epistemic communities and knowledge paradigms, focused on real life work problems that participants face. Furthermore, while the literature on the impact of coaching remains embryonic, it is our experience that leadership work is a lonely activity and that targeted coaching that encourages experimentation and reflection can also prove enormously helpful.

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169   Day (2000); see also Day and Harrison (2007); Kark (2011)

170   Day (2000)

171   Chibucos and Green (1989)

172   Bolden et al (2014)

173   FitzGerald et al (2013); Ferlie et al (2013)

174   See reflections on the use of action learning sets for groups of healthcare managers, Dopson et al (2013) chapter seven

175   See McGivern and Fischer (2012) and Fischer (2012) on "formative spaces"

2. To provide clarification on the conceptual and theoretical lenses applied to leadership and leadership development in the higher education sector and how these have developed over time, with reference to developments in related knowledge intensive sectors and settings.

Our narrative review of the generic leadership literature (Appendix A) outlined the ways in which broader concepts and models have evolved over time. There is no shortage of leadership models or theories to inform studies or the design of leadership development programmes in higher education. Some of the literature on leadership and leadership development in the higher education sector, which survived our quality sift, drew upon some newer models (distributed leadership; citizen-centric leadership) and explored their possible application at different levels in the higher education system. However, there is no consensus in the literature about any preferred leadership model but rather diversity and ongoing debate.

Prior to launching leadership development activities in the higher education sector we also need to ask important questions about the purpose of universities and higher education. What are the core tasks of university leaders? What skills and values do they need? The answer to these questions will depend on the different missions of the various organisations in this sector. The degree of institutional variation in the sector appears to be increasing. There is an increased variety of organisational forms apparent in the UK sector, given the post-2010 policy to extend degree awarding powers. New private and not-for-profit providers are slowly coming into the system. There are novel organisational forms such as networks, consortia, hybrids or mergers/acquisitions apparent. Even within the traditional higher educational sector, different subgroups have different missions and perhaps even values. Leading in a highly entrepreneurial university setting will be different from leading in a research intensive university setting or a setting that emphasises student participation. So we may need to consider the implications of such increasing sectoral differentiation for leadership development programmes rather than assume that one size fits all.

We suggest the UK higher education sector is facing increasing market forces, the globalisation of students and research, new technological possibilities (Moocs, virtual learning environments), high student fees, the deregulation of student numbers and increasing student (customer) expectations. In some disciplines (eg business schools, big science) and where academics are research "stars" and have market power and choice, HEIs are "wage takers" rather than "wage setters". Leaders will need to engage with this challenging outward context in different ways than in the more tightly controlled past. These market, human resource and technological forces will also hit the different organisational forms outlined above in this sector in very different ways.

Overall, it seems that a key policy trend since 2010 appears to be that of the slow but progressive deregulation, marketisation and globalisation of the UK higher education sector. If this view is correct, what might be the implications of such a meta level policy trend for the (re)design of higher education leadership development programmes? Senior managerial competences in more commercial areas such as marketing, globalisation, brand building, quality assurance and strategic management may be of rising importance in these circumstances, although they need to be balanced by "soft skills" in academic "talent management" (see below).

Leadership approaches will vary by context. In some contexts, where the challenge is survival, more command and control leadership approaches may be needed to cope with financial crises. Will these settings increase in number? Might "squeezed" mid-tier institutions lose students to deregulated and expanding research-intensive HEIs? In more growth-based settings, or where collaboration is required, more "adaptive leadership" styles[176] will be needed, where decoding or socially constructing contexts,[177] asking questions about how the context is changing and creating a sense of collaboration is pivotal.

The brief for the project asked us to bring in literatures and concepts from relevant other sectors. We now adduce an alternative perspective on higher education and its leadership, which is to see them as knowledge-intensive organisations with academics (in a way) being knowledge workers. This perspective relates to a branch of literature in organisational studies that examines major knowledge-based sectors such as management consulting firms and law firms. Knowledge workers are harder to control, what they do is harder to specify and monitor, they have more choices than manual workers (including leaving organisations if they are unhappy) and they often do not want to be directly led.[178]

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176   See Heifetz (1994)
177   See Grint (2005)
178   Alvesson (2001); Goffee and Jones (2007)

One way of operationalising this perspective is to say senior leaders need to recognise that universities are in a "talent management" business and that a core role is to manage the academic talent and to keep it (sufficiently) happy. Such a perspective brings in a series of "softer" skills and qualities to balance the "harder" strategic management skills referred to earlier. While academics need to be led by someone they intellectually and personally respect (so intellectual distinction and integrity are important), leading them also depends on the leaders' ability to create organisational environments in which such knowledge workers can thrive. So there are issues with organisational design too. This task involves providing the culture, systems, incentives and resources knowledge workers need.[179] and also engaging in the management of meaning, that is shaping organisational (elite?) cultures and identities to attract and retain the best people.[180]   Cultural forms of control are indicated so that where such strong positive cultures are in place it is possible that knowledge workers may discipline themselves.[181] Alvesson and Spicer suggest leaders in these settings may accord a high degree of operational autonomy to knowledge workers but within the context of a strong and positive corporate culture (and one would add strong incentives) shaping what they do.[182]

Micro management is here likely to be counterproductive and effectively resisted by staff. Governance systems in such alternative settings would be likely to include greater representation from senior academic staff than is apparent in UK universities today, which have adopted the governance model of the Anglo-Saxon PLC. [183] Both the law and consulting sectors include professional partnership-based forms, as well as shareholder owned firms. Partnership-based firms often include a senior managing partner elected from among the partners for a defined period of time rather than a chief executive officer.

Leading clever people also requires the management of organisational processes. Goffee and Jones note: "clever people see an organisation's administrative machinery as a distraction from their key value adding activities. So they need to be protected from what we call organisational 'rain'– the rules and politics associated with any big-budget activity… In an academic environment, this is the dean freeing her star professor from the burden of departmental administration."[184] They add, "it is also important to minimise the rain by creating an atmosphere in which rules and norms are simple and universally accepted… [like] sabbatical rules in academic institutions… the ones that clever people respond to best."[185]

3.   *To outline a conceptual framework for thinking about leadership development in higher education at different organisational levels and across institutional contexts.*

A key recent theme emerging from our literature review is the need to develop a broader conceptualisation of what leadership and leadership development are in higher education settings, and move beyond *individual* leaders (and tracking their narrow career outcomes) and considering leadership processes in higher education settings in more distributed, relational and contextual terms.[186] Thus, while individual leaders have an impact on HEIs, we need to use "distributed leadership as a unit of analysis",[187] thinking about *leadership* rather than leader development.[188] This also raises questions about not only leadership but also "followership",[189] which may not be a concept easy to operationalise given that the followers are often critical and reflective academics in higher education settings.

179   Goffee and Jones (2007)
180   Amabile et al (2004); Alvesson and Robertson (2006); Alvesson (2001); Alvesson and Willmott (2002)
181   Covaleski et al (1998); Barker (1993)
182   Alvesson and Spicer (2012)
183   Buckland (2004)
184   Goffee and Jones (2007) pp75-6
185   Goffee and Jones (2007) p77
186   See Day et al (2014); Bryman (2007); Bolden et al (2008), (2009)
187   Gronn (2002)
188   Day (2000); Day et al (2014)
189   Uhl-bien and Riggio (2014)

Accordingly, Bolden et al's five dimensions of leadership (*personal, social, structural, contextual,* and *developmental*), which were developed specifically within the UK higher education context, provides a useful starting point for reconceptualising leadership in UK higher education.[190] Leadership relies upon individual leaders' *personal* attributes (such as academic credibility and knowledge, vision, values and ethics, emotional intelligence, openness, authenticity, interpersonal and persuasive skills[191]), but also on social and relational processes (mentoring, role modelling, teambuilding, networking, developing trust, delegation and succession planning[192]) and organisational *structures* and *contexts* that enable them. Finally, the *developmental* dimension of leadership alerts us to the *processual* nature of leadership. Thus leadership outcomes, both good or bad, may only become apparent at a distal point in the future, perhaps when HEI leaders responsible for initiating changes are no longer in post. So leaders need to be organisational stewards, preserving and enhancing HEIs for future generations.

So we argue that leadership development programmes need to be less individualistic and cross-sectional, and instead need to recognise the nature of academic leadership as embedded within its wider institutional and sectoral context and as exerting influence over perhaps extended periods of time.

We have also started to tease out the possible long-term effects of deregulatory policy shifts apparent since 2010 on UK higher education management tasks and then leadership development needs and also to identify some distinctive contexts where clusters of institutions may be found (eg the financially stressed; the entrepreneurial; the research intensive). The cluster level represents a helpful intermediate level of analysis, lying between the macro level, one size fits all formula and the equally unhelpful micro-level argument that "each university is different".

4.   *To identify any metrics and or tools currently used to evaluate the effectiveness and impact of leadership interventions which could assist the Leadership Foundation in generating its own leadership development metrics in future.*

A key reflection on the material we review is the importance of having a clear definition of leadership at the beginning of the analysis of any leadership development programme; it is difficult to measure a leadership development programme impact if you are not clear about the definition and the nature of leadership processes in higher education settings in the first place. Psychological approaches to evaluation tend to use "hard" measures apparent within individuals (before and after); while more organisational behaviour studies may measure changes in "softer" organisational capabilities. We argue that evaluating the impact of leadership and leadership development first requires a clear definition and model of the (significantly contested and multifarious) concept of leadership (see Appendix A), before any consideration can be given to how it should be measured.

In line with recent advances in the leadership field,[193] we suggest that shared, distributed and collective conceptualisations of leadership are the most appropriate units of analysis evaluating leadership because these are better able to capture actual practices and "distal outcomes"[194] of leadership development in organisational contexts and ensure "sustainable leadership".[195] Such units of analysis should also address the holistic, contextual, processual, relational, social, political and temporal nature of leadership in higher education.[196] Indeed, as we noted, the model provided by Bolden and colleagues may be useful in terms of developing such a conceptual approach.[197] We therefore need to give careful thought to the kinds of impact and outcome individual leaders and wider leadership have, the way and extent to which relational, social, contextual, structural and political factors mediate outcomes, and how quickly different outcomes are likely to materialise.

A second key challenge is that there appears, in principle, to be no boundary that can be easily drawn around possible fields of measurement of higher education leadership development programmes. The studies we reviewed vary according to whether they are measuring the degree of change in individuals, changes in the behaviour and/or effectiveness of the groups to which the leaders belong, or wider and softer forms of organisational change.

190   Bolden et al (2008)
191   Bryman (2007); Day et al (2014)
192   Spendlove (2007); Hargreaves and Fink (2006); Hoppe and Reinelt (2010); Jarvis et al (2013)
193   Avolio et al (2009c); Day et al (2014)
194   Ely et al (2010)
195   Hargreaves and Fink (2006)
196   Bolden et al (2008), (2009)
197   Bolden et al (2008)

Formative and summative evaluations, which involve mixed methods, multisource and longitudinal studies, evaluating and measuring different facets of leadership ranging from individuals in key leadership roles, wider leadership teams, and wider structural and contextual constraints over time, appear most promising. This approach might include the use of techniques such as 360 feedback and interviews with team members to capture wider perceptions of leadership impact than those of leaders alone.[198] Observation of leaders in action, self-assessment techniques (such as reflective diaries) and action learning sets may also be useful techniques which could be activated.[199]

However, the metrics used to evaluate leadership may also depend on the outcomes higher education organisations seek to achieve and establishing the extent to which organisational outcomes are a consequence of leadership actions, as opposed to other contextual factors. Indeed, in the different context of US Fortune 500 corporations, which is arguably simpler than higher education, Khurana argues that while corporate performance is often conflated with the leadership of CEOs, this association may be tenuous.[200] So measuring the impact of leadership and leadership development will be tricky, particularly when the distal consequences of leadership may take time to appear and may be contested. Furthermore, the processes linking leadership and leadership outcomes may take place in ways that are difficult to track or involve the consideration of alternative explanations. So the establishment of clear context-mechanism-outcome configurations as recommended by realist evaluation[201] may be complex.

In order to create "sustainable leadership",[202] succession planning, delegation, mentoring, role modelling and the development of distributed leadership also need to be considered, which include but look beyond those leaders at the top of organisations. An additional gap we found in the literature was an understanding of the implications of career advancement, which needs further attention.[203] It might be a useful starting point to consider how leadership development programmes can be modified to different career stages and how a longitudinal perspective of career paths might influence their effectiveness. In our research on hybrid medical-managers[204] we found that managerial mentors and role models earlier in doctors' careers, were crucial to encouraging "willing hybrid" medical-managers (those more likely to transform health care) to take senior managerial roles. Similarly, providing managerial mentors and role models for academics interested in moving into academic leadership roles may be helpful.

5.   *To identify gaps in the literature on leadership and leadership development in higher education and make suggestions for future research.*

The literature on *leadership* that we reviewed appears better developed, with some good overviews across the generic leadership literature[205] and some interesting explorations of the implications of this literature for UK higher education.[206] However, the literature on leadership development in UK higher education is less well developed. Firstly, at the most basic level, there seems to be no large-scale, empirically informed studies drawn from across the UK exploring the practices, content and (more ambitiously) impact of leadership development programmes across UK HEIs. We also ask whether leadership practices in Scottish and Welsh HEIs now vary from those in England, given the different funding and fees regimes and perhaps also more collaborative political and institutional cultures which could, for example, place a premium on alliance building and networking skills?

In DeRue and Myers' useful review of the field and agenda for future research, they derive an organising framework - PREPARE - from the literature, consisting of seven components: the organisational *purpose* of the intervention, the desired *result* or outcome, the mechanism or *experience* of the leadership development intervention, the specific individual, relational or collective targets or *points of intervention*, the organisational features or *architecture* to facilitate the intervention, the repeated *reinforcement* of the intervention over time, and the processes of *engagement* through which participants enter, participate in, and reflect on the intervention over time.[207]   They call for future research on (i) multiple points of leadership development intervention that integrate leader and leadership development; (ii) more closely aligning leadership development interventions with the organisation's strategic purposes; (iii) understanding what triggers and motivates participants to reflect on and learn from leadership development interventions; and (iv) reinforcing leadership development cycles as a sequence of interventions over time. We suggest that this may provide a useful way of thinking about leadership development.

198   Day et al (2014); Ely et al (2010)
199   See Dopson et al (2013) for the use of action learning sets as an organisational and personal development intervention in UK NHS settings
200   Khurana (2002)
201   Pawson and Tilley (1997)
202   Hargreaves and Fink (2006)
203   Storey (2004)
204   McGivern et al (2015)
205   Day et al (2014)
206   Bryman (2007); Bryman and Lilley (2009); Bolden et al (2008), (2009)
207   DeRue and Myers (2014)

One early research project might be an initial stocktake of the "state of the national field" as a ground clearing exercise. This early study of leadership development activity across UK HEIs could collect texts from all UK HEIs, which outline their leadership development activity and subject them to content analysis. Figures on leadership development spend and a list of leadership development providers would also be useful. There could then be semi-structured interviews held with a set of leadership development leads in the HEIs to unpick the core models that they are working with, perhaps rather implicitly.

Secondly, there is little basic literature that explores the impact of leadership development programmes at different career stages for UK higher education leaders and the implications for their career advancement. The national ambition of Chibucos and Green's American study still stands out as a rare and laudable example.[208] A longitudinal UK cohort study (perhaps using surveys, focus groups and interviews) tracking individual career and wider personal outcomes over time after participation in leadership development programmes is a second suggestion for a nationally scaled study.

Such an approach by itself may be seen as individualistic and rather functionalist, unless complemented by wider perspectives. Day et al's recent review[209] highlights leadership development activity as multilevel and longitudinal in nature, yet there are few UK higher education studies exploring leadership processes in such multilevel fields. We assert that, as in other sectors, higher education leaders often operate with teams, relate to followers and have to be understood in relation to their wider organisational and historical contexts. A third study might therefore take a longitudinal, processual and comparative case study-based approach where the unit of analysis is tracking a desired strategic change or organisational transformation in an HEI supported by a large scale investment in leadership development activity. The study could ask: how do we assess the long-term impact of such programmes in their wider organisational context? Methods might here include documentary analysis, observation at meetings and semi-structured interviews with multiple stakeholders. There should be a systems level perspective and attention paid to the way in which leadership development programmes interact with other forces for change/inertia/resistance. The study might be set at a national level of ambition with a large group (eight to 10) purposively sampled HEIs in the study.[210] One dimension for selection into the study might be the different approaches to leadership development activity in the HEIs concerned. Geographical variation (across the four nations of the UK) would also be important.

Fourthly, one possible study would be to act as a national "clearing house" for naturally occurring local evaluations and to try to build a meta analysis across them, although the capacity to do this will in practice be constrained by the communality of local design. This could help move findings up from local to national level. There may also be an opportunity to influence the design of such local studies to try to bring them into alignment. This study could be linked to an attempt to build a national community among local researchers working in the field and to offer advice on the design of forthcoming projects, where requested. There might also be workshops or conferences held to bring such local researchers together at a national level.

Finally, we have suggested an alternative theoretical perspective on seeing universities as "knowledge organisations" and academics as "knowledge workers". What does such a novel *theoretical* approach imply at a more operational level for the design of management systems within universities and then the development of university leaders? Such settings would appear to be very different from many current UK universities' approaches, which are much more micro management based. As the sector slowly liberalises, are naturally occurring local experiments, which embody these principles, emerging, perhaps from new entrants that have not adopted established sectoral management recipes?

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208   Chibucos and Green (1989)
209   Day et al (2014)
210   Pettigrew et al (1992) represents a worked example of such a design in the UK healthcare sector

Concluding general remarks

In conclusion, we suggest the current literature on leadership development approaches in UK higher education appears small scale, fragmented and often theoretically weak, with many different models, approaches and methods co-existing with little clear pattern of consensus formation.

However, given the importance of leadership development in the UK higher education sector (like other sectors) and the amount of resource spent on it by HEIs as programme commissioners, this is not a satisfactory state of affairs. Over time, a better evidence base (or rather evidence *bases*, as many different types of evidence may all be helpful, including large-scale surveys, cohort studies, comparative case studies, action learning and appreciative enquiry methods) should be built up. It is important to move from a local to a national level of ambition. Launching such a scaled up and nationally significant research programme will take time and require developments on both the demand side and the supply side. It may need to concentrate on (say) pursuing three main themes to protect scale and ensure that the research does not dissipate into many small local studies. It might also need to define which level of the system (head of department? Pro-vice-chancellor?) is of especial interest to limit what might otherwise be an over-diffuse scope.

On the demand side, potential funders would have to decide, first of all, whether this question of leadership development in higher education is an important research area for them. If it is, funders may then need to think carefully about the research programme design, the winning of more substantial resources for some nationally scaled and significant projects and building support and legitimacy for what would be a long run research programme among the UK HEIs. There will also be the need for a growth of academic capacity on the supply side from the small base currently evident, including researchers from a number of basic social science disciplines working together in multi-disciplinary teams.

Finally, we offer some insights from our generic work on leadership development, which may also be relevant to higher education. Several authors of this report have been involved in innovative and experimental senior-level leadership development training programmes. These include the use of *arts-based methods*[211] and *play* (ie consisting of "amusing, pretend or imaginary interpersonal and intrapersonal interactions or interplay") as means for developing leaders' leadership identity, cognitive abilities and behavioural skills,[212] as well as leadership development exercises such as *planned scenarios* which require from participants application of effective behaviours to drive performance excellence.[213]

Fischer and colleagues found the most effective leadership development interventions struck a finely balanced "binocular focus" on participants' personal experiences, motivations and expectations, with a contextual emphasis on desired organisational outcomes and their evolution over time.[214] They suggest, firstly, that leadership development programmes need stronger emphasis on subjective dimensions for reflection, particularly "formative spaces",[215] where less dominant narratives and perspectives can be articulated and worked through. This can be especially important in commissioned custom programmes, which readily produce unintended disciplinary effects – creating (paradoxically) dynamics of conformity and resistance among participants[216] rather than stimulating the agency and greater sense of self-determination and active collaboration required for effective leadership.[217] Accordingly, Fischer et al argue that leadership development interventions should create space for exploring personal reactions, emotional responses and identities that are more conducive to longer-term processes required for leadership development.[218] These "counter-programmatic" dimensions are likely to need ongoing opportunities for reflection, sense making, and crafting nuanced variations in leadership practice.

211   Taylor and Ladkin (2009)

212   Kark (2011) p510

213   Frisina and Frisina (2011) p2

214   Fischer and White (2014); Fischer et al (2015b)

215   Fischer (2012); McGivern and Fischer (2012)

216   Gagnon and Collinson (2014)

217   Carroll and Nicholson (2014); Nicholson and Carroll (2013)

218   Fischer et al (2015b)

Secondly, they argue that leadership development programme design requires constant in-the-moment (formative) monitoring and calibrating as sensemaking devices. Whereas much literature focuses on the content of formal programme curricula and the immediacy of post-delivery metrics, their research finds that less apparent "counter-programmatic" processes can play a major role, shaping insights that develop and can become more personally significant in the months (and even years) after leadership development interventions. Their study finds that programmes need to balance a degree of tension between formal theories and constructs, practice-focused techniques and heuristics, and subjectively experienced, interpersonal dimensions of leadership.[219] Indeed, leadership may be seen as a social accomplishment that is crafted and "assembled" between people, in relation to their specific contexts.

Finally, in the design and delivery of programmes, they argue that heterogeneously composed faculty teams – consisting of research-active academics, experienced leaders/practitioners, and experts in social psychology – may be an effective model for straddling the tasks of translating research, calibrated into practical techniques that are effective for particular contexts, in combination with participants' subjective and experiences and emerging leadership identities, crafted over time.[220]

We hope in this concluding discussion to have put forward some first ideas for a possible national level research agenda on leadership development activity in higher education, but much more research and work is clearly needed in this field.

219   Fischer et al (2015b)
220   Fischer et al (2015b)

Table 1.
Table of results on leadership development in higher education

Akbulut, M., Nevra Seggie, F. & Börkan, B. 2015. Faculty member perceptions of department head leadership effectiveness at a state university in Turkey. International Journal of Leadership in Education. 18(4): 440-463.	Survey of 70 faculty members in a Turkish university to examine the leadership effectiveness of department heads using a modified instrument based on the competing values managerial behaviour framework.
Angawi, G.T. 2012. Neo-charismatic Leadership: A New Theory for Effective Leadership in Higher Education. Educate~. 12(2): 34-47.	Uses three case studies to develop a model of CEO neo-charismatic leadership and show its relevance to the M&A context.
Bolden, R., Gosling, J., Maturano, A. & Dennison, P. 2003. A Review of Leadership Theory and Competency Frameworks. University of Exeter: Centre for Leadership Studies, working paper.	A review of leadership theories and competency frameworks. Seven private-sector, nine public sector and eight generic frameworks are discussed and the limitations of the competency framework approach to leadership and leadership development are noted.
Bolden, R., Gosling, J. & O'Brien, A. 2014. Citizens of the academic community? A societal perspective on leadership in UK higher education. Studies in Higher Education. 39(5): 754-770.	Uses a listening post methodology (26 participants from 15 higher education institutions) to investigate the role of academics as "citizens" within the higher education community.
Bryman, A. 2007. Effective leadership in higher education: A literature review. Studies in Higher Education. 32(6): 693-710.	Literature review of leadership effectiveness at department level that notes the lack of systematic research in the area.
Bryman, A. & Lilley, S., 2009. Leadership researchers on leadership in higher education. Leadership. 5(3): 331-346.	24 leadership researchers in UK higher education interviewed about their perceptions of leadership effectiveness, no single type of leadership identified as most effective.
Chibucos, T. R. & Green, M. F. 1989. Leadership development in higher education: An evaluation of the ACE Fellows Program. The Journal of Higher Education. 60(1): 21-42.	Evaluated the impact a well-established American higher education leadership development programme using data about the cohorts as well as 588 survey responses from past participants.
Collings, S., Conner, L., McPherson, K., Midson, B., & Wilson, C. 2010. Learning to be leaders in higher education: what helps or hinders women's advancement as leaders in universities. Educational Management Administration & Leadership. 39(1): 44-62.	Used the Critical Incident Technique to identify factors that help or hinder leadership advancement for women in NZ higher education. 110 incidents reported by 26 online survey respondents.

DeLourdes Machado-Taylor, M. & White, K. (2014) Women in Academic Leadership. Gender Transformation in the Academy. 19: 375-393	Explores the role and leadership style of senior women leaders in universities in Australia and Portugal on the basis of 44 interviews with both men and women leaders.
Debowski, S. 2015. Developing Excellent Academic Leaders in Turbulent Times. All Ireland Journal of Teaching and Learning in Higher Education. 7(1): 2221-22213	Commentary that explores the challenges facing academic leadership in higher education and argues that the sector needs to "incubate" good academic leaders more coherently and effectively.
Deem, R. 2009. Leading and Managing Contemporary UK Universities: Do Excellence and Meritocracy still Prevail over Diversity? Higher Education Policy. 22(1): 3-17.	Takes a feminist and gendered perspective to re-analyse the results of two previous interview-based studies (30 respondents in six universities) to examine tension between excellence and diversity in UK higher education.
Deem, R., Hillyard, S. and Reed, M. 2007. Knowledge, higher education, and the new managerialism: The changing management of UK universities. Oxford: Oxford University Press.	Monograph explores the impact of New Public Management-based reforms on roles, identities and learning needs of academic managers in UK universities, 137 academic managers interviewed.
DeFrank-Cole, L., Latimer, M., Reed, M. & Wheatly, M. 2014. The Women's Leadership Initiative: One University's Attempt to Empower Females on Campus. Journal of Leadership, Accountability and Ethics. 11(1): 50-63.	Mixed methods evaluation of a women's leadership initiative developed and undertaken in one American university.
Gallant, A. 2014. Symbolic interactions and the development of women leaders in higher education. Gender, Work & Organization. 21(3): 203-216.	Uses semi-structured interviews with a cohort of eight women in an Australian university who had been through a leadership development programme to examine the under-representation of women in higher education leadership.
Haddon, A., Loughlin, C. and McNally, C. 2015. Leadership in a time of financial crisis: what do we want from our leaders? Leadership & Organization Development Journal, 36(5): 612-627.	Uses a mixed methods approach to explore employee leadership preferences during organisational crisis and non-crisis times using a questionnaire and qualitative interviews.
Hamlin, R.G. and Patel, T. 2015. Perceived managerial and leadership effectiveness within higher education in France. Studies in Higher Education, 1-23.	37 academic/non-academic managerial/non-managerial staff interviewed and the Critical Incident Technique used to identify positive and negative behavioural indicators, differences from similar research carried out in Anglo countries noted.

Harris, C. A. & Leberman, S. I. 2012. Leadership development for women in New Zealand universities: Learning from the New Zealand women in leadership program. Advances in Developing Human Resources. 14(1): 28-44.	Longitudinal case study approach including surveys, phone interviews, and independent evaluation of the impact of a major leadership development programme aimed at senior women in New Zealand universities.
Jarvis, C., Gulati, A., McCririck, V. & Simpson, P. 2013. Leadership Matters Tensions in Evaluating Leadership Development. Advances in Developing Human Resources. 15(1): 27-45.	Analysis of a leadership development programme (over two years with 43 participants) in UK social care sector, highlights challenge of finding meaningful ways to evaluate individual and organisational development.
Ladyshewsky, R. K. & Flavell, H. 2012. Transfer of training in an academic leadership development program for program coordinators. Educational Management Administration & Leadership. 40(1): 127-147	Qualitative study explored medium-term effects (six to 12 months following participation) of a leadership development program on 10 academic staff in the role of programme coordinator in Australian higher education.
Marshall, S. 2012. Educational middle change leadership in New Zealand: the meat in the sandwich. International Journal of Educational Management. 26(6): 502-528.	Qualitative study examining the experiences of a cohort of 10 middle managers (eg head of departments) in trying to manage change in New Zealand higher education.
McDaniel, E. A. 2002. Senior leadership in higher education: An outcomes approach. Journal of Leadership & Organizational Studies. 9(2): 80-88.	Updated evaluation of the ACE leadership development programme which used a competencies framework, tracking the class of 1999/2000 ACE fellows.
Morris, T. L. & Laipple, J. S. 2015. How prepared are academic administrators? Leadership and job satisfaction within US research universities. Journal of Higher Education Policy and Management. 37(2): 241-251.	Survey of 1515 US university administrators asking about leadership skills, preparedness for their administrative role, and job satisfaction.
Owusu-Bempah, J. 2014. How Can We Best Interpret Effective Leadership? The Case For Q Method. Journal of Business Studies Quarterly. 5(3): 47-58.	Explores methodological issues in research into effective leadership behaviours and suggests use of the Q method which can produce larger datasets that can be subjected to quantitative analysis.
Parrish, D.R. 2015. The relevance of emotional intelligence for leadership in a higher education context. Studies in Higher Education. 40(5): 821-837.	Small-scale case study (11 interviews of Australian academics) pre and post a leadership development programme, with a focus on emotional intelligence.

Rowley, D.J. & Sherman, H. 2003. The special challenges of academic leadership. Management Decision. 41(10): 1058-1063.	Discussion piece that considers broad issues in higher education leadership, particularly that many of the managers/leaders are also academics.
Scott, G., Bell, S., Coates, H. & Grebennikov, L. 2010. Australian higher education leaders in times of change: the role of Pro Vice-Chancellor and Deputy Vice-Chancellor. Journal of Higher Education Policy and Management. 32(4): 401-418.	Mixed methods large-scale study of Australian higher education leaders (pro- and deputy-vice-chancellors) examines the key focus of these roles and discusses implications for leadership development and succession planning.
Spendlove, M. 2007. Competencies for effective leadership in higher education. International Journal of Educational Management. 21(5): 407-417.	Small qualitative study (10 semi structured interviews with pro-vice-chancellors in UK higher education) examining competences of effective leadership at this level.
Tolar, M. H. 2012. Mentoring experiences of high-achieving women. Advances in Developing Human Resources. 14(2): 172-187.	Qualitative analysis of 71 survey responses from a cohort of women in the US Truman Scholarship programme investigates mentoring as both a positive and negative factor in leadership development.
Turnbull, S. & Edwards, G. 2005. Leadership development for organizational change in a new UK university. Advances in Developing Human Resources. 7(3): 396-413.	Qualitative case study using semi-structured interviews, focus groups and ethnographic observation to investigate a leadership development intervention in a post-1992 UK university.
Vilkinas, T. & Ladyshewsky, R.K. 2012. Leadership behaviour and effectiveness of academic program directors in Australian universities. Educational Management Administration & Leadership. 40(1): 109-126.	Survey study into the perceived effectiveness of academic programme directors in Australian higher education using the Integrated Competing Values Framework as its theoretical foundation.
Wolverton, M., Ackerman, R. & Holt, S. 2005. Preparing for leadership: What academic department chairs need to know. Journal of Higher Education Policy and Management. 27(2): 227-238.	A multi-level needs assessment exercise in one US university to inform the design of a leadership development programme for incoming departmental chairs, discusses implications for other institutions.
Zuber-Skerritt, O. & Louw, I. 2014. Academic leadership development programs: a model for sustained institutional change. Journal of Organizational Change Management. 27(6): 1008-1024.	Small-scale case study and qualitative evaluation of an academic leadership development program in a South African university.

Table 2.
Results on evaluation and metrics used for leadership development

Abrell, C., Rowold, J., Weibler, J. & Moenninghoff, M. 2011. Evaluation of a Long-term Transformational Leadership Development Program. Zeitschrift für Personalforschung. 25: 205-224.	Longitudinal evaluation (up to 12 months post intervention) of a leadership development programme in Germany with 25 participants. The results indicate that transformational leadership, leaders performance and OCB improved over time.
Alimo-Metcalfe, B. & Alban-Metcalfe, J. 2004. Leadership in public sector organizations. In: Storey, J. (ed.) Leadership in Organizations- Current Issues and Key Trends. London: Routledge.	Chapter that offers different case studies which have been employed by the public sector in the UK.
Allio, R. 2005. Leadership development: leaching versus learning. Management Decision. 43(7/8): 1071-1077.	Critical review of leadership development programmes and the assumptions on which they are built (based on the notion that leadership cannot be taught, although potential leaders can be educated).
Amagoh, F. 2009. Leadership development and leadership effectiveness. Management Decision. 47(6): 989-999.	Literature review on leadership development practices. Concludes that leadership development is a continuous process. The author emphasises the importance for an effective leadership development culture in order to create a supportive environment for leaders.
Avolio, B., Mhatre, K., Norman, S. & Lester, P. 2009a. The Moderating Effect of Gender on Leadership Intervention Impact An Exploratory Review. Journal of Leadership & Organizational Studies. 15(4): 325-341.	Meta-analysis of 57 intervention-based leadership studies that includes data on gender difference. The authors note that leadership development programmes indirectly affect followers, organisational learning, cultures and communities but also emphasise the complexity of these relationships and their impact.
Avolio, B., Reichard, R., Hannah, S., Walumbwa, F. & Chan, A. 2009b. A meta-analytic review of leadership impact research: Experimental and quasi-experimental studies. The Leadership Quarterly. 20(5): 764-84.	This study examines the Pygmalion, developmental, affective, behavioural, cognitive and performance effects from leadership development programmes. Concludes that leadership development programmes have a 66% chance of impacting participants – which might be highly unrealistic given the complexity of leadership.
Avolio, B., Walumbwa, F. & Weber, T. 2009c. Leadership: Current Theories, Research, and Future Directions. Annual Review of Psychology. 60: 421-49.	This article examines theoretical and empirical developments in the literature on leadership. It provides a comprehensive summary of different approaches to study leadership and comments on the future development in the field.
Blackler, F. & Kennedy, A. 2004. The design and evaluation of a leadership programme for experienced chief executives from the public sector. Management Learning. 35(2): 181-203.	The authors rely on activity theory to shape a leadership development programme for chief executives in the NHS. The paper indicates that programmes can help participants to develop a resilient approach to tensions and conflicts, which may stimulate commitment and resolve.

Bolden, R., Gosling, J., Maturano, A. & Dennison, P. 2003. A Review of Leadership Theory and Competency Frameworks. University of Exeter: Centre for Leadership Studies, working paper.	Extensive report of leadership theory and competency frameworks. The authors rely on an existing model for the consideration of both leadership and leadership development between two dimensions – individual and collective processes.
Bolden, R., Petrov, G. & Gosling, J. 2008. Tensions in Higher Education Leadership: Towards a Multi-Level Model of Leadership Practice. Higher Education Quarterly. 62(4): 358–376.	Uses 152 semi-structured interviews in 12 UK universities to discuss leadership from a distributed perspective. The authors indentify five main elements of leadership practices in higher education (personal, social, structural, contextual and developmental). They also emphasise "social capital" and "social identity" as important bridges between individual agency and organisational structures.
Bolden, R., Petrov, G. & Gosling, J. 2009. Distributed Leadership in Higher Education Rhetoric and Reality. Educational Management Administration & Leadership. 37(2): 257–277.	Uses 152 semi-structured interviews in 12 UK universities to discuss leadership from a distributed perspective. They identified a "devolved" approach (top-down influence) to the distribution of leadership and an "emergent" approach (bottom-up and horizontal influence).
Cummings, G., Lee, H., Macgregor, T., Davey, M., Wong, C., Paul, L. & Stafford, E. 2008. Factors contributing to nursing leadership: a systematic review. Journal of Health Services Research and Policy. 13(4): 240-8.	Systematic review of the multidisciplinary literature to examine factors that contribute to nursing leadership and the effectiveness of educational interventions. 20 leadership factors were identified and grouped. The finings suggest that leadership can be developed through specific educational activities and by modelling and practising leadership competencies.
Day, D. V. (2000). Leadership development: A review in context. The Leadership Quarterly. 11(4): 581–613.	Monograph explores the impact of New Public Management-based reforms on roles, identities and learning needs of academic managers in UK universities, 137 academic managers interviewed.
Day, D.V., Fleenor, J.W., Atwater, L.E., Sturm, R.E. & McKee, R.A. (2014) Advances in leader and leadership development: A review of 25 years of research and theory. The Leadership Quarterly. 25(1): 63–82	Systematic review of theoretical and empirical literature. The authors discuss learning, skills, personality, self-development, interpersonal skills and authenticity as common issues considered in relation to leadership development, (although the research places emphasis on leadership - rather than leader - development as an organisational activity and collective accomplishment).
Dvir, T., Eden, D., Avolio, B. & Shamir, B. 2002. Impact of transformational leadership on follower development and performance: A field experiment. Academy of Management Journal. 45(4): 753-744.	Longitudinal, randomised field experiment testing the impact of transformational

leadership, enhanced by training, on follower development and performance. Their framework encompasses three main domains of followers development: motivation, morality and empowerment.	Uses a mixed methods approach to explore employee leadership preferences during organisational crisis and non-crisis times using a questionnaire and qualitative interviews.
Ely, K., Boyce, L.A., Nelson, J.K., Zaccaro, S.J., Hernez-Broome, G. and Whyman, W. 2010. Evaluating leadership coaching: A review and integrated framework. The Leadership Quarterly. 21(4): 585-99.	Reviews the literature on evaluation of leadership coaching. By providing a summative evaluation framework, they make three recommendations regarding measuring the impact of leadership: (i) using multi-source data (ii) measuring changes in the attitudes, (iii) including 'distal outcomes'.
Gentry, W. A., Eckert, R. H., Munusamy, V. P., Stawiski, S. A. & Martin, J. L. 2014. The needs of participants in leadership development programs: A qualitative and quantitative cross-country investigation. Journal of Leadership & Organizational Studies. 21(1): 83-101.	A study of the needs of leadership development programme participants, conducting a mixed methods evaluation across seven countries. Since participants' actual needs and expectations have been largely overlooked in previous studies, they argue that leadership development programmes should focus on topics based on participants' actual needs.
Hannum, K., Martineau, J. & Reinelt, C. (eds.) 2007. The handbook of leadership development evaluation. San Francisco, CA: Jossey Bass.	Comprehensive handbook on leadership development evaluation. Focusing on the design of leadership development evaluation, leadership development evaluation in context as well as increasing impact through evaluation use.
Hardy, L., Arthur, C. A., Jones, G., Shariff, A., Munnoch, K., Isaacs, I. & Allsopp, A. J. 2010. The relationship between transformational leadership behaviors, psychological, and training outcomes in elite military recruits. The Leadership Quarterly. 21(4): 20-32.	A study on the relationship between transformational leadership behaviour and outcomes in military recruits. The results show the intervention significantly affected certain leadership behaviours. The authors conclude that transformational leadership behaviours can be enhanced by leadership programme interventions and that transformational leadership behaviours should be studied as separate sub-dimensions.
Harris, A., Leithwood, K., Day, C., Sammons, P. & Hopkins, D. 2007. Distributed leadership and organizational change: Reviewing the evidence. Journal of Educational Change. 8(4): 337-347.	A review of empirical studies of distributed leadership in schools, particularly considering its potential impact upon student learning.
Hoppe, B. & Reinelt, C. 2010. Social network analysis and the evaluation of leadership networks. The Leadership Quarterly. 21(4): 600-619.	This article provides a framework for conceptualising and evaluating various types of leadership networks: peer leadership networks, organisational leadership networks, field policy level networks, and collective leadership networks. They argue that leaders' abilities to nurture and use such leadership networks are a potentially important aspect of leadership development.

Kelloway, E.K., Barling, J. & Helleur, J. 2000. Enhancing transformational leadership: the roles of training and feedback. Leadership & Organization Development Journal. 21 (3): 145-149.	The authors investigate the effects of leadership training and counselling on subordinates' perception of transformational leadership behaviour. The research supports earlier findings that a combination of leadership training and personal feedback results in enhanced transformational leadership.
King, E. & Nesbit, P. 2015. Collusion with denial: leadership development and its evaluation. Journal of Management Development. 34(2): 134-152.	The paper attempts to move beyond theory-based (aligning objectives and activities), mixed methods and case study approaches to highlight the importance of intangible outcomes. Their study uses a "delayed, reflective evaluation method" as a more qualitative and longitudinal analysis, focusing on learning experiences and changes in perspectives post-programme.
Leskiw, S. L. & Singh, K. 2007. Leadership development: learning from best practices. Leadership & Organization Development Journal. 28(5): 444-464.	Reviews the literature on best practices in leadership development. Their review found six "best practice" areas to be important in programme design. The authors argue that evaluation of leadership development is not measurable in quantifiable terms, but through asking the right questions of all relevant stakeholders.
Lopes, M. C., Fialho, F. A. P., Cunha, C. J. C. A. & Niveiros, S. I. 2013. Business Games for Leadership Development: A Systematic Review. Simulation & Gaming. 44(4): 523-543.	The authors conducted a systematic literature review of the use of business games in leadership development. They found little evidence that participation in games led to changes in behaviour or skills, and advocate stronger development of assessment and feedback methods.
Martin, J. S., Mccormack, B. D., Fitzsimons, D. & Spirig, R. 2012. Evaluation of a clinical leadership programme for nurse leaders. Journal of Nursing Management. 20(1): 72-80.	This study evaluates a clinical leadership programme for nurse leaders, based on a well-established programme of 18 days conducted over 12 months, with a six-month follow-up day. Findings are that two of the five subscales showed improvement – "inspiring a shared vision" and "challenging the process".
McAllan, W. & MacRae, R., 2010. Learning to lead: evaluation of a leadership development programme in a local authority social work service. Social Work & Social Sciences Review. 14(2): 55-72.	Empirical study discussing the impact of a leadership development programme that attempts to develop leaders among actual and prospective managers. The article suggests that some aspects of the leadership development programme had a substantial impact at the level of the individual and in the wider operational terms within the service.
Militello, M. & Benham, M. K. P. 2010. "Sorting Out" collective leadership: How Q-methodology can be used to evaluate leadership development. The Leadership Quarterly. 21(4): 620-632.	Unusual approach of Q-methodology to evaluate the impact of leadership development on collective leadership. Their study is a longitudinal evaluation using mixed methods (firstly analysing existing reports, and secondly gathering data through site visits, interviews, surveys, field notes, photographs to generate and share participant stories, and "Q-sorts").

Orvis, K. & Ratwani, K. 2010. Leader self-development: A contemporary context for leader development evaluation. The Leadership Quarterly. 21(4): 657-674.	Examines the recent movement in organisations of self-development as a mean to supplement formal leadership development. They suggest a mixed method approach including summative and formative evaluation.
Russon, W. & Reinelt, C. 2004. The result of an evlaution scan of 55 leadership development programs. Journal of Leadership and Organizational Studies. 10(3): 104-107.	Evaluation scan of change-oriented leadership programmes. It emphasises the usefulness of "programme theory" to evaluate leadership development programmes (because it helps staff to check the alignment between planned activities and desired outcomes and impact).
Simmonds, D. & Tsui, O. 2010. Effective Design of a global leadership programme. Human Resource Development International. 13(5): 519-540.	This paper comprises a case study, quantitative data analysis and results from critical incident semi-structured interviews. A novel design model was developed from a literature review, tested against a leadership programme in a large well-known multinational organisation, and later refined based on the empirical results.
Solansky, S. 2010. The evaluation of two key leadership development components: Leadership skills assessment and leadership mentoring. The Leadership Quarterly. 21(4): 675-681.	This paper evaluates two key components in leadership development programmes: a 360-degree assessment of leadership skills and leadership mentoring. The participants in this study include 303 individuals in a leadership development program and 41 leadership mentors. It advocates the use of 360-degree feedback as well as mentors in assessing leadership skills rather than relying on self-reports.

Appendix 1. A brief review of the field: what is leadership?

Leadership is, of course, a contested field. However, one weakness of many of the studies that survived our quality sift was that the lack of precision in the definition of leadership used. This appendix offers a brief review of the existing scholarship on leadership. Our concern here is to alert those planning evaluations of leadership development programmes to the need for clarity in how they are framing leadership and what aspects are they seeking to explore, measure and learn from.

Whereas the topic of leadership can be characterised as a proliferation of various leadership theories, the field has been criticised for its relative neglect of empirical research. Notably, Harvard Business School's centennial colloquium was dedicated to stimulating "serious scholarly research" in the field of leadership. In Nohria and Khurana's edited volume, they criticise the "intellectual neglect" of leadership theory, development, and practice, seeking to take stock of what they see as a fragmented field, and to set a serious agenda for the future.[221] The authors argue that the dearth of serious scholarship in this discipline "abandons to popular press" some of the most significant societal issues, for which a more evidence-based leadership is needed.

Pfeffer's recent book is also critical of what he terms "the leadership industry", arguing that in the context of so little rigorous research, the "preaching, storytelling, inspirational and aspirational character so common in leadership makes things worse in numerous ways."[222] He compares the development of evidence-based healthcare, which he argues has transformed traditional medical practice, with the case of the leadership field which has "no barriers to entry and the relationship between scientific rigor and success in the leadership industry is somewhere between small and negative".

Stogdill's work had an early profound impact on the theory and research development in the field. He defines leadership as "the process (act) of influencing the activities of an organised group in its efforts towards goal setting and goal achievement".[223] In a similar vein, Northouse defines leadership as "a process whereby an individual influences a group of individuals to achieve a common goal".[224] Given these interpretations, certain elements, which are common to many definitions, can be observed; leadership is a *process*, leadership includes *influence*, leadership takes place in *groups* and, lastly, leadership involves common *goals*. [225]

Leadership can also be understood as a process of influence relating to the "management of meaning",[226] "social construction"[227] or "framing" of organisational context [228] or contextually situated "practice". [229]

In Glynn and DeJordy's review of empirical studies of leadership in the field of organisational behaviour, they conclude that the field's persistent heterogeneity of theories undermines cumulative theory building.[230] Whereas much of the literature emphasises individual-centric leadership traits, skills, behaviours, styles and adaptations, it overlooks how leadership infuses purpose, values and meaning into organisations. They call for richer qualitative studies to investigate more relational dynamics of meaning making and infusing values (such as leadership influences on sense-giving and sense-breaking), switching from theory-driven research that characterises the field to more problem-focused inquiry.

Supporting this call for qualitative approaches to leadership research, Bryman argues that the field has been dominated by quantitative methods, especially surveys.[231] While qualitative methods were adopted relatively recently in the field, longitudinal approaches and especially participant observation are still unusual as methods - despite previous calls for more observational studies of what leaders actually do in practice.[232] Bryman similarly calls for a rebalancing of methods to counter the current dominance and limitation of theory- and questionnaire-based leadership research. He argues "ethnographic studies have considerable potential in the field in helping us to appreciate how leadership takes place, the 'leaderful moments' that undoubtedly occur in organisations, how context and leadership and intertwined, and the fact that leadership may occur anywhere and be exhibited by anyone – not just where leadership researchers assume it will take place".[233]

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221 Nohria and Khurana (2010)
222 Pfeffer (2015) p32
223 Stogdill (1950) p3
224 Northouse (2010) p3
225 Northouse (2010); Athanasopoulou and Dopson (2015); Parry and Bryman (2006)
226 Smircich and Morgan (1982)
227 Grint (1995)
228 Fairhurst (2009), (2011)
229 Carroll et al (2008); Denis et al (2010); Endrissar and Von Arx (2013)
230 Glynn and DeJordy (2010)
231 Bryman (2011)
232 See Conger (1998)
233 Bryman (2011) p26

To provide a more nuanced understanding of leadership as a field, the theories can be grouped into larger categories. Parry and Bryman argue that these "stages of leadership theory and research" are generally associated with particular time spans.[234] The *Trait* approach was seen as the dominant approach up to the late 1940s, the *Style* approach had a major influence on the field from then until the 1960s. From the late 1960s until the early 1980s the *Contingency* approach has been developed. Following this, the *New Leadership* approach was the major influence from the 1980s onwards. Lastly, *Post-charismatic* and *Post-transformational* leadership emerged through the late 1990s. Parry and Bryman claim that each time period is associated with a change of prominence whereby each of these stages signals a change of emphasis rather than a demise of the previous approach.

In their review of leadership studies, Northouse developed 15 categories of leadership research that have evolved over time.[235] Athanasopoulou and Dopson extended Northouse's categorisation even further by including three more leadership approaches.[236] To provide a concise overview of leadership theories in the field, a brief review of the most valuable and influential approaches is discussed next.

Trait approach

The trait approach, which is the earliest systematic attempt to study the concept of leadership, seeks to determine the personal qualities and characteristics of leaders. These theories imply that leaders have special and usually inborn talents and are therefore often referred to as "great man" theories.[237]

Another valuable contribution to our current understanding of this approach is the early work by Stogdill.[238] Stogdill reviewed and analysed more than 287 studies over a time period of 30 years. In his first review, he found that a number of traits differ between leaders and normal members of a group. These include intelligence, alertness, insights, responsibility, initiative, persistence, self-confidence and sociability.[239] Most importantly, the findings of his review indicate that certain individuals become leaders not solely because of their traits. Rather the traits that a given person possesses must be relevant to situations in which the leader is functioning. However, since the trait approach only provides a limited account of the complex nature of leadership, its attractiveness has considerably reduced from the 1940s onwards. Criticism of this leadership approach mainly questions the universality of leadership traits.

Style approach

The shift in leadership research in the late 1940s signalled a change of focus from the personal characteristics of leaders towards their behaviour as leaders.[240] This perspective emphasises what leaders actually do and how they act rather than their underlying characteristics.[241] The style approach implies that leadership is comprised of two types of behaviour. These include task-oriented behaviour, which facilitates goal accomplishment, and relationship-oriented behaviour, which is concerned with how comfortable subordinates feel with each other and the situation they are in. According to Northouse, the key aim of this approach "is to explain how leaders combine these two kinds of behaviour to influence subordinates in their efforts to reach a goal".[242] Taking this line of thought into consideration it becomes clear that this notion also indicates a change of practical implication of leadership research. Since the trait approach argues that certain individuals are in the possession of favourable traits, it implies that these individuals must be located and selected for a leadership position. By contrast, the style approach takes a different direction. Since leader behaviour is capable of being changed, it is argued that the focus needs to shift from selecting appropriate individuals with leadership traits towards training and developing them and their capability to act as effective leaders.[243] This line of thought provides a particularly important insight for leadership development programmes: central to the notion of the effectiveness of leadership development is the question of the extent to which you can train individuals to be successful leaders.[244]

234   Parry and Bryman (2006)
235   Northouse (2010)
236   Athanasopoulou and Dopson (2015)
237   Northouse (2010); Athanasopoulou and Dopson (2015)
238   Stogdill (1950)
239   Northouse (2010)

240   Parry and Bryman (2006)
241   Stentz et al (2012)
242   Northouse (2010) p69
243   Parry and Bryman (2006)
244   Bolden et al (2003)

Contingency approach

From the late 1960s the so-called contingency approach emerged.[245]   The contingency theory is a "leader-match" perspective and, instead of focusing only on the leader, it also takes the context into account.[246]   This approach suggests that a leader's effectiveness depends on how well their leadership style fits the situation.[247]

At the heart of this perspective is Fielder's study, which uses the Least Preferred Co-worker Scale (LPC) as an instrument to indicate the leadership orientation of individuals.[248]   According to Fielder's research, leaders are either highly task-oriented (low LPC), socio-independent individuals (medium LPC) or relationship motivated (high LPC).[249]   Fielder continues to argue that the effectiveness of leaders is contingent on how favourable the situation is to the leader. This situational favourableness demonstrates to what extent the leader can control and influence a group in a given context. Fiedler's findings indicate that task-oriented leaders are more effective in low and high control situations, whereas relationship-oriented individuals are most successful in moderate control environments.[250]   This approach provides an interesting framework to effectively match leaders to situation, which indicates a shift away from universalistic theories of organisation towards a rather particularistic framework.[251]

The New Leadership approach

The so-called "New Leadership" approach has been introduced to describe a number of theories of leadership research that have evolved in the 1980s.[252]   The New Leadership theories include perspectives such as the "Charismatic Leadership" approach[253] as well as the "Transformational Leadership" approach.[254]   According to Parry and Bryman "together these different approaches seemed to signal a new way of conceptualising and researching leadership".[255]   With the emergence of the New Leadership approach, the focus of research has shifted from rational processes towards understanding leadership as an emotional and value-driven process, which acknowledges the importance of symbolic behaviour.[256]

The New Leadership approach conceptualises a leader as someone who "defines organisational reality through the articulation of a vision, which is a reflection of how he or she defines the organisation's mission, and the values that will support it".[257]   House argues that, according to the Charismatic Leadership theory, leaders transform the values, needs and aspirations of followers from self-interests to collective interests.[258]   Hence, they cause followers to become highly committed to the leader's mission and to make significant personal sacrifices in the interest of this mission. This approach suggests that there is a direct link between the leader's need for power and the individual charisma, whereby this unusually high need for influence distinguishes a charismatic leader from others.[259]

In a similar fashion, the Transformational Leadership theory suggests that people are transformed through a process that includes four factors: idealised influence, inspirational motivation, intellectual motivation and individualised consideration.[260]   Burns continues to make a distinction between transformational and transactional leaders.[261]   Whereas transactional leaders reward and punish individuals for appropriate or inappropriate behaviour, transformational leaders go beyond the use of rewards by "inspiring followers to identify with a vision that reaches beyond their own immediate self-interest".[262]   However, this approach to charismatic-transformational leadership has recently been criticised in van Knippenberg and Sitken's scholarly review of this literature, A Critical Assessment of Charismatic-Transformational Leadership Research: Back to the Drawing Board?.[263]   The authors argue that the concepts are poorly defined, fail to specify causal and mediating factors, confound supposed leader characteristics (transformational leadership) with its effects, and the most frequently used measurement tools are "invalid in that they fail to reproduce the dimensional structure specified by theory and fail to achieve empirical distinctiveness from other aspects of leadership".[264]   The authors conclude that these problems are so essential and inherent in the literature on transformational leadership that current approaches should be abandoned entirely, along with the charismatic-transformational label.

245   Parry and Bryman (2006)
246   Northouse (2010); Athanasopoulou and Dopson (2015)
247   Stentz et al (2012)
248   Fielder (1964)
249   Fielder (1964); Athanasopoulou and Dopson (2015)
250   Parry and Bryman (2006)
251   Parry and Bryman (2012); Lawrence and Lorsch (1967)
252   Parry and Bryman (2006)
253   Bass (1985); Burns (1978)
254   Burns (1978); House (1977); Bass (1985)

255   Parry and Bryman (2006) p450
256   Yukl (1999)
257   Parry and Bryman (2006) p450
258   House (1991)
259   House (1977); Athanasopoulou and Dopson (2015)
260   Athanasopoulou and Dopson (2015); Stentz et al (2012)
261   Burns (1978)
262   Judge and Bono (2000) p751; Athanasopoulou and Dopson (2015)
263   van Knippenberg and Sitken (2013)
264   van Knippenberg and Sitken (2013) p2

While charismatic and transformational leadership has had a positive impact on organisations, it may also have a "dark side", as powerfully demonstrated by the examples of Adolf Hitler or Jeff Skilling at Enron.[265] Charismatic and transformational leaders are often narcissistic, and as a result blind to their own limitations, closed to criticism and unable to see threats to organisations.[266] Others have criticised the overestimation of "superstar" leaders' impact[267] privileging "heroic leaders" over the important work of "boring" managers[268] or "quiet leadership".[269]

Post-charismatic and post-transformational approach

Storey[270] claims that charismatic leadership and transformational leadership theories are very much constructs of the late 20th century. According to Parry and Bryman, the interest of researchers in the field of leadership has shifted once again.[271] These scholars argue that "the increasing distribution of leadership, combined with concerns about narcissistic and pseudo-transformational leaders and the shadow or "dark" side of charisma has led to a more recent conceptualisation of leadership in organisation".[272] For example, Fullan[273] developed an implicit model of post-charismatic and post-transformational leadership which is based on embedded learning, distributed leadership in groups, as well as learning from experience and failure.[274]

In a similar vein, Mumford and Van Doom developed a theory of pragmatic leadership in order to address the limitations of transformational and charismatic approaches.[275] According to them, efficient leadership does not always involve charisma but should rather be based on a functional and problem-solving approach. Hence, pragmatic leaders influence followers by identifying and communicating solutions to social problems.[276]

Distributed, relational and complexity leadership

While early approaches tend to take a rather individualistic perspective by focusing on the characteristics of successful leaders, later theories begin to consider the role of followers and wider situational circumstances.[277] Meindl's critique of the "romance of leadership" highlights the way in which perceptions of leaders are constructed in the minds of followers, drawing attention to the interrelation between leaders and followers within the process of leadership.[278] Douglas and colleagues stress that "leaders can be more effective by networking, coalition building, and social capital creation by working with and through others."[279] This indicates a shift towards a perspective of "distributed leadership",[280] which is a "group activity that works through and within relationships rather than individual actions".[281] Distributed leadership alters the focus from heroic individual leaders towards a more systematic perspective in which leadership emerges within the interrelations between leaders, followers and context collective social process,[282] with distributed leadership as the "unit of analysis". Taking these complex circumstances into consideration, it is perhaps unsurprising that distributed leadership has gained support in practice, particularly in the public sector.[284]

Distributed, "plural"[285] or "collective"[286] and relational leadership is seen to be particularly relevant to complex and pluralistic professionalised public organisations, such as healthcare[287] and education,[288] where the ability to manage the range of groups and activities involved is beyond the capability of any one individual, and requires the buy-in of professionals. Accordingly, "hybrid" manager-professionals have been seen to be particularly important in healthcare[289] and higher education,[290] bringing together different professional and managerial communities and discourses.

265   Tourish and Vatcha (2005); Tourish (2013)
266   Maccoby (2000)
267   Khurana (2002)
268   Mintzberg (2009)
269   Badaracco (2001)
270   Storey (2004)
271   Parry and Bryman (2006)
272   Parry and Bryman (2006) p455
273   Fullan (2001)
274   Parry and Bryman (2006)
275   Mumford and Van Doom (2001)
276   Parry and Bryman (2006)
277   Bolden et al (2003)
278   Meindl (1995)

279   Douglas et al (2005) p142
280   Gronn (2002); Bennett (2003); Spillane (2006); Bolden (2011)
281   Bennett et al (2003) p3
282   Bolden (2011); Orazi et al (2014)
283   Gronn (2002)
284   Orazi et al (2014)
285   Denis et al (2012)
286   Denis et al (2001)
287   Buchanan (2007); Fitzgerald et al (2013); Currie and Lockett (2011); Ferlie et al (2013)
288   Bennett (2003); Spillane (2006); Currie et al (2009)
289   Denis et al (2011); McGivern et al (2015); Fischer et al (2015a)
290   Deem et al (2007); Fischer et al (2015b)

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Sue is involved in a number of highly innovative executive development programmes. She teaches on the Oxford Advanced Management and Leadership Programme, Oxford Strategic Leadership Programme, Oxford Transition to Leadership Programme and Consulting and Coaching for Change. She has worked closely with organisations ranging from the Department of Health to Roche Pharmaceuticals and is involved in the development of courses for the NHS and Royal Mail Group.

Sue's research centres on transformational change and knowledge exchange in the public and healthcare sectors. She has written and edited many major works on this topic and her research has informed and influenced government bodies such as the Department of Health and the National Institute for Health and Clinical Excellence (NICE) in their thinking on areas such as the dissemination of clinical evidence into practice, medical leadership and the role of the support worker in the NHS. She currently represents the University of Oxford as Non-Executive Director of the Oxford Health NHS Foundation Trust.

Sue formerly worked as personnel manager in the NHS before pursuing a research and academic career. She has a BSc in sociology, MSc in sociology with special reference to medicine MA (Oxon) and a PhD studying the introduction of general management into the NHS.

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Ewan is co editor of the forthcoming 'Oxford Handbook of Health Care Management' (Oxford University Press, 2016) and has recently also authored a book on the organisational analysis of health care organizations ('Analysing Health Care Organisations', Routledge, 2016) which supports a course he teaches at KCL. He has recently been a co-investigator on a Health Foundation funded study of the value based health care initiative at King's College Hospital and is currently a co-investigator in a small scale study funded by the Guy's and St Thomas's Charity of lessons to be learned from the South London Integrated Care programme. Ewan is a Fellow of the Academy of Social Sciences (FAcSS) and also honorary chair of the Society for the Study of Organising in Health Care, a learned society which is a constituent member of the Academy of Social Sciences.

Gerry McGivern is Professor of Organisational Analysis at Warwick Business School. His research focuses on understanding professionals' knowledge, practice, identity and behaviour and how they are affected by systems of regulation, leadership and organisation. He has led Economic and Social Research Council, General Medical Council, National Institute for Health Research and General Osteopathic Council funded research projects and published in leading international social science and management journals. Before becoming an academic, Gerry worked for Price Waterhouse, technology analysts Ovum and a small HR consultancy. He then held academic roles at University of Warwick, Royal Holloway, University of London and King's College London before joining Warwick Business School. Gerry has a PhD in Organisational Behaviour from Imperial College Business School.

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