

## Challenges in the Establishment of a New Faculty: Experiences of the Founding Deans and Faculty Members

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### Abstract

*Problem Statement:* Academic deans play a critical role connecting academic and administrative operations and structures within their respective Faculties and universities. There is a wide array of research about deans, what they do, their leadership skills, challenges, and experiences. However, the research is quite limited in terms of the processes of establishing a faculty from scratch and how people experience this whole establishment process. In the light of the fact that there are a growing number of new universities emerging in Turkey, research to understand effective practices by academic deans to recruit and support new faculty is critical.

*Purpose of the Study:* This study aims at describing the establishment process of university faculties as experienced by the founding deans and faculty members focusing on the challenging and facilitating factors they faced and how these factors are managed.

*Methods:* Qualitative method and case study technique were used. The case is a foundation university that established 3 new faculties in the year 2012. The deans of each faculty and all of the faculty members (n=8) who took part during the establishment process were interviewed as part of the data collection. The data were then analyzed with content analysis technique.

*Findings and Results:* The common themes that emerged out of deans' and faculty members' interviews are vision, challenges, facilitators, managing challenges, and advice for founding teams. The most important challenge is the Council of Higher Education's stringent regulations during the

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approval process. University's supportive mechanisms, team spirit among the academic staff, and participatory leadership style of the dean are the highlighted facilitators during the establishment of a new faculty.

*Conclusions and Recommendations:* The bureaucratic procedures and regulations of Higher Education Council should be restructured. As deans are expected to possess certain personal, academic and professional skills, programs like higher education management and leadership should be started and prospective deans should be encouraged to attend to such programs.

*Keywords:* faculty establishment, deanship, challenges of establishing a faculty, higher education

Higher education is a growing sector in Turkey. There are 103 public and 65 foundation universities, 74 of which were established between 2007 and 2012. In 2011, the population aged 15-19, who are the candidates to enter a higher education institution in 1 to 4 years, is 6.317.583 (TUIK, 2012). In 2011-2012 academic year, 800.388 students enrolled to a tertiary degree program (ÖSYM, 2012). At the moment, the government is planning new legal structuring for higher education that includes opening for-profit private universities to meet the growing need.

The Board of Ministers decrees the establishment of universities and faculties in Turkey. The fully autonomous supreme corporate public body, Higher Education Council (HEC) is responsible for the planning, coordination, governance and supervision of higher education institutions within the provisions set forth in the Constitution and the Higher Education Law (YOK, 2012).

To establish a new faculty (also named as a College, or a School in various higher education systems around the world), approval of the Higher Education Council is required for a variety of decisions including the programs to be offered, the appointment of the deans, the number of students to be enrolled for each program, the number of students to be offered scholarships, and the credit hours including any field practice (YOK, 1981). Included is the guideline that the university should hire at least 3 faculty members with the minimum academic title of assistant professorship for each undergraduate program to apply for the establishment of a program. In addition, an application file should be prepared by following the guidelines of HEC, explaining the rationale of the program, the descriptions of the courses and credit hours, expected number of students, faculty members to be appointed with their curriculum vitae, and the infrastructure of the university for such a program in terms of IT, laboratory and library facilities. As can be seen, the start of a Faculty is not in the total control of the university, but directed with the regulations of a higher authority.

This article presents the findings of a qualitative study conducted with 3 founding faculty deans and 8 faculty members in one new university. The interpretation of the qualitative data describes the experiences and stories of the

deans and the faculty members through themes of challenges, facilitators, and managing the challenges during the establishment process. This study is expected to provide unique lived experiences of one university that could provide insights for academic administrators as well as faculty members when dealing with the challenges in the establishment process of a new faculty.

#### *Academic Leadership*

Aligned with the presidency, academic deans play a critical role connecting academic and administrative operations and structures (Braxton, 2010; Erçetin & Baskan, 2000; Hacifazlıoğlu, 2010a, 2010b; Kerr and Gade, 1986; Ryan, 1980; Wolverton, Wolverton, & Gmelch, 1999; Wolverton & Gmelch, 2002). As Wolverton, et al (1999, p. 80) assert, deans “provide the delicate but crucial backbone of university decision making. On the one hand, they serve as extensions of the presidency; on the other, they are regarded by many as extensions of faculty”. Ryan (1980) expresses this role as heading professional bureaucracies (colleges) within professional bureaucracies (universities).

Roaden (1970) identifies 3 categories of functions for college deans: (1) giving academic leadership, (2) managing the control activities that have been delegated to him, and (3) functioning as a member of a university policy-making body. Lee and Hoyal (2002) suggest the fiscal expertise, management skills, diplomatic and interpersonal skills are the most critical skills required by the deans. The successful dean must possess personal qualities such as openness and objectivity, ability to administer a complex program, excellent human relation skills, and high professional competence (Crow, 2010; Roach, 1976, cited in Lee & Hoyal, 2002, p. 639; Middlehurst, 1992). Among many attributes of a founding dean, Hamad (1999) highlights being a believer in teamwork, establishing effective interpersonal relationships, delegating authority, giving responsibility, involving community, having patience, being principled, and having a vision.

While being a bridge between the faculty and the higher management level, deans face multiple challenges at multiple levels, specifically the legislatures and the corporate sector as external forces and administrative, student and faculty groups as internal pressure. The ASHE-ERIC Report (2001) offers some strategies that deans can use against these challenges: creating a learning environment, building trust, establishing a listening environment, sensing anxiety, generating and supporting ideas and possibilities, encouraging new ways of thinking and learning, knowing the legal environment, strategically managing and securing financial resources, and nurturing the integrity of the College.

There is a wide array of research about deans, what they do, their leadership skills, their challenges, and experiences. However, the research is quite limited in terms of the processes of establishing a faculty from scratch and how people experience this process. In Turkish context, investigating the experiences of faculty deans in newly established faculties requires more analysis as the number of new universities and faculties increase. Therefore, research is needed on establishing new higher education institutions and initial phases of organization building. This study

aims at describing the establishment process of university faculties as experienced by the founding deans and faculty members at one university focusing on the challenges and facilitators faced during this process and how they are managed.

## **Method**

### *Research Design*

Since the aim is to understand and describe the experiences of the founding leaders and faculty members of a new faculty, a case study is used as the main research approach. In general, case studies are the preferred strategy when “how” or “why” questions are being posed, when the investigator has little control over events, and when the focus is on a contemporary phenomenon within some real-life context (Yin, 2003, p. 1).

At the beginning, a conceptual framework was prepared by the researcher (Figure 1). A conceptual framework “explains, either graphically or in narrative form, the main things to be studied – the key factors, constructs or variables – and the presumed relationships among them” (Miles & Huberman, 1994, p. 18).

The case is a foundation university established in 1998 that has 9 faculties, 3 of which were established in 2012. Foundation universities are non-profit private universities that act under the same law of Higher Education described in the Introduction. This particular case was selected as it had 3 new faculties recently established during the same period of time and the researcher was a member of this university that made it easy to reach all of the faculty members who took role during the establishment of their faculties. The total of 3 founding deans and 8 founding faculty members who took part in the establishment process were the participants of this study.

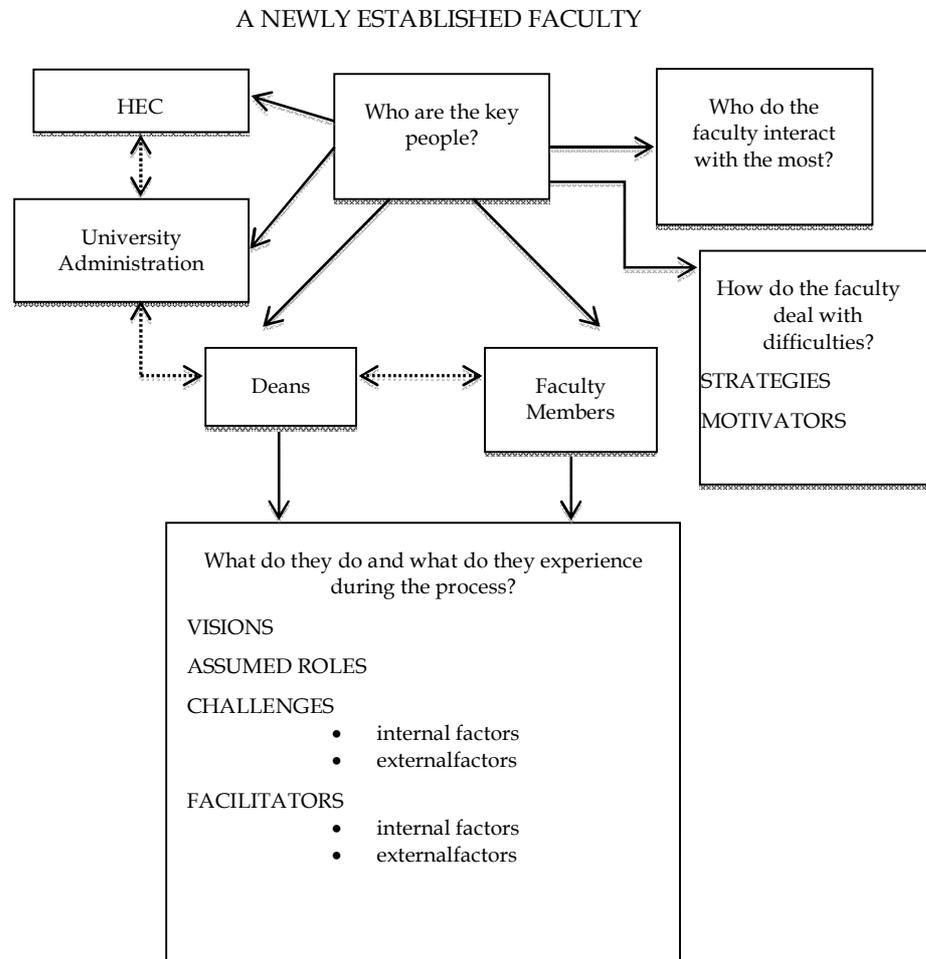


Figure 1. Conceptual framework

#### Study Group

In this case study, the establishment process of three newly established faculties, namely Faculty of Medicine, Faculty of Educational Sciences, and Faculty of Health Sciences were studied. The deans and all of the faculty members at the time of the establishment (2 from Faculties of Medicine and Health Sciences and 4 from Faculty of Educational Sciences), a total of 11 people were included in the data collection process. The Faculty of Medicine will start student enrollments in 2013-2014 academic year and the other two enrolled their first group of students in 2012-2013 academic year.

#### Research Instruments

To collect data, the founding deans and faculty members of these 3 faculties were interviewed. Semi-structured interview guides were prepared separately for the

deans and faculty members. An expert opinion was received for the first version of the guides and the final version was prepared after discussing with the expert. The interviews were voice recorded except for one interview, where the participant did not consent.

#### *Validity and Reliability*

Maxwell (2005, p. 108) highlights two broad types of threats to validity that are often raised in relation to qualitative studies: researcher bias and the effect of the researcher on the individuals studied. The researcher bias occurs when the researcher selects data that fit the researcher's existing theory or preconceptions and selects data that stand out to the researcher (Miles & Huberman, 1994). For the second validity threat, Maxwell (2005) suggests that eliminating the actual influence of the researcher is impossible and the goal in a qualitative study is not to eliminate this influence, but to understand it and to use it productively.

Reliability refers to the degree of consistency with which instances are assigned to the same category by different observers or by the same observer on different occasions (Silverman, 2000, p. 188). Reliability is strengthened by using detailed transcripts and inter-coder agreement.

To overcome the validity and reliability threats, "rich data" (Maxwell, 2005) were collected by transcribing the interviews verbatim to provide a full and revealing picture of what is going on. The researcher structured the interview by introducing the purpose, outlining the procedure, summarizing what she learnt from the interview and inquired if the interviewee had any questions. Finally, the researcher repeated her interpretation of what she heard to get confirmation or disconfirmation from the interviewees. After the researcher completed the analysis of a number of interview transcriptions, an expert opinion was received about the general themes and subthemes created. Then the researcher asked another expert to create codes for one of the transcriptions and the two sets of codes were compared. Miles and Huberman's (1994) inter-coder reliability formula was used by dividing the sum of the total number of agreements and disagreements to the total number of agreements and then multiplying the result by 100. Miles and Huberman (1994, p. 64) suggest the coder reliability percentage as .90 and above. The inter-coder reliability of the study was calculated to be %93,33 ( $P = 28 / (28+2) \times 100$ ), which is an acceptable rate for inter-coder reliability. The researcher paused coding for one month and started coding again to see if different codes would be formed on the same data after a certain period of time.

#### *Procedure*

The participants were interviewed upon availability during the months of July and August in 2012. Each participant was interviewed in his or her own office, with the presence of only the two. As soon as an interview was over, a contact summary sheet with some focusing or summarizing questions about each participant's interview was filled in as suggested by Miles and Huberman (1994). At the end of each day that an interview was held, the researcher transcribed the recordings of that day.

*Data Analyses*

The researcher used content analysis technique to analyze the interview data. The main purpose of content analysis is to reach the concepts and relations, which will explain the data collected. Content analysis involves conceptualizing the data, then organizing them according to those concepts and determining the themes. In other words, concepts will drive the researcher to the themes and with the help of those themes, the issues will be more accurate and manageable (Yıldırım & Şimşek, 1999). Themes as general concepts, subthemes as concepts directly related with the themes and codes as specific key issues related with those themes and subthemes were created. As the number of interviews was small, instead of a software package, Microsoft Excel was preferred to enter the coding.

**Results**

Findings of the study are revealed from the perspectives of the deans and the faculty members. Themes determined as a result of the analysis are displayed below (Table 1). These themes are explored and extended by incorporating the selected excerpts taken from the interviews with the deans and the faculty members.

**Table 1***Themes*

<b>Deans</b>	<b>Faculty Members</b>
Reason of establishment	Vision
Vision	Duties undertaken
Qualities of a dean	Decisions during the process
Challenges	Challenges
Facilitators	Facilitators
Dealing with challenges	Dealing with challenges
Advice for founding deans	Advice for founding teams

*Deans*

DoM, DoE, and DoH will be used respectively for the Dean of Medicine, Dean of Educational Sciences, and Dean of Health Sciences in this part of the discussion. The first theme that emerged from the Deans interviews is the Reason of Establishment. All of the deans support the establishment of their faculties because of the need of their sectors and the employment possibilities for their graduates. The DoM highlighted that the changes in the health policies and increase in the privatization require more collaborative programs between hospitals and medical schools. DoE focused on the changes in teacher education around the world and the need for Turkey to consider a new perspective in this field. They are both aware of the reforms and innovations in their fields and think that it is easier to start innovative programs needed in their fields at foundation universities because of their reformist, visionary, and innovative natures. The acting dean of the School of Education expressed this idea by mentioning his long experience at a state university:

*The university has to be open for such ideas. I worked at a state university for 17 years and it would be almost impossible to create this reformist structure at a state university.*

Vision is another theme from the Deans' interviews (Table 2). Both the DoM and DoE created the vision for their faculties at the very beginning by involving both internal and external stakeholders. The DoH differed in this respect leaving the vision to be formed after hiring all of the faculty members. Although the DoH has a personal vision for the faculty, she believes it is best to write it up by involving the faculty members after the faculty starts. The DoM and DoE organized some events like conferences to get the ideas of other Deans and academicians in their fields from Turkey and abroad, held meetings with the President and the Chairman of the Board of Trustees regularly, and met with their faculty members regularly to share ideas and collectively form the vision with their faculties. The DoE also included the school administrators, who work for k-12 schools established by the foundation of the same university. The DoM and DoE focused on the influence of the existing culture of the university that is innovative and excellence-oriented. They also mentioned that the vision needs time to ripen and evolve with the changing conditions, as put forward by the DoE:

*Vision has evolved during the process. At the beginning, we knew there was a need for a different system of educating teachers. This was obvious. Our colleagues have contributed a lot both technically and conceptually and our concept has become riper in time.*

The DoM pointed out the personal repertoire of life experiences and philosophy to be one of the most important elements while forming the vision. He said that everyone, from his elementary school teacher to high school philosophy teacher, and all of his previous patients are all involved in this vision formation process.

**Table 2**  
*Theme: Vision*

Subthemes	Codes	M	E	H
Not Determined Yet	To be determined with the academic team			x
Shared Vision	Participation of shareholders	x	x	
Evolving Vision	Dynamically evolving	x	x	
	Changing with conditions	x	x	
Dean's Vision	Personal experience and philosophy	x	x	x
	Influence of the University's Culture	x	x	

M: Dean of School of Medicine, E: Dean of School of Educational Sciences, H: Dean of School of Health Sciences

The qualities of a dean emerged as another theme (Table 3). Many personal, academic and managerial capabilities are listed as codes related with this theme. As a code, selecting the right faculty emerged in both DoM's and DoH's interviews. The DoM explained this further as follows:

*It is not always sufficient to be a very good academician. That is why I recruit teams instead of individuals. One can be an excellent academician but cannot produce good revenue; one can be a very good clinician. It is difficult for one person to have all these qualities; but it is possible for teams to bring such people with different qualities together for one common purpose.*

**Table 3**

*Theme: Qualities of a Dean*

Subthemes	Codes	M	E	H
Personal Qualities		x	x	x
	Faith		x	
	Being courageous		x	
	Self-criticism		x	
	Self-esteem			x
	Good observer	x		
	Self development	x		
	Life experience	x		
	Mind to Heart	x		
Academic Qualities		x	x	x
Managerial Qualities		x	x	x
	Awareness of adding economical value	x		
	Establishing Good Teams	x		
	Communication		x	
	Visionary		x	
	Ability to create culture		x	
	Experience			x
	Selecting the right faculty	x		x
	Shortcomings	Adaptation to the private sector	x	

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When asked for the facilitating factors during the establishment process of their faculties (shown in Table 4), all of the deans mentioned the culture of the university as one of the most important facilitators with differing qualities of the culture, except for the supportive mechanisms shared by all 3. These mechanisms are mostly the organizational structure and decreased bureaucracy and paper work between the administrative units. As DoH expressed, *“the university has a settled culture and systematic structure. In-house support was facilitating and accelerating the process”*. A university culture that shares the excitement and makes people feel cared for were important facilitators for the deans and as described by the DoE, these qualities helped the faculty to devote themselves and work more collaboratively. Taking the views of the experienced academicians in the field during the creation of vision and curricula was mentioned to be another important facilitator by all of the deans.

**Table 4***Theme: Facilitators*

Subthemes	Codes	M	E	H
University's Culture		x	x	x
	Sharing the excitement	x		
	Supportive mechanisms	x	x	x
	Chairman of the Trust		x	
	Caring		x	x
Support of the Faculty	Devotion	x	x	
	Collegiality		x	
Management Style	Participatory		x	
	Human relations		x	
External Stakeholders	Expert academicians' views	x	x	x

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Deans experienced some difficulties and uncertainties, which are presented under the theme Challenges (Table 5). Both the DoM and DoE mentioned the limiting HEC regulations as external difficulties. The DoE grumbled that *“these limiting regulations impede with your creativity. This kills creativity and results in only having structures that look alike with each other”*. Some issues related with faculty members also arose under this theme. The DoM thought that the field of medicine being conservative in nature had an influence on the faculty members. He also added that the constantly changing health policies at the expense of the doctors made people in this profession timid. This timidity makes it difficult for the Dean to recruit good doctors because it is hard to gain their trust.

**Table 5***Theme: Challenges*

Subthemes	Codes	M	E	H
Difficulties Related with Faculty Members	Timidity due to health policies	x		x
	Being conservative	x		
	Recruitment	x	x	x
	Shortage in the sector			x
Difficulties Caused by HEC	Inhibiting and limiting regulations	x	x	
	Impeding with creativity		x	
	Over centralization		x	
Bureaucratic Uncertainties	HEC Regulations for affiliations	x	x	
	Student Placement System		x	
	Privatization in Education sector	x		

M: Dean of School of Medicine, E: Dean of School of Educational Sciences, H: Dean of School of Health Sciences

The DoE mentioned the centralized student placement system, recruitment of faculty members, and changing HEC regulations and requirements to be the uncertainties before the dean. Due to the student placement system, faculties do not know who their students will be and do not have any control over selecting them. As the state universities offer tenure positions, it is difficult to attract quality academicians, because foundation universities do not offer tenure positions and sign yearly contracts. The constant changes in the HEC requirements about opening departments and programs are also another factor of uncertainty. *“You need to follow regularly all controlling systems, regulations, and legislations and reflect them into the programs. If what you are preparing here is not compatible with the structure there, the process is hindered. There is this constant pressure on you in this respect”*. Such bureaucratic uncertainties are experienced by the DoM, too, in terms of vague HEC regulations for hospital and university affiliations.

Deans use a variety of strategies to deal with these challenges. Two subthemes that emerged are time and management skills. Both the DoM and DoE used time to manage some of the challenges. They believe in the healing effect of time and especially put forward by DoM, *“time enables the issues to pass from the mind phase to the heart phase”*. This is best expressed by the following excerpt taken from DoM: *“Time has a healing effect. Sometimes, patience means time to solve the problems on its own. Therefore, it is useful to deal with some of the problems not when they are too hot, but after they cool down a bit”*.

As for management skills, DoM found direct communication with bureaucrats to influence them when developing policies as an important strategy to deal with bureaucratic challenges. DoE, on the other hand, offers conformity, *“if you cannot manage it, you have to conform. You need to accept it as a circumstance and think about what you can put on it”*. Conformity is followed by developing new perspectives, not imprisoning one’s self within the circumstances. As expressed by DoE further, *“Then, if we find a brilliant idea, we can catch a potential for change, open a new way, and start a new process”*. DoH used her planning skills effectively to deal with challenges. All of the deans focused on ability of establishing good teams as one of the management skills they used against challenges. DoM and DoE favored participatory style of management. Developing policies for recruitment is another management skill used by all of the deans. Headhunting, offering attractive work conditions, and recruiting doctorate students to be educated as future faculty members are examples provided for recruitment policies.

Deans also offered several ideas for advice for founding deans. The common advice is following the regulations closely and regularly. DoH and DoE offer hiring an experienced administrative staff to ease that process. DoE also suggests involving the chairman of the board of trustees to the establishment process, especially when forming the vision, because *“people who contribute financially should be with you during this process”*. Opening programs to meet the need in the sector is an advice of the DoH.

#### *Faculty Members*

In this part, abbreviations FoM, FoE, FoH, and FM will be used for the faculties of Medicine (n=2), Education (n=4), Health Sciences (n=2), and individual faculty member respectively.

The results for the theme of vision are similar with the deans’ results. Some faculty members (n=4) see the value of personal and professional experiences when creating the vision for their faculties. As expressed by one of the FM of FoM, *“this is a mounted, brewed idea. This is the continuation of our dreams we have been longing for”*. That the FM used the same term ‘brew’ with the Dean for the creation of vision is interesting and shows the group harmony and team spirit. All of the FMs of FoM and FoE are satisfied with the creation process of their vision because they were all participated together with external shareholders. Two FMs from FoE mentioned the influence of the founder (the chairman of the board of trustees), similar to the Dean. The FMs of FoH were not involved during the vision creation process, as also expressed by their Deans.

FMs assumed a variety of duties and roles during the establishment process. Except for three (one from each faculty), the other FMs were given the duty of preparing the official application files for HEC. The FMs of FoM and FoE undertook the duty of recruitment of new FMs, including preparing the criteria for application, preparing the exams, scoring them, and interviewing with the candidates. Besides these bureaucratic works, they took duties of working on the new educational models for their faculties, including the preparation of the curricula and writing the descriptions for field work at the hospitals and schools that will be affiliated with. They also brainstormed ideas about how to promote these models for public relations and marketing purposes.

FMs mentioned several types of decisions taken during the establishment process, mainly under two subthemes of administrative and program related. The administrative decisions were mainly who to recruit, assigning positions to the recruited FMs, physical conditions required by the programs, and balancing HEC regulations and affiliated hospital targets with the program and university targets. As expressed by one FM of FoM, "the HEC draws you a frame with its rules, there are also targets that the faculty wants to achieve. These two may not coincide with each other all the time. So, we are trying to find the overlapping sets". Almost all of the FMs (except for FoH, who were not involved during these processes) thought that their leaders had participatory decision making styles when making decisions. The program related decisions were those related with the implementation of the new educational models, departments to be established and the distinctions of the programs to compete with other universities.

FMs thought that the participatory management style of the deans was one of the facilitators during the establishment process, together with teamwork and university's organizational structure (Table 6). One FM expressed that the participatory management style of the dean increased the feeling of ownership. Having a small, dynamic group that has positive communication is another factor that facilitated the whole process for the FMs. Devotion and hard work are highlighted by FoE, especially during the bureaucratic requirements. Having an experienced faculty secretary and the orderly mechanisms within the university that eliminates bureaucracy are factors expressed by FoH.

**Table 6**

*Theme: Facilitators*

Subthemes	Codes	M	E	H
Teamwork	Faith of the team	1	2	
	Working for a long time	1		
	Team work	1	4	
	Positive group dynamics and communication	2	2	
	Devotion and hard work		3	
	Small, dynamic group		2	
Dean's management style	Participatory, open, good listener	2	3	
University's organizational structure	Experienced faculty secretary			1
	Orderly mechanism			1
	Almost no bureaucracy			1

M: Faculty Members of School of Medicine, E: Faculty Members of School of Educational Sciences, H: Faculty Members of School of Health Sciences

Besides these facilitators, the FMs experienced many challenges, as shown in Table 7. First of all, the factors related with HEC are felt as the major difficulty by

FoH and FoE. HEC as an approval mechanism for the programs to be opened, FMs to be appointed, credit hours and field experience, and student selection are considered to be great inhibitors during the establishment process. Waiting for whether HEC would approve the programs and appointments (n=5) was an uncertainty experienced by all faculties. This was disturbing for them because as they were not sure whether or not the programs would be approved and HEC would grant student quotas which determine how many faculty members to be recruited and how to organize the classes; *"We want to cut the coat according to cloth"*, as one FM mentioned.

**Table 7***Theme: Challenges*

Subthemes	Codes	M	E	H
HEC	Approval mechanism	2	3	
	Impeding with creativity and innovation		2	
	No personal contact		2	
Ministry of Health Regulations	Changing constantly	1		
Faculty's Organizational Structure	Unclear structure and role assignments		1	
	Unequal distribution of responsibilities		3	
CultureClash	Hospital and the university	1		1
Dean's other duties	Surgeon/ Actingdean	2	3	
Doing something new	No examplebeforeyou	1		
No inhibitors				1
Personal	Learning HEC regulations			1
	Learning Foundation University regulations	1		
	Teaching and other duties at the same time		3	

M: Faculty Members of School of Medicine, E: Faculty Members of School of Educational Sciences, H: Faculty Members of School of Health Sciences

FMs feel the same way as the deans in that the detailed regulations and approval mechanism of HEC impede with creativity and innovation. One FM stated that instead of HEC to be an approval mechanism before them, they would prefer it to be a supportive and guiding mechanism. As expressed by a FM (FoE), *"we had to change the format of other programs because an innovative one we had proposed was rejected"*. This approval mechanism is also believed to prolong the whole process.

Problems with the faculty's organizational structure are challenges experienced by the majority of the FoE. Unclear structure and role assignments caused

communication problems. Having an acting dean, who held another managerial position at the university, caused communication problems to increase, as deanship was not his only responsibility. Unequal distribution of responsibilities among the team members also caused uneasiness from time to time especially when they had other teaching duties that increased their workload. Dean's having another role is experienced as a difficulty by FoM, too, because the dean had surgeries going on thus occasionally keeping him away from the faculty.

FMs observed some strategies used by their deans to manage these challenges. They found having supportive teams with good communication (n=4) as one of the ways of managing difficulties and uncertainties. Having a leader who is able to take executive decisions quickly and find creative solutions to problems help managing the difficulties (n=2). University's operational support (n=2), meaning helpful personnel and less bureaucratic steps, was another way of managing the difficulties. Being patient and leaving the uncertainties to time (n=1) and learning the regulations (n=2) are similar strategies mentioned by the deans as management skills. One FM expressed this as: *"It takes time to make uncertainties totally clear. You need some patience for that"*.

What motivated FMs during this establishment process was mostly related with self-actualization needs. They enjoyed being involved in an innovative, exciting, and new process. As expressed by one FM, *"Knowing that I will be implementing something different as a model excites me so much that I lose my sleep. It excites me doing the firsts in my field in my country"*. Gaining new experience and realizing their dreams were other codes under this subtheme of self-actualization. Administrative support was an external motivator for FMs, which means being listened to and valued.

As the last theme, faculty members offered some pieces of advice for other founding teams of faculties. Some of them were personal advice like preparing oneself for work load, sharing and communication, and working at an experienced institution; others were more administrative advice like working closely with the higher management, clear delegation and role descriptions, establishing a good team and clear communication channels, opening programs that meet the sector's needs, and allocating more time for the process.

### Discussion and Conclusion

Machiavelli argued that "there is nothing more difficult to take in hand, more perilous to conduct, or more uncertain in its success, than to take the lead in the introduction of a new order of things" (McDougal, 2010, p. 345). Starting a new faculty requires not only a bureaucratic process of filing, but also various managerial processes and skills. The results of this case study show that starting programs that would meet the needs of the sector and would offer employment possibilities to graduates is an initially crucial decision that would be taken at the level of the President or the Board of Trustees. Two deans started the vision creation process right after this decision by involving all possible internal and external shareholders. The dean of the Faculty of the Health Sciences preferred to postpone this step to the

hiring of all faculty members. This is a decision taken at the dean's level of management. However, it is observed that in the other 2 faculties, creating the vision at the beginning with a participatory approach and letting the vision evolve in time with personal and professional experiences of the members helped the teams to create influential visions like becoming exemplary institutions in their fields that would address solving the major problems in their sectors. Involving internal shareholders, especially the faculty members, led to ownership, devotion, excitement, and meeting the higher level needs like respect and self-actualization. Academics are mostly motivated by the intellectual challenge of making new contributions to knowledge and of communicating them to others (Bolton, 1996, p.491). Involving external shareholders helped the team to create programs that would meet the need of the sector.

Founding teams of faculty are also aware of the reality and competition in their sectors and want to use their creativity to prepare distinctive programs that will make a difference when meeting the needs of the sector. In this respect, the bureaucratic obstacles, mainly caused by the rules and regulations of HEC, impede the creativity of the faculty, slow the process down, and increase the workload. The limiting approval mechanisms of HEC were suggested to be the most important difficulty during the establishment process. The role of HEC should be restructured for the establishment of the faculties and the programs. The limiting regulations like the number and title of the faculty members, the number of credit hours, certain courses that need to be offered, the way that field work is organized especially for the schools of education, and the way that hospitals can be affiliated with the medical schools should be reconsidered and changed. Higher Education Council started to discuss the Higher Education Law in March 2011 and has been showing a participative approach in redesigning this law. Therefore, further studies should be conducted with administrators to investigate the rationale behind these bureaucratic decisions, challenges experienced as a result of centralized decisions and models, and alternative governance models for higher education systems and more flexible bureaucratic structures could be added to the new Higher Education Law.

The facilitators during the establishment process are having a devoted team with good human relations, open communication channels within the university, and the university's supportive culture. All of the faculties, both the deans and the faculty members, mentioned the supportive mechanisms of the university as one of the most important facilitators. Academic administrators should be provided with opportunities to share their experiences. Universities and related programs (like higher education administration and leadership) could provide platforms in which lived experiences could be challenged in a way to create a learning culture among the academic administrators of the universities. These informal gatherings could also be used as a topic for future studies.

The qualities of the dean are one of the most important factors that could facilitate this whole process. It is advised, as supported by Roaden (1970), that a searching committee is established to find the 'right' dean. The dean should be able to select the right people and create a good team with positive group dynamics, which is corroborated by the deans in this study. The dean should be aware of the

fact that he or she is creating the culture and values of the faculty that would leave a mark in its history. He or she should be principled, brave, creative, good listener, and patient. He should be able to use a participatory leadership style. This result is supported by Rice and Austin (1988, cited in Bassaw, 2010, p. 1003), too, who found that leaders of successful institutions consistently adopt a leadership style that was actively participatory in both individual style and organizational structure. All of these qualities of a dean match with the results of Yedida's study (1998, cited in Bassaw, 2010, p. 1003) that interviewed 22 former and current medical school deans. They mentioned patience with process, tolerance to ambiguity, ability to listen to a variety of complex issues at once, ability to be flexible and open to persuasion, and the ability to take pride in the accomplishment of others. The results of this study suggest similar qualities expected of the deans. As the results show that deans must have a variety of management skills, programs like higher education management and leadership should be started and prospective deans should be encouraged to participate to such programs. Besides the qualities of the dean, having a full time dean instead of an acting one is an important issue that should be considered by the presidents or the chairmen of the board of trustees. A full time dean without other duties would be able to concentrate more and fully on this responsibility.

In conclusion, when new faculties are established, the most important priorities of the founding deans are to be able to create a shared vision by involving both internal and external stakeholders, to establish strong teams with open communication channels, and to take into consideration what the sector needs when starting the academic programs. In highly centralized higher education systems, like in Turkey's, bureaucracy at the higher levels would stand out as an obstacle with loaded rules and regulations for the academic teams because it is difficult for academics to learn and keep up with the constantly changing rules and regulations and they can impede with the creativity process of the teams.

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## Yeni Fakültelerin Kurulma Sürecindeki Zorluklar: Kurucu Dekan ve Fakülte Üyelerinin Deneyimleri

### Atıf:

Vatanartıran, S. (2013). Challenges in the establishment of a new faculty: Experiences of the founding deans and faculty members. *Eğitim Araştırmaları-Eurasian Journal of Educational Research*, 52, 169-188.

### (Özet)

*Problem Durumu:* Tıpkı rektörler gibi, akademik dekanlar da fakültelerinin ve üniversitelerinin işleyişinde, akademik ve idari işleyişler ve yapılar arasında bir köprü görevi üstlenerek, önemli bir role sahiptirler. Dekanlar, görevleri, liderlik becerileri, karşılaştıkları zorluklar ve deneyimleri ile ilgili alan yazında çeşitli araştırmalar bulunmasına rağmen, tamamen yeni bir fakülte kurma süreci ve bu süreçte yer alan kişilerin deneyimlerine yönelik araştırmalar oldukça kısıtlıdır.

*Araştırmanın Amacı:* Bu araştırmayla, üniversitelerde fakültelerin kuruluş sürecinde, kurucu dekanlar ve fakülte üyeleri için süreci zorlaştıran ve kolaylaştıran faktörlere ve bunların nasıl yönetildiklerine odaklanarak kuruluş sürecindeki deneyimlerin betimlenmesi amaçlanmaktadır.

*Yöntem:* Bu araştırmada nitel yöntem ve durum çalışması kullanılmıştır. 2012 akademik yılında 3 yeni fakülte kuran bir vakıf üniversitesi seçilmiştir. Veri toplamak için, her fakültenin dekanı ve kuruluş sürecinde yer alan tüm fakülte üyeleri ile yarı yapılandırılmış görüşmeler yapılmıştır. Görüşmelerde toplanan veriler, içerik analizi ile analiz edilmiştir.

*Bulgular ve Sonuçlar:* Dekanlarla ve fakülte üyeleriyle yapılan görüşmelerden çıkan ortak temalar; 'vizyon', 'dekan', 'zorluklar', 'kolaylaştırıcılar', 'zorlukları yönetmek' ve 'kurucu ekiplere tavsiyeler' olarak belirlenmiştir. Yeni bir fakülte kuruluşu, sadece bürokratik süreçleri değil, çeşitli yönetsel süreç ve becerileri de içerir. Öncelikle, üst düzeyde verilmesi gereken politik bir karar, sektör ihtiyaçlarını karşılayacak ve mezunlara iş olanakları sunacak fakülte ve programlar açmaktır. Araştırmada hem dekanlar hem de fakülte üyeleri tarafından önemli görülen bu karar, rektörlük ve mütevelli heyet seviyesinde verilecek önemli bir karardır. Bu karardan sonra, özellikle vizyon belirleme sürecine çeşitli dış ve iç paydaşları dahil etmek önemli bir yönetsel karardır. Fakültelerden birisi, vizyonu kuruluş sürecinde belirlememiştir ve akademik kadronun tamamlanmasını beklemiştir. Diğer iki fakültenin dekanı ise kuruluş süreciyle birlikte pek çok dış ve iç paydaşı sürece dahil ederek, katılımcı liderlik tarzını benimseyerek, vizyonu ekip olarak belirlemişlerdir. Dış paydaşları dahil etmek, sektörün ihtiyaçlarının anlaşılması ve bu ihtiyaçları karşılayacak nitelikte rekabetçi ve ayırt edici programların geliştirilmesine olanak sağlamaktadır. Başta fakülte üyeleri olmak üzere iç paydaşların bu sürece aktif katılımı ve vizyonun zaman içerisinde kişilerin kişisel ve profesyonel deneyimleriyle evrilmesine olanak sağlamak, fakülteye ve üniversiteye aidiyet

duygusunu arttırdığı gibi, herkes tarafından paylaşılan etkili vizyonların oluşturulmasına yardımcı olmaktadır. Kurum içi paydaşları bu sürece dahil etmek, kişilerin aidiyet duygularını geliştirmekte, sürece kendileri daha fazla adanmalarına ve saygı ve kendini gerçekleştirme gibi ihtiyaçlarının karşılanmasına yardımcı olmaktadır. Katılımcı süreçlerle vizyonun belirlendiği iki fakültede, fakülte üyelerinin örgütsel aidiyet, hedeflere sahip çıkma, heyecan ve adanmışlık duygularının daha yüksek olduğu görülmektedir. Bu araştırmada, fakülte kuruluşunda kişilerin yaşadığı en önemli zorluğun, Yükseköğretim Kurulu yönetmeliklerinin kısıtlayıcı ve bir onay mekanizması olarak yapılandırılması olduğu belirtilmiştir. Kurucu ekipler, sektörlerindeki rekabet gerçekliğinin farkındalılar ve sektörün ihtiyaçlarını giderme noktasında yaratıcılıklarını kullanarak yenilikçi ve ayırt edici programlar geliştirmek istemektedirler. Bu anlamda, Yükseköğretim Kurulu'nun yönetmeliklerinin oluşturduğu bürokratik engellerin, kişilerin yaratıcılığını kitlediği, sürecin hızını yavaşlattığını ve kişilerin iş yükünü arttırdığı düşünülmektedir. Fakülte üyelerinin sayısı ve unvanı, kredi saatleri, özellikle Eğitim Fakültesi'nin dersleri ve okul uygulamaları, Tıp Fakültesi'nin hastane işbirliği esasları gibi konularda YÖK'ün karar verici rolünün yeniden değerlendirilmesi gerektiği ifade edilmiştir. Araştırmada ayrıca, katılımcılar tarafından kuruluş sürecinde bir dekanın sahip olması gereken kişisel, akademik ve mesleki beceriler sıralanmıştır. Katılımcı liderlik tarzı, güçlü iletişim becerileri, yaratıcılık ve hızlı problem çözme gibi beceriler kuruluş sürecinde önemli görülmüştür. Üniversitenin destekleyici bürokratik mekanizmaları ve kültürü, çalışanlar arasındaki ekip ruhu ve dekanın katılımcı liderlik tarzı, yeni fakültelerin kuruluş sürecindeki kolaylaştırıcı faktörler olarak öne çıkarılmıştır.

*Öneriler:* Yükseköğretim Kurulu'nun fakülte ve bölüm kuruluşları ile ilgili bürokratik süreçleri ve yönetmelikleri yeniden yapılandırılmalıdır. Fakülteye yenilikçi programlar tasarlamalarının yolunu açacak daha esnek ve onay ve/veya karar mercii yerine destekleyici mercii olmasını sağlayacak yapılanma modelleri geliştirilmelidir. YÖK'ün Mart 2011'den beri başlattığı yükseköğretimin yeniden yapılandırmasına dair çalışmaların içine, fakültelerin kuruluş süreçlerindeki deneyimler de göz önünde bulundurularak, dahil edilmelidir. Dekanların akademik niteliklerinin yanı sıra, yönetsel becerilerinin de önemli olmasından dolayı, yükseköğretim yönetimi gibi alanlarda eğitim programları geliştirilmeli ve yönetici adaylarının bu programlara katılımları desteklenmelidir.

*Anahtar kelimeler:* fakülte kuruluşu, dekanlık, fakülte kurmanın zorlukları, yükseköğretim