9TH EDITION

Workshop Developed by

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Dean, University of Wisconsin-Milwaukee

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New Administrators' Handbook

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New Administrators' Handbook

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Excerpts have been introduced into this workbook from many sources and
contributors. Among the sources that have been utilized are:
> **Chronicle of Higher Education**
> **The Teaching Professor**
> **The Law of Higher Education**
> **The National Association of College and University Attorneys**
> **Fund Raising Institute Monthly Portfolio Newsletter**
> **Fund Raising Management**
> **The Milwaukee Journal/Sentinel**
> **The New York Times**
> **The New Yorker**

This workbook is not intended for sale. It has been produced to assist with a
mentoring responsibility on behalf of the ACSA.

Association of Collegiate Schools of Architecture, 2010 Administrators Conference, Washington, DC

Contents

Demonstrating Value and Cultivating Dreams

Observations from the Edge

Lessons from Reflective Administration

Learning to Lead

The development of this handbook and the related workshop is
the product of the commitment of individuals who believe that
the art of deaning can be learned. It is the result of the belief
that those who have the benefit of years of experience have
the responsibility to share those lessons with a new generation
of administrators.

Introduction to the Workshop

Forward

Workshop History

ACSA Mission Statement

Workshop Agenda

"First of all, I want to
assure everyone that
I'm not contemplating
any major changes."

Forward

The Ninth Edition of the New Administrators' Workshop and accompanying Handbook is a returning session of the ACSA Administrators Conference.

Deans Bob Greenstreetof the University of Wisconsin – Milwaukee, Rodner Wright of Florida A&M University and Marvin Malecha of NC State University have joined together for this edition of the Workshop.

The agenda for the workshop follows an outline that has evolved over the past decade. Topics on the agenda include: Leadership and Citizenship in the Academic Community, Recognizing the Constituencies of Leadership, Demonstrating Value and Cultivating Dreams, Observations from the Edge, Lessons from Reflective Administration and Learning to Lead. The last session is intended to be an open discussion among workshop participants and experienced administrators joining the meeting.

The agenda of the Workshop, full of good information, is reflected in the New Administrators' Handbook. This Handbook reflects the contributions of an experienced and creative group of administrators who have come together to share valuable insights for a new administrator.

Just as a talented group of individuals have chosen to share insights and experiences with all attendees of the workshop it is hoped that the workshop participants will pass their experiences and the Handbook on to colleagues who might also benefit from its diverse perspectives.

Robert Greenstret, Dean, University of Wisconsin-Milwaukee
Marvin J. Malecha, FAIA, Dean, North Carolina State University
Rodner Wright, FAIA, Dean, Florida A&M University

Workshop History

In 1991, ACSA President Patrick Quinn asked Cornell University Dean Bill McMinn and Bob Greenstreet to arrange a one-day workshop for new architectural administrators at the 1992 ACSA Administrators' Conference in Santa Fe. It proved successful and was repeated by Bob Greenstreet and Marvin Malecha at the 1993 ACSA Administrators' Conference in San Antonio. Bob Greenstreet and Marvin Malecha have since repeated this workshop at ACSA Administrators conferences in Miami (1996), Washington (1998), San Francisco (2000), New York (2001), and San Diego (2002). Just as Geraldine Forbes Isais joined the workshop for the New York Meeting and brought a fresh approach and a new perspective to the effort, so too will the 2003 meeting in Hawai'l be open to new voices. While Bob Greenstreet will not be present for this session his many contributions will certainly be reflected in the program. For this workshop Bob Greenstreet and Marvin Malecha are joined by Rodner Wright and the ritual continues.

The motivation to devote an entire day for such a workshop is not surprising given that the number of new administrators in a given year could be as high as fifty to sixty individuals (A number derived by calculating an average length of service as 5 – 6 years, 2 –3 administrators in each school, and 130 schools). In many instances these new administrators are accepting their responsibilities with little or no training or knowledge of what is to come. Advice from even the likes of an existing group of deans may be all that is available.

The New Administrators' Handbook represents an attempt by ACSA to provide some guidance for incoming administrators based on the experience of those who have gone before. This handbook represents an effort to expand the information available to new ACSA administrators by bringing together past wisdom of as many senior colleagues as possible. It is a base of information stemming from the successes and failures of thse who have gone before.

It is the hope of all who have contributed to this Handbook that it will continue to grow over the years as future generations of administrators add helpful hints, cautionary tales, morality fables and other examples of excellence in leadership. Presently it contains far too much of the Greenstreet – Malecha materials of past workshops only demonstrating tendencies toward indefatigable preaching and memo writing. By bringing together the collected wisdom of administrators across the country the ACSA will be able to provide each new academic leader a resource of great value thereby fulfilling its mission to improve academic excellence through administrative leadership.

Robert Greenstreet
University of Wisconsin-Milwaukee

Marvin J. Malecha, FAIA
North Carolina State University

ACSA Mission Statement

Association of Collegiate Schools of Architecture

Mission Statement

To advance architectural education through support of member schools, their faculty and students. This support involves:

serving by encouraging dialogue among the diverse areas of the discipline and related disciplines;

facilitating teaching, research, scholarly and creative works, through intra/interdisciplinary activity;

articulating the critical issues forming the context of architectural education; and

fostering public awareness of architectural education and issues of importance.

This advancement shall be implemented through five primary means: advocacy, annual program activities, liaison with collateral organizations, dissemination of information, and response to the needs of the member schools in order to enhance the quality of life in a global society.

ACSA Administrators Conference
Washington, DC

New Administrators Workshop

Workshop Leaders
Dean Marvin Malecha
College of Design, North Carolina State University
Dean Robert Greenstreet
College of Architecture, University of Wisconsin-Milwaukee
Dean Rodner Wright
School of Architecture, Florida A&M University

10:30 AM   **Welcome**

10:45 AM – 12:30 PM   **Session One: Leading and Citizenship in the Academy**

The Concept of Leadership

Dealing with the Bosses

Legal Pitfalls and Balancing Budgets

10:45 AM – 12:30 PM   **Lunch**

1:00 – 2:00 PM   **Session Two: Recognizing the Campus Constituencies of Leadership**

The Faculty: Where the power is...

The Staff: Where the real power is...

The Students: Where the real action is...

2:00 – 3:00 PM   **Session Three: Development and Cultivation: Where the Dreams are...**

Friendship and Fundraising
Developing the plan
Telling the Story
Role Play
Making the Ask

Building an Alumni Network

ACSA Administrators Conference
Washington, DC

3:00 PM - 4:00 PM   **Session Four: Building Partnerships: Looking for Love in All the Right Places**

Working with the Profession

Working with the Community

Communicating and Getting Good Press

4:00 PM - 5:00 PM   **Observations from the Edge**

Back to Basics

A Fresh Perspective

Life after Administration

The secret of good leadership often lies in the art of communication. While few administrators seem to have much of a problem with talking, the virtues of listening are equally if not more important. Thinking, listening, body language, and even humor may be the most important aspect of the leadership of a particular individual in a specific leadership role.

Diversity is an essential aspect of leadership and citizenship. It is the most fundamental responsibility of an academic leader to foster and protect adiverse community of Scholars.

Leadership and Citizenship in the Academy

Leading and Leadership

Citizenship in the Academic Community

The Diversity Responsibility

Now that I'm here, we'll turn the program around 360 degrees.

Jason Kidd, Dallas Mavericks' No. 1 draft pick, talking about the team's prospects

Leading and Leadership

" I have defined my role as providing leadership to the members of the schools that the mission of the school can be accomplished. I see my major function as developing leadership in others. That is the way I have assessed myself.

...This function can only be done when leadership is democratic rather than autocratic and where those involved in carrying out the decisions are part of the decision-making process." *The Leadership Role of a Dean,* by Claire Fagin

Workshop Agenda:
The Concept of Leadership
Building a Team
The Dean Chair Relationship
Developing a Plan
Humor

Relevant Articles:
What is Leadership: Administrative Profiles
Bob Greenstreet
The Concept of Leadership
Marvin J. Malecha
Soaring with the Eagles or Flying with the Geese
Unknown
How Academic Leadership Works
Robert Birnbaum
What is Leadership: Administrative Profiles
Bob Greenstreet
Overcoming the Five Temptations
Patrick Lencroni
The Dean-Chair Relationship
Bob Greenstreet
Advanced Listening
Greenstreet Consulting
How to solve Disputes
The Los Angeles Times
The Early Strategic Plan
NC State University / Marvin J. Malecha
The Gift of the Box
Marvin J. Malecha
Humor is a serious Business
Bob Greenstreet

"She's not all over you, but she gets the job done."

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What is Leadership:
Administrative Profiles
Bob Greenstreet
Leadership is a phenomenon easier to recognize that to define

Review of Literature in the Field

A. Metaphors
- Whip, rudder and compass needle
- Lighting rod
- Weeding out educational Edsels
- Dove, dragon, diplomat
- A balance spring bringing all forces into harmonious action
- Planter of ideas

B. Statistical Profiles
- First Dean: Gurney at Harvard 1870
- Average Dean: White male 40-60 years old
- Median age 49
- 86% men, 93% white, 91% married (66% women deans married)
- 34% from faculty (86% scholar's background in Gould study)
- 29% were chairperson first (64% in Gould study)
- 23% acting first
- 62% nominated
- 92% have doctorates (finished at average age of 37)
- 64% still teach
- 45% still active in research
- 30% still publish
- Average 6 days consulting per year (earnings not exceeding $12,000)

C. Collective Insights
- Capable of effecting change without creating a revolution
- Makings a mark on the educational scene (national roving combined with local instutional presence)
- The dean is the president's academic conscience-active, disturbing and persuasive
- Experimentation and innovation, not erratic wandering
- Sharing in the development of consensus
- A catalyst of faculty opinion, not presenting a comprehensive view of the future
- The identification of problems, not solutions
- A faculty agent and representative, and a catalyst of the educational process
- Moving from extension of the residency to a middle management position
- Focus disparate elements of the organization's purpose; enlisting sufficient faculty and administrative support

D. Likely Activities
- Paperwork is the lowest responsibility – before 9:00 a.m.
- Regular contact with the students
- 40% of time spent on faculty matters
- 90% of the time solving problems, and 90% of the problems are people
- The average Dean serves on 7 committees and chairs 2
- Legislative contact specifically focused on budget
- Significant increase in reporting to governmental, state, system and administrative bodies
- Development of a climate for learning and research
- To shape educational policy and facilitate academic planning
- Setting budget reduction strategies

E.   Decanal Priorities
    * 90% leadership
    * 80% communication
    * 77% faculty relations
    * 74% decision making skills
    * 74% sensitivity to faculty issues
    * 67% human relations skills
    * 64% planning and legislative skills
    * 65% vision for education
    * 31% fundraising abilities
    * 42% scholarship

A dean shall be:
* Scholar, administrator, policy former, decision maker
* Self sacrificing servant to the faculty

A leading scholar and a leader of scholars with
Perceived priorities of: Budget
                          Personnel
                          Recruiting
                          Committees
Program viability: Institutional essentials
                          Societal need
                          Geographic, environmental and political factors
                          Demand
                          Quality
                          Cost-Timing

Decanal weaknesses:
* Not taking a stand	Rigidity
* Not evaluating faculty	Lack of planning
* No budget priorities	Irresponsibility
* Blaming upper administration	Bad management

The Concept of Leadership
Marvin Malecha

The responsibility for leadership in the academy is based on the ability of an individual to build a relationship of trust with a complex constituency. The deanship based on power is a model of the past. An individual with an aspiration to lead in the academy must be prepared to articulate a vision of the organization, open it to discourse, assimilate the opinions of others, and determine a specific course of action. The Dean must be prepared to be a teacher of faculty and staff regarding the issues before the school, to lead the discussion that follows, and to bring a spirit of consensus even while providing strong leadership. Deanship today functions within a demanding democracy. The faculty, staff and students of a school of design are a well informed and exceptionally creative citizenry. Not unlike the ancient Greek city-state every move of the leadership is read by the community for the implications on the freedom of the individual.

> The story of the Athenians in the time of Pericles suggests that the creation and survival of democracy requires leadership of a high order. When tested the Athenians behaved with the required devotion, wisdom, and moderation in large part because they had been inspired by the democratic vision and example that Pericles had so effectively communicated to them. It was a vision that exalted the individual within the political community: it limited the scope and power of the state, leaving enough space for individual freedom, privacy, and the human dignity of which they are a crucial part. It rejected the leveling principle pursued both the ancient Sparta and modern socialism which encouraged the individual achievement and excellence that makes life sweet and raises the quality of life from everyone. Above all, Pericles convinced the Athenians that their private needs, both moral and material, required the kind of community Athens had become. Therefore, they were willing to run risks in its defense, make sacrifices on its behalf, and restrain their passions and desires to preserve it.
>
> Donald Kagen, Pericles of Athens and the Birth of Democracy, The Triumph of Vision in Leadership. New York: Touchstone Publishers, 1991), p. 273

Lessons from experience in the academy are derived from the legacy of Pericles.

Deanship requires leadership of a high order:
The academic leader is expected to articulate a clear belief system founded on fairness and open to scrutiny. Everyone must know what the dean believes is important. This aspect of leadership is crucial since this will set the tone of an organization. People require a structure that will define either a matrix for action or a model against which alternate behavioral systems may be proposed. Ultimately, the dean is he individual responsible for nurturing creative activity in a school.

Deanship demands the ability to form a shared vision:
The development of a shared vision for the community is among the most important responsibilities of the academic leader. The creation of a community with shared interests rather than a disjointed collection of special interest is dependent on the ability of the individual who leads to communicate. A shared vision demands respect for the individual within the community. The dean must be a good communicator, but an even better listener. The act of listening begins the process of assimilation necessary for a shared vision.

Deanship requires rejoicing in the accomplishments of others:
Perhaps the most satisfying aspect of academic leadership is the opportunity to help create and celebrate the success of others. The leadership of academic programs is measured by the ability of the individual to attract the very best colleagues. Seeking and encouraging creativity is dependent on a willingness to reward and celebrate it when it is found. There is no greater dampening effect on a creative intellectual community that a leader who follows a self-promotional strategy.

Deanship requires attention to details:
Attention to detail cannot be left entirely to others. Certainly delegation of duties is a necessity in a successful deanship. However, this should not be carried so far as to disconnect the dean from the fundamental operations of the university and the school. Effective leadership is only possible through familiarity with details of operation. The management of budgets, the promotion-retention and tenure of faculty, the selection of students, the quality of facilities and equipment, and the stewardship of the external constituency of the program cannot be left entirely to others. Excellence is frequently determined by where

the individual touches the artifact. Excellence in leadership is similarly determined by the personal attention of the dean to details.

Deanship requires maintaining personal perspective:
While leadership frequently requires distance from other people in the organization, affected behavior diminishes the individual in the position. Leadership and friendship cannot be confused. It is important to distinguish between decisions made and the individuals who have formed a close relationship with the dean. Favoritism seriously undermines the fairness necessary to make difficult decisions. Leadership is founded on the accomplishments of the individual. Continuing professional development is crucial to maintaining perspective in the role of leadership in a professional school.

The trials of leadership are more than compensated by the opportunity to make a significant contribution in an important, professional and academic community. Leadership is a joyful opportunity to help people realize dreams.

Not long after my arrival at the NC State College of Design I was required to make a presentation to the Board of Trustees. Although I had only been on campus for approximately two months, the trustees expected a report on the activities of the college since my arrival. This assignment presented the opportunity to speak on the subject of aspirations. Approximately one month later Trustee Flora Grantham approached me at a University event with a small gift inspired by my presentation. She gave me a small kaleidoscope. She said it was an invaluable tool for a dean since by looking through it even the most common object could be turned into something wonderful. The point was wonderfully made that the ability to find special qualities in people, events and things, is among the most fundamental qualifications of an academic leader.

Soaring With The Eagles
Or
Flying With The Geese?

Some Lessons About
The Importance of Team

1. As each bird flaps its wings, it creates an "uplift" for the bird following. By flying in a "V" formation, the whole flock adds 71% more flying range than if each bird flew alone.

   Lesson: People who share a common direction and sense of community can get where they are going quicker and easier because they are traveling on the thrust of one another.

2. When ever a goose falls out of information, it suddenly feels the drag and resistance of flying alone and quickly gets back into formation to take advantage of the "lifting power" of the birds immediately in front.

   Lesson: If we have as much sense as a goose, we will go in formations with those who are headed where we want to go.

3. When the lead goose gets tired, it rotates back into information and another goose flies at the point position.

   Lesson: It pays to take turns doing the hard tasks and sharing leadership—with people, as with geese, interdependent with each other.

4. The geese in formation honk from behind to encourage those up front to keep up their speed.

   Lesson: We need to make sure our honking from behind is to encourage the others and not something less helpful.

5. When a goose gets sick, wounded or shot down, two geese drop out of formation and follow their fellow member down to help and provide protection. They stay with this member of the flock until it is able to fly again or dies. Then they launch out on their own with another formation or to catch up with their own flock.

   Lesson: If you have as much sense as the geese, you'll stand by each other through all the difficulties.

How Academic Leadership Works
Robert Birnbaum
Jossey Bass Publishers

The preparation of educational leaders is more than a matter of mind and theory. Robert Hutchins once remarked that the chief test of the administrator was more of character than of intellect. I am sure how sanguine we should be about the extent to which we can shape character at the graduate level. There are, however, empirical and philosophical bases supporting the power of ideals in leadership development and effectiveness. That ideals and values should be a topic of prominent discussion in exercises devoted to leadership development is not an issue. Exploring those ideals and values will constitute a primary engagement of this book.

In examining these topics, current books on leadership are certainly helpful. In addition to the volumes cited in the Preface, Kouzes and Posner's The Leadership Challenge (1987). Bolman and Dean's Reframing Organizations (1991). And Birnbaum's How Academic Leadership Works (1992) offer useful research background, philosophic reflection, and integration of ideas for leaders on the firing line.

While these volumes are worthy contributions to the field, there is still a need to capture the interaction of passion and principle, of ethics and effectiveness. Why do some college administrators not stand for anything? Why do we have a growing literature on leadership and still experience so many disappointing exhibitions of collegiate leadership going astray? As a friend holding an executive appointment in higher education recently queried me. "Why do smart people behave in dumb ways?"

Any collegiate leader can be placed in climate where conditions of content and context, of people and politics, of finance and fashion, can confine and confuse. Too often, however, college leaders are architects of their own demise. In disappointing displays of ignorance, irresponsibility, and insensitivity, they take themselves, their institutions, and their client in harm's way. The causes of performance ineffectiveness are many and will always be complicated combinations of person, position, and context. I believe however that many of these disappointing performance records may be traced to

- A flawed sense of role – a condition of empty vision
- A contempt for ideas – a condition of empty mind
- A neglect of constructive values – a condition of empty heart
- A retreat from servant ideals – a condition of empty spirit
- A violation of cultural norms – a condition of empty sensitivity
- A sacrifice of honor – a condition of empty character

A moderate consideration given to the design of leadership climates can help collegiate leaders void these performance pitfalls.

Strategies for the Development of Leaders

Little published research relates to the precise ways in which department chairs exhibit and perform leadership, but the available evidence suggests some guidelines. A study of the process of transformational leadership in two higher education institutions identifies five steps that such leaders use: creating a need for change, overcoming resistance to change, articulating a vision, generating commitment, and implementing the vision (Cameron and Ulrich 1986). Useful for virtually all chairs is the focus on assisting a department to develop a clear vision for its future. Such a vision needs to accommodate likely realities as well as aspirations and achievable goals. The vision often originates with the chair but needs to be crystallized through departmental discussion and debate. The vision should be expressed in terms indicating the faculty's ownership of and commitment to its achievement.

A second strategy of leadership that successful chairs have use is to ensure that effective databases are available to provide information necessary for informed decision-making, especially in relation to impending change (Creswell et al. 1990). Professional journals and associations, networks, the higher education press, employers of graduates, government papers and reports, the media, alumni, colleagues, and students are all potential sources of information that could be vital in articulating or refining a goal. Many of the notices and items that reach a chair's desk are of interest and relevance to all department faculty. Information passed along will provide faculty with a constant stream of material that can be used to enhance their own professional standing and to strengthen their commitment to the shared vision.

A third strategy of interest to chairs who want o lead their departments to positions of excellence is an understanding of the dynamics and politics of the institution. Chairs need to monitor and observe that broader stage on which the realities of departmental visions will be played out (Minter 1990). A chair who is constantly rebuffed at the dean's door will bind faculty support and enthusiasm beginning to wane, however splendid the vision. (The next section provides additional information on how a chair might gain skills in working through the system).

Networking and support gathering

Creating a support network simply means finding out who can help and how supporting relationships can be built. The fundamentals of the processes involved are interpersonal, and the chair deliberately sets out to gain support from others by playing on their ideas, emotions, and aspirations to gain their interest, confidence, and support (Kanter 1983). Such work involves bargaining, creating obligations, making alliances, manipulating expectancies, conferring prestige, and so on. The chair needs to focus energy on the individuals or groups involved using means such as luncheons, meetings, telephone calls, office visits, or social occasions as media hrough which ideas are sold, bargains struck, rewards promised, and support solicited – all in terms of the opinions and ideas of the target to be networked.

In universities and colleges, the internal network targets for the chair include departmental opinion leaders and groups, committee members, senates, centers or institutes, councils, regents, trustees, senior executives, and advisers. Outside targets include legislators, coordinating commissions, professional associations, foundations, and accrediting agencies.

A firm set of goals

A chair without a firmly held and very clear set of goals should not have accepted the position of chair. Such goals are the visionary part of the agenda, a set of strategies to implement the vision the other part.

The first and most important set of skills is concerned with determining which forces are for and which are against the agenda-listening, gathering opinions, patience and persistence. After listening, identifying key players, searching for the basis of their opinions, and gaining a feel for the source and strength of likely resistance, the chair can construct an agenda that retains the essential vision. The chair must be prepared to accept compromise and to accommodate conflict with the department's goals so that the agenda can be seen as workable in terms of available resources In essence, the skills needed are careful listening, assessment, and compromise without abandoning the vision.

The Department Chair

Overcoming the Five Temptations

Choose trust over invulnerability

↓

Choose conflict over harmony

↓

Choose clarity over certainty

↓

Choose accountability over popularity

↓

Choose results over status

Self-Assessment

Ultimately, the best way to understand which of the Five Temptations is most tempting for you is to simply reflect on the model and decide which temptations seem to fit. A good way to do this is to ask yourself, "Which of the temptations made me feel uncomfortable?" Although this is certainly unscientific, the best self-assessment is often unstructured and qualitative.

However, some people prefer to use a diagnostic tool to provide a little structure in the search for their temptation(s). One such tool is provided here.

Some of the questions are tricky in that they do not seem to reveal weaknesses at all. However, keep in mind that this tool is designed to identify your *susceptibility* to a given temptation, not to determine that you definitely succumb to it. Ultimately, this has to be your call.

TEMPTATION 1
Choosing status over results

- Do you personally consider it a professional failure when your organization fails to meet its objectives?

- Do you often wonder, *What's next? What will I do to top this in my career?*

- Would it bother you greatly if your company exceeded its objectives but you remained somewhat anonymous relative to your peers in the industry?

Rationale
On a professional level, organizational success and personal-professional success are one and the same. Although it is healthy for any human being to separate his or her sense of self-esteem from success on the job, in the context of professional success these should not be divided. Too often, CEOs justify their own performance even when the organizations they lead are failing around them.

CEOs must ultimately judge their personal-professional success by the results on the bottom line. This is not to suggest that other "human" factors are not important, or even most important on a spiritual and emotional level. However, only the CEO is ultimately responsible for the results of the company, and this must be his or her ultimate measure.

Additionally, a pronounced concern for the "next step" in a person's career is a good sign of susceptibility to Temptation Number One because it is a possible indication that success is being gauged in terms of career advancement rather than current performance. The most successful CEOs focus almost exclusively on their current jobs.

Finally, worrying about how much public recognition one receives is a possible sign of susceptibility to the first Temptation. Although human nature dictates that we hope for a just share of acknowledgment, it is a dangerous part of human nature to entertain. Certainly, at one time or another all CEOs have experienced short shrift when it comes to public recognition. Those who eventually get that recognition are the CEOs who aren't distracted by the occasional slighting that an unscientific press is sure to give. Interestingly enough, they experience a low degree of satisfaction from such press. After all, they take larger personal satisfaction from achieving results.

TEMPTATION 2
Choosing popularity over accountability

- Do you consider yourself to be a close friend of your direct reports?

- Does it bother you to the point of distraction if they are unhappy with you?

- Do you often find yourself reluctant to give negative feedback to your direct reports? Do you water down negative feedback to make it more palatable?

- Do you often vent to them about issues in the organization? For example, do you refer to your staff as "we" and other employees as "they"?

Rationale

It is wonderful for CEOs to care about direct reports as people, so long as they can separate the success of those relationships from their sense of self-esteem and personal happiness. This is difficult because most of us try to avoid major disagreements with close friends, and it is impossible not to be concerned about a deep rift with one of them. If those close friends are your direct reports, the accountability within the organization can be threatened. The slightest reluctance to hold someone accountable for their behaviors and results can cause an avalanche of negative reaction from others who perceive even the slightest hint of unfairness or favoritism.

Those CEOs who are able to make close friendships with direct reports and still avoid a sense of favoritism often find it easy to use those reports as their personal "venting boards." All executives need people they can vent to about challenges they face in the organization (for example, people they are frustrated with), but CEOs must resist the desire to use direct reports for this service. It can lead to politics among the executive team, and more importantly, it can undermine the team's objective understanding of their own actions by creating an atmosphere of self-victimizing groupthink. Often this manifests itself during executive staff meetings in comments such as "When will these people stop questioning us and start understanding what we are trying to do?"

TEMPTATION 3
Choosing certainty over clarity

- Do you pride yourself on being intellectually precise?
- Do you prefer to wait for more information rather than make a decision without all of the facts?
- Do you enjoy debating details with your direct reports during meetings?

Rationale

Certainly, intellectual precision alone is not a sign of Temptation Number Three. However, when it manifests

itself during staff meetings in terms of unnecessary debates over minutiae, it is a sign of real trouble.

It is no surprise that many CEOs take a great deal of pride in their analytical and intellectual acumen. Unable to realize that their success as an executive usually has less to do with intellectual skills than it does with personal and behavioral discipline, they spend too much time debating the finer points of decision making. Those debates are problematic for two reasons. First, they eat up valuable time that can be spent discussing larger issues, which often receive just a few minutes at the end of the staff meeting agenda. Second, and more important, they create a climate of excessive analysis and overintellectualization of tactical issues. If there is one person in an organization who cannot afford to be *overly* precise, it is the CEO.

TEMPTATION 4

Choosing harmony over productive conflict

- Do you prefer your meetings to be pleasant and enjoyable?

- Are your meetings often boring?

- Do you get uncomfortable at meetings if your direct reports argue?

•. Do you often make peace or try to reconcile direct reports who are at odds with one another?

Rationale

Executives often bemoan the number of meetings they attend, and they include staff meetings with their peers at the top of that list. They often complain about meetings taking up time that is needed for "real work." This is a good sign that those meetings are not as difficult (that is, are not as productive) as they should be.

Productive executive staff meetings should be exhausting inasmuch as they are passionate, critical discussions. Pleasant meetings—or even worse, boring ones—are indications that there is not a proper level of overt, constructive, ideological conflict taking place. But don't be deceived. *Every* meeting has conflict. Some executives just sweep that conflict under the table and let employees deeper in the organization sort it out. This doesn't happen by accident.

When executives do get into an issue, CEOs often squelch any potential for passion by making peace. This sends a message that pleasant, agreeable meetings are preferred by the CEO. After a few pleasant meetings, boredom sets in and executives start lamenting the real work that they could be doing.

TEMPTATION 5
Choosing invulnerability over trust

- Do you have a hard time admitting when you're wrong?
- Do you fear that your direct reports want your job?
- Do you try to keep your greatest weaknesses secret from your direct reports?

Rationale

No one loves to admit being wrong, but some people hate it. Great CEOs don't lose face in the slightest when they are wrong, because they know who they are, they know why they are the CEO, and they realize that the organization's results, not the appearance of being smart, are their ultimate measure of success. They know that the best way to get results is to put their weaknesses on the table and invite .people to help them minimize those weaknesses. CEOs who understand this concept intellectually but cannot behavioralize it sometimes make the mistake of finding symbolic moments to admit mistakes and weaknesses. This only serves to reinforce the notion that the CEO is unwilling to put real weaknesses on the table. Overcoming this temptation requires a degree of fear and pain that many CEOs are unwilling to tolerate.

If you have a difficult time identifying your temptations, you may want to ask your direct reports to answer the questions above and compare your responses to theirs.

THE DEAN-CHAIR RELATIONSHIP

It is not easy being the chairperson, department head, or director. On one side, you have the dean expecting you to carry out administrative duties that he or she assigns, while on the other, you have the faculty who expect you to be their champion and defender in dealing with the upper echelons. The University of Wisconsin's Dean of Fine Arts likens the chair's position to that of the FBI chief at the Waco stand-off, who reported that through the transmitter in one ear he could hear one of his agents fighting for his life while in the other, he heard the voice of someone who thought he was God. "That's it" she said, "the chair's lot."

If the relationship of Dean and chair is to work, it is incumbent upon the former to make the going as smooth as possible for the chairs. Some mutually understood expectations might help.

What Deans Expect From Chairs:

To take care of the small stuff
Having to micromanage is a pain, and Deans have plenty of small issues of their own to take care of within their own bailiwick. Asking them to decide or act on minor issues can become irritating.

Do things on time
Deadlines are a nuisance, but can be compounded for the Dean if he/she is having to constantly remind the chair of due dates past.

Tell the Dean what's going on
Deans need to know the bad stuff, the rumblings in the corridor, rebellion at the faculty meeting, and discontent in the studio so they can help to solve any problems before they get out of hand, Similarly, they need to know how the good news - faculty accomplishments, student awards, changes in the curriculum, etc - to pass on to audiences outside the school. The more information the Dean has, the better he/she can advocate for the program.

Show initiative and show enthusiasm
If Deans and Chairs can't get together and immediately discuss new ideas and activities that will improve, or celebrate the good news of student or faculty achievement, neither should be in the job any more.

What Chairs Should Expect from Deans:

That they recognize the inherent difficulty of the chair's job.

That they will listen to the chair's ideas, viewpoints, complaints and requests patiently, attentively, and helpfully.

That they will play the 'bad guy' role in saying no where necessary.
This should not be overworked as a chair's strategy.

That they will support the chair, politically and financially, wherever possible.
Requests for resources should be short, specific and clearly detailed as to cost, activity and expected outcome, stressing the benefits to the school.

That they will help the chair in his/her personal development.
If a chair is indeed a mouse trying to become a rat, the latter should help as much as possible in providing opportunities and guidance in helping the individual ascend the administrative ladder. (B.G.)

ADVANCED LISTENING

Basic Principles

1. The fundamental communication skill

Most people think of communication skills as speaking and writing. It's true that as a professional you must be able to express yourself effectively. You have to know how to gather information, present solutions and respond to difficult questions. But in order to do these things well, you first have to master a frequently overlooked skill: **listening**. Listening underpins everything you do as a professional. Even reading is a form of listening. Most professionals spend at least half of each day in a mode which requires them to listen.

2. Hearing is not listening

The reason many professionals are poor listeners is because they confuse listening with hearing. Hearing comes naturally. It is a biological function and unless you are physiologically impaired, you hear without effort. Listening is not biological but intellectual. When you listen, you interpret a message taking into account your knowledge of the speaker and the subject.

3. "Listen hard"

As children we were told by parents and teachers to listen hard. There is considerable wisdom in that once irritating phrase because it often is very hard to listen. When we listen effectively we can feel the strain of concentration.

4. Clients can tell

When professional associations survey clients, they find that the number one client complaint is that their professionals don't listen to them. Doctors hear patients with pen poised above prescription pad. Lawyers interrupt with seconds. This leaves the client with the impression that they are on an expensive conveyor belt which makes no distinction between individuals and allows for no subtlety in problems.

Increasingly, clients are refusing to tolerate this mechanical approach. They are flocking to professionals who have a reputation for being good listeners. Professionalism is becoming defined by effective listening.

THE PAY OFF

When people know they are being genuinely listened to, they

- relax
- give more information
- are more cooperative
- look for ways to help the listener.

TECHNIQUES FOR EFFECTIVE LISTENING

- Prepare for meetings. Read and think ahead, but don't assume you know what the speaker will say. Keep an open mind.

- Schedule your listening. Effective listening demands a high degree of energy. Try to schedule meetings to coincide with your personal high-energy times.

- Welcome the speaker's comments and encourage further information. Leaning forward, head on one side sends a strong nonverbal message of "I'm listening." Frequent eye contact reinforces this message.

- Concentrate on the message and force your mind to stay focused. We can hear much faster than others can speak. This time lag in communication can result in our minds wandering. People with fast minds are often especially poor listeners.

- Be non-judgmental in your words and your body language. Your body should reflect your open mind: keep arms and legs unfolded.

- Don't interrupt even if your spot an inaccuracy. Wait until the speaker has finished. Make a short note to remind you to raise the issue later.

- Take notes but make them brief to avoid losing eye contact for very long.

- Look for the big picture in what you are being told rather than fixating on a detail.

- Summarize briefly from time to time so that the speaker knows the message is getting across. This gives the speaker an opportunity to correct misunderstandings and provides you with a more accurate interpretation

- Resist distractions. It's all too easy to become distracted by your physical environment: the pictures on the wall, the papers on the desk, the noise of an emergency vehicle. You can also find yourself breaking off attention to consider the way the speaker looks or how they speak rather than what they are saying. Then, of course, there is that constant chattering that goes on in most heads. Practice turning off your personal chat channel when you move into listening mode.

- Don't rehearse speeches. We've all met the client or colleague, perhaps family member who pretends to listen to you while in fact figuring out what to say next. Remember the frustration of dealing with that listening style and avoid it like the plague.

- Leave yourself behind. It's appropriate to reflect on your professional image, but not while you are in a listening mode. Avoid the distraction of concerns such as What does she think of me? Do I seem intelligent and professional? If you allow those concerns to effect you while a colleague or client is talking, you can be sure that the impression will be far from professional.

- Pause and reflect before responding to the speaker. This gives you an opportunity to respond effectively while also demonstrating to the person who just stopped speaking that his or her comments are worthy of consideration, and now it is time for that person to listen carefully to you. Much communication is lost in rapid-fire dialogue.

- Adopt a non-defensive style and convey this with your open body language and choice of words when you respond. Avoid killer phrases such as "Yes, but..."

- Adjust to the pace and style of the other person. Slow, highly reflective people can be turned off by too much speed and spontaneity. Try to synchronize.

- Show that you are listening by leaning forward and nodding assent at appropriate points.

NON-VERBAL COMMUNICATION READY REFERENCE

Non-verbal communication is complex, and a single gesture may be misleading. To reduce mistakes, look for clusters of gestures which reinforce the message. If you want to reinforce a verbal message with body language, be sure to convey it in cluster form. Here are some examples of messages you may want to convey or recognize in your clients and associates.

1. enthusiasm
    - move forward to greet/not too fast/firm but comfortable brief handshake
    - eye contact
    - smile/animated expression
    - relaxed shoulders

2. interest
    - lean forward/hands unclasped/relaxed
    - eyes wide open/maintain eye contact while other person is speaking
    - touch chin or cheek (but <u>not</u> nose, eyes or ears)

3. open attitude
    - loose, open arms
    - eye contact: if lost look to the right (considering)
    - hands loose and comfortable/palms up
    - no pronounced leaning back in chair (cautiousness/superiority)
    - body forward facing, not sideways on

4. confidence
    - eye contact
    - low steepling (can sometimes indicate arrogance: watch for clustering
    - no clenched hands or rigid limbs

5. active listening
    - mirrors speaker verbally and non-verbally
    - leans forward
    - asks for clarification
    - eye contact or eyes right

6. integrity
    - eye contact
    - should **not** display the following:
        1. covering mouth when speaking
        2. eyes left (deceit, manipulation, or cornered)

7. professional maturity
    - relaxed shoulders
    - relaxed gestures

8. commitment to excellence
    - meticulous grooming
    - pausing before answering complex questions
    - eye contact or eyes right

9. empathetic
    - mirroring verbally
    - mirroring gestures (e.g. you lean forward, they lean forward)

LISTENING SELF-TEST

Read the questions below and for each question give yourself a score of 1 (hardly ever) 2 (sometimes) or 3 (often). Be brutally honest with yourself: it's in your best professional interests.

1. Does your mind tend o wander during a conversation?

2. Do you look around at your environment while you are listening?

3. Do you look intently at the person speaking to you but have difficulty focusing on what is being said?

4. Do you rehearse in your mind what you are going to say while the other person is speaking?

5. Do you start speaking before a speaker has stopped speaking?

6. Do you find it difficult to recall the details of conversations you had three or more days ago?

7. When speakers pause in an effort to find the right words, do you ever try to help them out by suggesting words?

8. Do you tend to fold your arms when listening to another person's point of view?

9. Do you find listening tiring?

10. Are you easily distracted when reading?

11. Do you find it difficult to remember the names of people you meet at a large gathering?

12. Do you ever think that you know what someone is going to say before they speak?

HOW DID YOU DO?

If you scored...

15 or below

You are a good listener. To maintain this level, continually practice and polish your skills. Anything above 12 gives room for improvement, but you can congratulate yourself on possessing a communication skill that will have a large and positive impact on your professional and personal success.

16-21

You are an above average listener. Given your chosen career, you should focus on reducing your handicap by paying attention to your listening patterns and raising your listening skills to new heights.

22-28

You are an inconsistent listener and there is a risk that you may be dipping below the listening skill level necessary to be effective and efficient in your dealings with clients and colleagues.

29-36

You have a listening deficiency which, unless corrected, can and probably will damage your chances of achieving your professional goals.

10. committed to an idea or approach
watch gestures when you touch on the idea/approach to a problem
   - **positive:** leaning forward, eye contact, alert
   - **negative:** low eye contact, lowered eyes, lean back, move body sideways

11. readiness
   - leaning forward
   - eyes wide open/alert
   - eyes up and blinking (means the person may be on the point of a positive decision)
   - open gestures (hands/arms/legs)
   - (sometimes) neck inclined sideways

12. skepticism
   - hands near eyes or ears
   - eyes half closed

13. interest
   - hand on cheek or chin
   - eyes wide open
   - leaning forward

14. discomfort
   - clenched hands
   - damp handshake
   - playing with fingers
   - touching neck

15. boredom
   - head in hand looking down
   - swinging a crossed leg
   - feet pointed towards exit

SCHOOL OF DESIGN

STRATEGIC PLAN

In 1948, in this unlikely setting on Tobacco Road, a new School of Design was founded and a new educational idea was given birth. At the core of the School in these early years was an uncompromising belief that comprehensive design would produce a healthy environment, an improved society, and a better life for all. Experimental in nature, the School was open to new ideas and challenges. It identified with the progressive aspirations of the age south west perspective was global. Unlike many of its peer institutions newly emerging from traditional academic positions, the School's zeal for the new was balanced by an uncommon concern for the broad development of the individual student who was expected to assume a formative role as a creative leader and committed citizen.

As the School has grown and matured, these ideals have become even more important. The environmental and social crisis of our times require a renewal of energy and imagination if we are to in fact realize the potentials of design to shape a better world. The School of Design, with new leadership and a clear sense of purpose, is poised once again to assert its full commitment to the art of humanizing the environment.

Professor Bob Burns

Architecture, 1995

Strategic Plan

School of Design

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North Carolina State University, Raleigh

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Leadership and Citizenship

During the Fall Semester of 1994 the faculty and staff of the School of Design gathered at the National Humanities Center to consider possibilities for the future. The message inscribed on the dedication plaque at the building entrance inspired a strategic planning effort to complete this plan.

Can we be arrested in our work at least for a moment and take thought about what it represents? Can we ask whether our faith, and our works are as great as the faith that others have in us? I do not know. I think so, I hope so, but each year a company of scholars will gather here, and they will be the testers of the faith that others have shown in us. If we scholars can match it even a little, if we can draw our work with passion and with sanity, with firmness about ideas but also a power to imagine a world beyond our ideas, we shall perhaps do something to lift the vision of scholarship that scholars in general hold, and to lift the vision of this civilization.

Charles Frankel (1917 - 1979)
President and Director
National Humanities Center, 1977-79

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The Development of a Strategic Plan begins with intentions and aspirations. It is a statement of what is important to a community of students, design professionals and scholars at the School of Design at North Carolina State University. Greater accountability to society, the related design professions, and the University will significantly alter the development of curricula and the management of the School. The design must reflect the growing diversity of modern society. The impact of technological change upon the design professions and education environment will significantly change professional curricula.

Studio instruction is the essence of the learning experience in the School of Design. This method of teaching has evolved from the Guild through more than two hundred years of academic experience.

The School must be a vital member of the University community. To be valued within the University community the School of Design must seek to contribute to every aspect of its conduct. This includes accepting a role in the general education of every student on campus as well as seeking to raise the standard for the design of the campus environment. As members of the academic community, scholarship will be rewarded just as

The study of design and the needs of the community must be interwoven. Many new challenges confront the designer in a global society. Social and environmental concerns provide the framework for the participation of the school in a broad context extending far beyond the limits of the Campus.

The study and practice of design must exist in a symbiotic relationship. The practice of the design disciplines and the reflection and preparation that relate to them is among the same continuum. The issues of the profession, such as management and marketing, professional liability, and professional services, affect the quality of design and must be introduced into professional education. The reflective aspects of education with particular emphasis on the creative process, research and the creation of new knowledge, ethics and precedent, present the opportunity for the improvement of the design professions.

The School must address the new technologies of design culture

these new technologies be fully utilized within the School. The reality of design practice already demands individuals prepared for computer assisted practice. The impact upon the delivery of design services is profound. Such change at the foundation of practice requires an equivalent response within the University.

The School must be accountable for its programs and activities. The sporadic isolation of the academy is a concept of the past. Accreditation groups, related professional offices and organizations offer continuous review procedures. And there is a growing demand in society for the accountability of higher education.

The design process is the model for determining the Strategic Plan of the School. The enthusiasm for the study and practice of design motivates this process of data collection and issue identification. This process nurtures the ability to make the connections and generalizations that comprise a general concept for the School. Diversity and transformation characterize the design process. The spirit of this realization reinforces the importance of broad participation in the development of a plan for the School of Design. Students, faculty, staff, alumni and friends have been involved with every aspect of the development of this plan.

The School, similar to the profession and society as a whole, is in a period of transition. Periods of transition spawn growth in creative communities. The Bauhaus, the inspiration for the founding of the School of Design, grew during a time of international unrest. The post WWI period in Europe was a time of shifting fiscal policy, international boarders in transition, and a rapidly evolving industrial complex. Weimar and Dessau became hosts for the Bauhaus because of industries interested in the products of creativity relating to industrial capabilities. The situation today presents us with a world society in remarkable transition. We are immersed in a culture that commands our commitment to a new world order. The technology of the information age is transforming every aspect of our lives. The School of Design is positioned in proximity to one of the world centers of industry and research related to the technologies of information. The relationship between the School, the design professions, and related industries is being drawn closer by the steady withdrawal of state resources. Complacency will not fuel the change demanded of the School in this period of transformation. We must have the courage to employ these energies to secure our future.

GOALS AND OBJECTIVES

1 **CONDUCT PROGRAMS WITHIN THE SCHOOL OF DESIGN FOUNDED ON UNDERLYING COMMON PRINCIPLES THAT SUPPORT SCHOLARSHIP, SOCIAL AND PROFESSIONAL RELEVANCE, AND DESIGN EXCELLENCE.**

Reinforce the legacy of interdisciplinary and multidisciplinary experiences available to the students and faculty of the School.

Enhance the School Fundamentals Program to instill the love of making inherent in a life focused on design.

Provide opportunities within the School's curricula to promote multidisciplinary experiences, interdisciplinary teamwork, and common courses including the integration of faculty from various disciplines.

Establish a visitors' program to enrich the curricular experience of the classroom with accomplished scholars and practitioners.

Conduct a visitors program bringing distinguished practitioners into the School.

Conduct an exhibitions program in the School to include visiting artists and designers, as well as students and faculty members.

Establish a process of curricular assessment to provide information on program quality, diversity and excellence.

Seek the assessment of programs within the School (including accreditation) by students, distinguished individuals and representatives of institutions outside of the School.

Improve the procedures for advising and counseling within the School to facilitate increased communication between all members of the design community.

MISSION STATEMENT

The School of Design is a community devoted to excellence in scholarship, artisanship, and action with the perspective of social and environmental responsibility. The School community is dedicated to a tradition of individualized instruction in the design studio fostering scholarly research, creative activity and community service. School programs and curricula value the integrity of the individual by cultivating curiosity and cherishing the results of creative effort.

SUMMARY OF GOALS

The Strategic Plan for the School of Design comprises seven major goals that form the basis of action plans that will be appended to this document.

1 Conduct programs within the School of Design founded on underlying common principles that support scholarship, social and professional relevance, and design excellence.

2 Advance the study of design through research, scholarly, professional and creative activity.

3 Create a supportive environment, founded on diversity, within the School community.

4 Extend the reach of the School to the University, the related design professions, and the community.

5 Advance the technological capabilities of the School to enhance the academic experience, support research and creative activity, and improve administrative services.

6 Undertake resource planning and management within the School of Design.

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Leadership and Citizenship

2 **ADVANCE THE STUDY OF DESIGN THROUGH RESEARCH, SCHOLARLY, PROFESSIONAL AND CREATIVE ACTIVITY.**

Contribute to the advancement of knowledge through teaching, and the pursuit of scholarly, creative and professional activities.

These are exciting times to study, teach, and practice design. Technological, demographic relationships between people and information, provoking questions about the fundamental and natural design problems and signaling the emergence of new areas of practice. As we map unexplored territory and predict future roles for designers, we reexamine the expanding need for research and scholarship. Increasingly, diverse audiences demand that we know more about how professions and the cultural, social, and historical contexts that shape their interpretations of meaning. While many scholars struggle to comprehend the significance of these changes, or discover outlines rather than roots, the School of Design seizes this time of change as an opportunity to reinvent itself in anticipation of a reconfigured professional landscape. I can think of no better time to put our design research and learning to work in fulfilling greater expectations of ourselves as students, teachers and practitioners of design.

Meredith Davis
Professor and Head, Department of Graphic Design

Foster an environment supportive of research and creative activity within the School.

Provide facilities for research and creative activities including product modeling and analysis capabilities, advanced computing, and dedicated project studios.

Encourage regular interaction among the Center for Universal Design, the Design Research Laboratory and the School community.

Secure permission to plan for a Ph.D. program from the Board of Governors.

Disseminate information regarding faculty research, creative and outreach activities.

Some schools are justly proud of their old traditions. The School of Design can be proud of its youth. The School is young and wishes to stay that way. But it is not the youth that can be area saved by time that matters here. It is the youth of constant scientific curiosity and the youth of freshness that is consciously traced to its source in nature, that the School will try to preserve.

Matthew Kowalski
School of Design

Provide open access to the work of faculty and students by distributing published materials and organizing exhibitions and lectures.

Organize regularly scheduled faculty

Strengthen School Library capabilities to support research and scholarly activity.

Assess the operation of the Design Library in cooperation with the University Librarian and the School Library staff with the assistance of an outside consultant.

Improve the network capability of the Library to insure adequate access to support all forms of inquiry within the School.

Improve and expand the facilities and collections, including special collections (including digital images), and electronic access.

3 **CREATE A SUPPORTIVE ENVIRONMENT FOUNDED ON DIVERSITY WITHIN THE SCHOOL COMMUNITY.**

Ensure that faculty, staff and students are properly represented in the decision-making processes of the School.

Conduct regular "town meetings" to solicit the participation and consultation of the faculty, students and staff in all affairs of the School.

Conduct an annual Executive Council Retreat.

Support student development.

First and foremost, one of the strongest qualities of the School of Design is its faculty, students, and environment. To be able to share personal experiences on a one-to-one basis between students and faculty is truly a special gift. Another treasured quality of the School is the ability to design ones own curriculum based on an individual's initiative. The drive of a student with the support of the faculty is the very structure of the design process. Therefore the broader the options available, the greater the possibilities for individual growth.

Molly McGaughey
Design Student, Class of 1998

Recognize the evening and weekend population of students by providing meaningful services, such as greater access to the Computer, Materials, and Media Laboratories.

Create a Student Life Program to include registration, admissions, advising, career guidance, mentoring.

African American student affairs and student recruitment

Support faculty development.

We must always remember that the strength of our programs is not just determined by the courses we offer in our discipline but also by the broad vision which we work. We need to encourage our students to explore and learn from other design disciplines, to participate in inter-disciplinary work, and to use the large university context to expand and enrich their development as design professionals capable of dealing with the future in a creative and appropriate manner. We must encourage our students to look past today and to prepare for a future that is becoming both more collaborative and global in nature.

Art Rice
Professor/Head, Department of Landscape Architecture

- Disseminate information regarding the work and accomplishments of faculty.

- Support course research and innovative instructional methods.

- Encourage faculty participation in professional conferences.

- Improve facilities relative to faculty working conditions, including office and research spaces.

- Resolve salary equity issues relative to faculty compensation.

- Develop a plan to prepare the School community for the retirement of senior faculty members

- Establish support services and office spaces for active emeritus faculty.

Support staff development.

Because character, a profound devotion, and an absolute professional commitment are prime ingredients of any creative activity where the social responsibilities are as vital as in design, we foster and cultivate the integrity of the individual. Here a community of scholars working each in his own way searches for the truth as he sees it, giving the young student the benefit of his professional knowledge, his technical training, and his experience as a citizen. The goal in the growth of the student is not only the mastery of the design techniques of the profession, but through the stimulation and development of the intellect and emotional capacities together, a readiness is developed to meet the challenge of any environment.

Henry L. Kamphoefner
Summer, 1959

- Encourage staff development by initiating a career development procedure.

- Enhance educational opportunities through the utilization of personal development time.

- Improve staff work-stations.

- Establish a pattern of work assignments based on teamwork.

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Improve the facilities of the School to enhance teaching, research, and learning opportunities for students, faculty and staff.

- Establish a regular maintenance and improvement plan for all School facilities and landscape spaces.

- Establish a budget line for equipment acquisitions and facilities improvements.

- Renovate and expand the space available for the School of Design in Leazer Hall.

- Establish the School entrance hall as a design showcase by creating a gallery space to support student, faculty, and visitor programs.

- Create a safe environment for students, faculty and staff, especially in the 24-hour working studio areas

Develop a sense of community within the School by fostering racial, gender, cultural and ideological diversity.

> The student experience at NC State is unlike any other program I've ever seen. Within the University itself, the design students have access to all of the advantages of a big university, including: diversity of students and subject matter; many clubs and activities, varsity sports, and a national reputation for excellence. However, within the School of Design a student experiences the pleasures of attending a small school, community, identity, and familiarity. No student is ever a number here. We know and call our professors by their first names and they know us as well. The instructors respect the students' backgrounds and treat us as individuals. This is truly a self-contained creative community.
>
> Alysha Naples
> Graphic Design, Class of 1997

- Declare zero tolerance for intolerance by defining affirmative action as a spirit of mutual respect within all departments and curricular areas, thereby affirming the positive impact of diversity.

- Focus on the necessary recruitment of qualified and diverse students to the School of Design. This effort should include the development of a WEB page.

- Give greater attention to Design Camp as a tool for the recruitment of students.

- Formulate an African-American Advisory Committee.

- Present, explore, and tolerate different approaches to teaching and learning in all

4 **EXTEND THE REACH OF THE SCHOOL TO THE UNIVERSITY, THE RELATED DESIGN PROFESSIONS AND THE COMMUNITY.**

Develop an operating strategy to coordinate the efforts of the School in community affairs.

Work toward the establishment of a studio-based center for design to facilitate university and community related projects.

Make regular use of community resource people, including in particular alumni of the School, guest lecturers, part-time faculty, and visiting review committees participants.

Conduct lecture programs on campus as an extension of the School into the community.

Seek expanded relationships with departments, colleges and special interest areas on campus.

Design education is completely involved with life, at its various needs and purposeful, and therefore, education. Education otherwise is its parts its motivating force. Survival.

Marvin J. Malecha, 1995

Establish connections to the College of Textiles, the College of Engineering (including the Department of Computer Science) and the College of Management to promote the connections between design, management, construction and manufacturing (including joint degree programs).

Establish connections with the College of Agriculture and Life Sciences on matters related to the study of the environment.

Promote further connections to the College of Education and Psychology on the subject of middle and high school design education.

Promote the concept of providing design services to the entire University community.

Nurture an improved relationship between the Visual Arts Center and the School of Design.

Develop a strategic alliance between the School and the related design practitioners.

Create educational opportunities for students and faculty with professional offices by creating cooperative education opportunities and by establishing experiential relationships with selected teaching offices.

Work with practitioners to establish a leadership position for design in the community.

Develop continuing education programs that address changing knowledge and attitudes about the design professions.

Cooperate with professional groups to offer educational programs necessary to fulfill requirements for lifetime professional growth.

Cooperate with elementary, middle and secondary schools to promote continuing education opportunities (including workshops) for art and design teachers.

My ideas in teaching grew out of my experiences in learning, first in sculpture, next in architectural projects I worked on with Neutra. I learned to distrust abstractions that were not my own abstractions. I believed in starting with the real. I considered design to be discovery, in design I looked for the natural and the simple. This is what the artist looks for.

Harwell Hamilton Harris

Expand relationships with institutions internationally.

Continue to support NC State international programs.

Assess all exchange agreements thereby establishing a coordinated effort and diversifying the interests of the School.

Enhance the operation of international activities by creating an office for international study and exchange within the School.

Create a comprehensive plan for international activity including student and faculty exchanges, international studies and course offerings, shared library resources, and project related activity.

Develop procedures and initiatives for communicating with the university and community about programs and projects in the School of Design.

Assign a staff and/or faculty member to the task of information officer. This activity should be coordinated with the School Advancement Office.

6 ADVANCE THE TECHNOLOGICAL CAPABILITIES OF THE SCHOOL TO ENHANCE THE ACADEMIC EXPERIENCE, SUPPORT RESEARCH AND CREATIVE ACTIVITY, AND IMPROVE ADMINISTRATIVE SERVICES.

Develop a plan for the incorporation of computers and related hardware into teaching, academic activities and administrative services.

> We can not and should not return to the traditional limitations of the past; we must rather conceive a program of education which will make our technology a supple instrument of human development. We believe in the modern movement in architecture because we conceive it, not as a breaking away from history and tradition, but as a deeper rooting of architecture in the soil of the region and the community, with a fuller utilization of the universal forces that bind humanity as a whole together.
>
> Lewis Mumford
> School of Design, 1949

Support the development of teaching, research and scholarship with the appropriate technology by providing the necessary technological resources to accomplish this task.

Facilitate support services for students, faculty, and administration by establishing and maintaining uniform compatibility in software and procedures.

Develop a coordinated plan for facilities and resource management related to technological advancement.

Develop a facilities management and expansion plan that will address the impact of new technologies on the facilities and equipment of the School.

Develop a plan for upgrading classroom, instructional laboratory, studio and review area instructional support, as well as, faculty and school administration.

Develop a facilities plan for an integrated digital environment which will allow the movement of information between photography, modeling and analysis, and A/V production.

Develop a plan to incorporate distance learning capability into the technology of

Build the digital connectivity of the School of Design.

Complete the process of connecting the School of Design computing resources to the University system. Bring the fiber optics network to all School of Design facilities.

Develop and maintain a Home Page for the School of Design within the University Web pages.

Foster technological capabilities that relate to the traditional skills inherent in the study of design.

Continue to maintain and improve the Materials, Print and Textiles, and Media Laboratories to insure that wood, synthetic, and metal working, printing, weaving, photography, and gaming (full scale modeling) activities can be properly served.

Establish a specific training program for all students, faculty and staff of the School, as a qualification for the use of the Materials, Print and Textiles, Computer, and Media Laboratories.

6 UNDERTAKE RESOURCE PLANNING AND MANAGEMENT WITHIN THE SCHOOL OF DESIGN.

Conduct a comprehensive evaluation of all School policies and practices, staff and administrative positions.

> We are entering a new age, democratization of the world is a reality. Freedom and human rights are in the minds of most nations of the world. Everyone is seeking the "American Dream", the good life is thought of as an entitlement. If we are to pursue this mode of ethnocentrism, then humanity will probably act in ways which will deplete our natural resources and eventually man will be profoundly affected.
>
> I have asked myself what role "Design" can take in this rather grim scenario in order that the "artifacts" we make somehow reflect an awareness of the impact our artifact making has on the earth.
>
> I would like to think that the School of Design is aware of the problems facing our world and can begin to introduce into the educational process a mind set that asks some fundamental questions about what we produce and how it may affect our quality of life in the earth's environment.
>
> Professor Angelo Abbate
> Landscape Architecture, 1994

Conduct regular management meetings and evaluations with each department head or area director.

Reconsider the management practices regarding of the Design Research Laboratory and the Center for Universal Design.

Reconsider the administrative management structure of the School including the definition of all staff job descriptions to create areas of shared

The graduates of the School of Design professional programs will demonstrate a high degree of professional expertise and intellectual agility.

The opinion of the design professions the School serves is that the graduates have improved in quality over the recent past. There is a general belief that students are particularly well prepared to be problem solvers. However, there is a concern among design professionals regarding two issues. First, there is an expectation that the graduates of the School be at the cutting edge of the incorporation of new technologies into the design process. Second, there is a need to enhance the awareness among students of professional practice.

While there has been a general appreciation for the quality of the work of students and faculty, visiting accreditation teams have identified similar concerns relating to computers and practice. The need for a stronger relationship to practice and the incorporation of new technologies have been specifically identified as areas requiring greater attention. The most recent accreditation report of the National Architecture Accreditation Board also identified the need for the renewal of faculty.

The faculty have been continuously involved in the assessment of the programs of the School. This process includes faculty committees and special task forces, as well as the advising and mentoring of students. Further, the process has been enhanced by a series of regular visitors to studio and seminar sessions.

Greater diversity of approach in the composition of the design community and the nature of the materials presented in course offerings is necessary to meet the needs of an ever more complex society.

The School is challenged to increase the diversity of the student, faculty and staff community. This is an area of concern for the future of the School community. The activities of the School must be devoted to the necessary advancement of the society about us. This focus will insure the realization of the desire we have to prepare the leaders of the design professions.

The strategic planning process has identified several significant evaluation measures. The measures of our success are focused on the relationship the School maintains with a larger audience, the quality of the individuals who graduate from the programs of the School, and the willingness of the School community to be open to a diversity of ideas.

The School will maintain accreditation, a favorable position relative to the expectations of first rank peer institutions, and high success rates on related professional examinations.

The ability of the School of Design to fulfill its mission within the University system and to the community at large rests solely upon the reputation of this faculty and their contributions to knowledge through teaching, research and extension activity.

The highest priority of this faculty should therefore be to provide an environment in which our creative and intellectual capabilities are nurtured. This can be achieved in three ways:

1. Career development and enhancement;
2. Improved resources for teaching and research; and
3. An equitable system of rewards.

All of the other needs of our strategic planning will be resolved if we keep in focus the ultimate importance of a renowned faculty whose reputation should be national and even international in stature.

Professor Peter Batchelor
Architecture, January 1995

Leadership and Citizenship

The School of Design community regularly assesses the effectiveness of programs and curricular patterns. Such assessment is a regular aspect of the conduct of professional design education. Assessment comes in the form of formal accreditation requirements, professional association expectations, University program reviews, student evaluations and graduate exit interviews, the opinion of visiting reviewers and faculty peers from other equivalent institutions, and regular communications with employers of the graduates of the School of Design. This information is complemented by information regarding the success of School alumni on professional examinations in the Departments of Architecture and Landscape Architecture. Members of the faculty regularly participate in the assessment of curricular requirements. There is growing concern among the School community regarding the position of the School relative to instructional peers. The concern includes faculty salaries, the student-faculty ratio, and operating fund support. There is a general concern about falling behind to others among national and international peers.

The
Gift of the Box
Lessons for Administrative Leadership in the Academy

Marvin J. Malecha
Dean, NC State School of Design

Prologue

There are moments in our lives when a gesture takes on meaning inspiring us to a higher standard of performance. During the summer before I assumed the responsibilities of the deanship at the NC State School of Design I was presented with a gift intended to instill, with humor and sincerity, a higher standard of academic leadership. The friends and colleagues who assembled the collection, that comprises the gift of the box, have provided me with a continuing source of inspiration. The box sits on my desk reminding me of the qualities that comprise leadership.

The Box

The box represents what constitutes the qualities most important to the success of an academic leader. Successful leadership contains the ideas of a broad representation of the diverse constituencies of a dean or department head. An academic leader must accommodate the opinions and ideas of a community of students, staff and scholars. An academic community depends on the ability of individuals to express ideas and freely explore new directions while functioning within an ordered environment. Frequently, the dean or department head must see to the realization of the ideas and aspirations of others. The Box symbolizes the complex and conflicting responsibilities of leadership.

The Contents

The contents of the box are a collection of artifacts that represent a collection of thoughts about leadership. Simple objects representing the complexity of life.

A Miniature Church
An academic leader must develop a mature belief system. Leadership is dependent on a clear belief system that is understandable and reasonable. The individual who accepts leadership responsibility provides the matrix for acceptable ways of acting. The miniature church represents this imperative.

A Paper Angel
Successful leadership cannot be achieved without the cooperation of many individuals. A small paper angel represents the need for the watchful attention of a committed team. The individual who assumes a leadership position must begin by building a team. Failure is often disguised by individuality.

A Magic Wand
A magic wand represents the ability to make something happen from seemingly thin air. The magic of leadership is derived from opportunities seized on and connections made to bring ideas to fruition. Maintaining a critical edge of information and a hyper-sensitivity to the opportunities and critical concerns of the university and society is often mistaken for magic.

A Miniature Concept Model

The concept model represents the importance of communicating ideas clearly. An academic leader must be a tireless communicator. There are distinct constituencies that expect frequent communication with a dean or department head. The clarity of the message is dependent on understanding the concerns of the group.

Ancient Pottery Shards from Crete

Pottery shards, collected from a walk along a Cretan beach and imagined to be the remnants of ancient vessel, are a reminder of the continuous flow of time. The exigencies of decision making often obscure the more important ideas, the guiding principles of action. The trivial often distracts us from the crucial.

La Buena Suerta, A Good Luck Bottle

The good luck bottle is a Peruvian tradition that is sold in the market place. The contents of the bottle are as much symbolic as superstitious. The contents of the bottle certainly represent a rich folklore.

Oil for union in relationships.
Minerals and trinkets to attract money.
Red "Huayruru" seeds from the jungle for luck.
Curled yellow vine, called "vuelve, vuelve" helps regain a lost friend.
A piece of condor plume to ward off evil.
A carved alabaster figure of a child to represent knowledge and wisdom.
A carved skull for protection of the home.
Pieces of dyed wood and bark for good health.

Luck is a crucial aspect of success. However, it is important to recognize that good fortune is a complex composition of strong relationships, knowledge and wisdom, and personal well being.

A Pin With a Message, " I yell because I care".

Passion is an essential aspect of leadership, it necessarily follows a firm set of beliefs. This is the characteristic of energy and enthusiasm for bringing ideas to life. Leadership without enthusiasm will not succeed. Passion fuels hard work.

A Late Addition

Only a short time after I had arrived on the NC State campus the Board of Trustees were scheduled to meet in the School of Design. This visit led to a very special addition to the collection contained within the box. A small welcome gift presented to me by a member of the Board of Trustees represents a bit of sage advice, it remains with me as a reminder of what is perhaps the most important quality of a successful academic leader.

A Kaleidoscope

The Trustee placed the small kaleidoscope into my hands with a sense of enthusiasm that was disarming. Such a gift brings out the child in each of us. Quickly, this small curiosity became the focus of discussion over dinner. Frankly, the reason for this gift was not readily obvious. Later she returned to see if her gift had made the desired impact. Not satisfied that I had captured the point of her gesture she proclaimed that the genius of such an instrument was that through it we could see beauty in even the simplest objects. Her point, though obvious on reflection, was the essential quality required of every academic leader. A dean must see potential in students, faculty and staff. Every situation is an opportunity.

Closing Thoughts

There are fundamental characteristics that define leadership in the academy. Reflection on these characteristics leads to the following observations.

Academic leadership is defined by;

- the ability to bring the ideas and aspirations of others to life.
- the willingness to understand, appreciate and depend on the contributions of others.
- an opportunistic approach to making connections among diverse interests and individuals.
- a clear belief system underpinning a sense of excellence.
- the ability to communicate clearly.
- action founded on a sense of historical and cultural perspective.
- openness in every aspect of decision making.
- passion that fuels hard work.

- luck that generally follows diligent attention to responsibility.

The gift of the box has been a source of inspiration as well as a reminder that leadership is a communal rather than singular experience.

HUMOR IS A SERIOUS BUSINESS
Bob Greenstreet

Administrators are called upon on almost a daily basis to say a few words or introduce a topic or speaker. Of course, a firm-grasp of facts and a clear, well articulated vision of the future is useful, but a little humor can really help to lighten a presentation, however short. Develop a file of good one-liners, useful statistics and anecdotes (not long ones though) that can be woven into your remarks.

A list of comments that were reportedly taken from actual employee performance evaluations:

"Since my last report, this employee has reached rock bottom and has started to dig."

"His men would follow him anywhere, but only out of morbid curiosity."

"I would not allow this employee to breed."

"This employee is really not so much of a has-been, but more of a definite won't be."

"Works well when under constant supervision and cornered like a rat in a trap."

"When she opens her mouth, it seems that it is only to change feet."

Odd bumper stickers:

He who laughs last, thinks slowest.

Everyone has a photographic memory. Some don't have film.

A day without sunshine is like, well, night.

On the other hand, you have different fingers.

Change is inevitable, except from a vending machine.

I just got lost in thought. It was unfamiliar territory.

When the chips are down, the buffalo is empty.

Seen it all, done it all, can't remember most of it.

I feel like I'm diagonally parked in a parallel universe.

He's not dead, he's electroencephalographically challenged.

You have the right to remain silent. Anything you say will be misquoted, then used against you.

I wonder how much deeper the ocean would be without sponges.

Honk if you love peace and quiet.

Despite the cost of living, have you noticed how it remains so popular?

Nothing is foolproof to a sufficiently talented fool.

It is hard to understand how a cemetery raised its burial cost and blamed it on the cost of living.

Just remember...if the world didn't suck, we'd all fall off.

It is said that if you line up all the cars in the world end to end, someone would be stupid enough to try and pass them.

You can't have everything, where would you put it?

Latest survey shows that 3 out of 4 people make up 75% of the world's population.

The things that come to those that wait may be the things left by those who got there first.

A fine is a tax for doing wrong. A tax is a fine for doing well.

Everybody lies, but it doesn't matter since nobody listens.

I wished the buck stopped here, as I could use a few.

I started out with nothing, and I still have most of it.

Light travels faster than sound. This is why some people appear bright until you hear them speak.

Quote for the Day

"He would be out of his depth in a parking lot puddle."

"This young land ha delusions of adequacy."

"He sets low personal standards and then consistently fails to achieve them."

"This employee is developing a village somewhere of an idiot."

"This employee should go far, and the sooner he starts, the better."

"Got a full 6-pack, but lacks the plastic thing to hold it all together."

"A gross ignoramus—144 times worse than an ordinary ignoramus."

"He certainly takes a long time to make his pointless."

"He doesn't have ulcers, but he's a carrier."

"I would like to go hunting with him sometime."

"He would argue with a signpost."

"He brings a lot of joy whenever he leaves the room."

"When his I.Q. reaches 50, he should sell."

"If you see two people talking and one looks bored, he's the other one."

"A photographic memory but with the lens cover glued on."

"A prime candidate for natural de-selection."

"Donated his brain to science before he was done using it."

"Gates are down, the lights are flashing, but the train isn't coming."

"If he were any more stupid, he'd have to be watered twice a week."

"If you give him a penny for his thoughts, you'd get change."

"If you stand close enough to him, you can hear the ocean."

"It's hard to believe that he beat out 1,000,000 other sperm."

"Once neuron short of a synapse."

"The wheel is turning, but the hamster is dead."

He who enters a university walks on hallowed ground.

<div align="right">1936 Harvard</div>

Each honest calling, each walk of life has its own elite, its own aristocracy based on excellence of performance.

No mans knowledge can go beyond his experience.

<div align="right">John Locke Essay on Human Understanding</div>

Cauliflower is nothing but cabbage with a college education.

<div align="right">Mark Twain</div>

Education is a thing of which only the few are capable; teach as you will only a small percentage will profit by your most zealous energy.

<div align="right">George Gissing</div>

Think of your education like the opening of a big window......paraphrased from.

<div align="right">Mary Webb</div>

Education has for its object the formation of character.

<div align="right">Herbert Spencer</div>

Real education must ultimately be limited to men who insist on knowing, the rest is mere sheep-herding.

<div align="right">Ezra Pound</div>

Ideas are like stars; you will not succeed in touching them with your hands. But like the seafaring man on the desert of waters, you choose them as your guides, and following them you will reach your destiny.

<div align="right">Carl Schurz   1859</div>

Perhaps the most valuable result of all education is the ability to make yourself do the thing you have to do, when it ought to be done, whether you like it or not; it is the first lesson that ought to be learned; and however early a man's training begins, it is probably the last lesson that he learns thoroughly.

<div align="right">Thomas Huxley</div>

Nothing in education is so astonishing as the amount of ignorance it accumulates in the form of inert facts.

<div align="right">Henry Adams 1907</div>

How to Solve Disputes
The Los Angeles Times

Home sharing is a business relationship with an unusually strong emotional component. To get along with your new partner, you'll have to learn how to share your disagreements agreeably. For example, when reacting to a stack full of dirty dishes that your housemate "forgot" to clean and put away, try to remain calm and diplomatic.

Most shared housing experts believe housemates should have a monthly "family meeting" to discuss their current living situation and update their agreement. When conflicts or disagreement arise, the National Shared Housing Resource Center suggests the following "Ten commandments" for solving disputes:

1. Clearly state the problem as you see it, how you feel and what you like to have done to change the situation.
2. Discuss one issue at a time without being defensive.
3. Make sure you agree on what the problem is.
4. Listen carefully to what the other person is saying, thinking and feeling about the problem.
5. List different solutions and steps for resolving the problem. Don't disregard or reject any ideas.
6. Discuss possible solutions, listing the good points about each and the drawbacks.
7. Choose a plan you are both comfortable with.
8. Decide how you will implement the plan. What are the steps? Who will do what, and when?
9. Decide on a time to discuss progress or other problems
10. Take pride in working out the problem.

Citizenship in the Academic Community

For too long design schools have seen themselves as somehow apart from their academic context. The faculty and students perceived themselves to be citizens of an island of special conditions and ways of teaching seemingly incomprehensible to the average provost or chancellor. Even worse this attitude of special conditions was wrapped in a sense of superiority that could not be penetrated by even the most insistent provost demanding measures proving this supposed veil of excellence. Islands promote isolation and contempt by other citizens of the University. It didn't take long for these islands to be defined as havens of a high level of mediocrity.
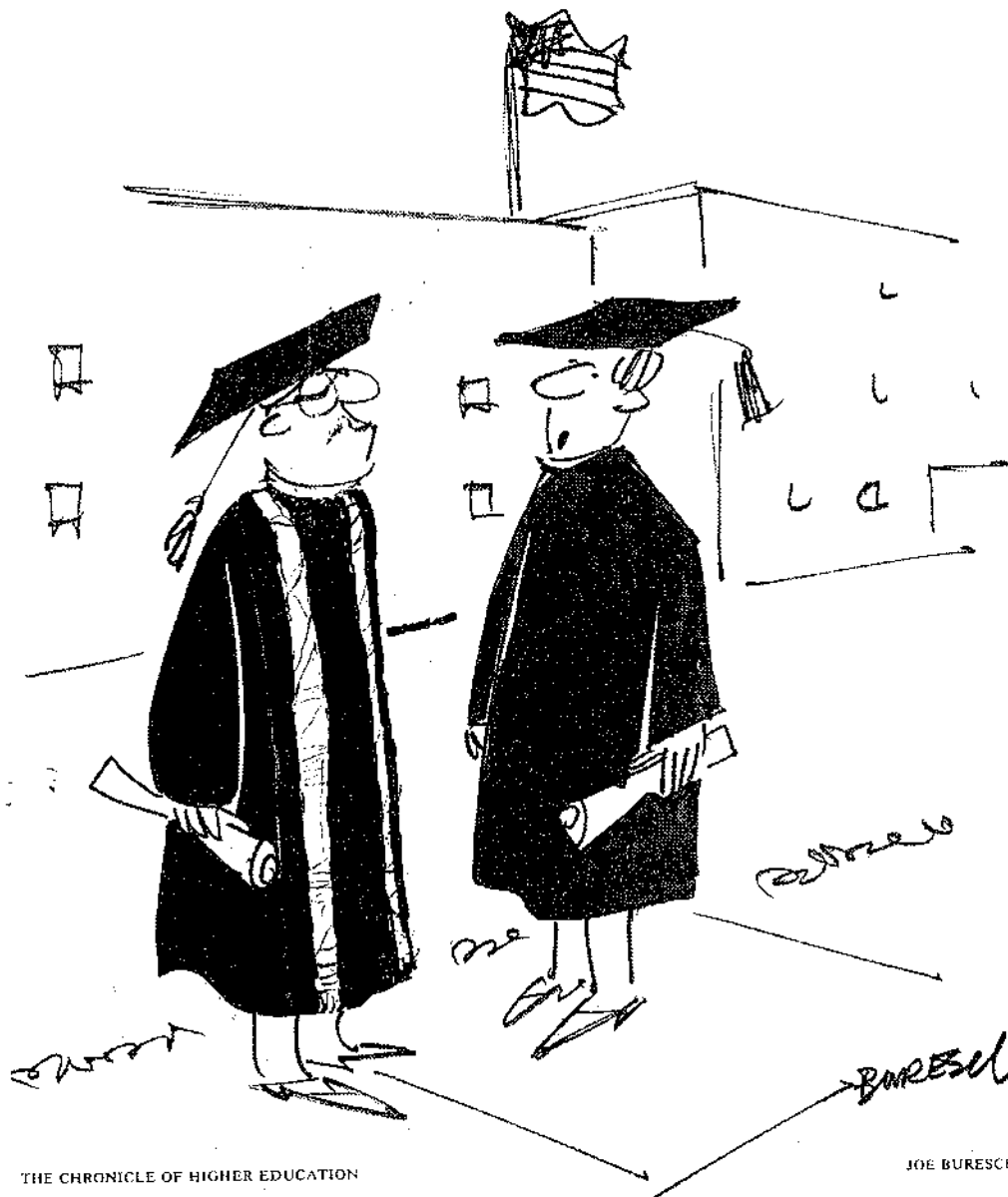
Design schools have moved from being possessions that only the very best could sustain to being members of a larger community expected to demonstrate their value in the terms that all are expected to address. To be valued the design school must now demonstrate value. It must excel at the measures of fund development, graduation rates, research and scholarship, engagement with the community, and attention to theneeds of students. These same schools attract the very best students to the campus. They are often valued by the University community as among the best on campus. But in the eyes of the chancellor and provost these are claims that every discipline brings into his or her office. Marvin J. Malecha

Workshop Agenda:
Synchronous Swimming
Working with the Chancellor, President and Provost
Communication, Communication, Communication
The Negotiated Life
Doing Favors and Cutting Deals – Winning in the Arena
More with Less
Understanding Budget Responsibilities
Legal Realities

Relevant Articles:
Winning is a Relative Concept
Marvin J. Malecha
Strategic Thinking for Leaders
Greenstreet Consulting
NC State Model
NC State University, Malecha
Deans: bureaucracy navigators, hustlers, administrators
John E. Czarnecki
Campus Planning and Design
Malecha and Greenstreet
Dean's Newsletter
Bob Greenstreet
Legal Pitfalls of Administration
Bob Greenstreet
The Academic Administrator and the Law
J. Douglas Toma, Richard L. Palm

JOE BURESCH

"Did I hear you right? You're wearing a <u>designer</u> cap and gown?"

Winning is a Relative Concept
Marvin Malecha

Winning is a relative concept. When it is applied to the relationship of a dean to the academic arena, it is generally understood that this is an indication of the effectiveness of the individual a the university level. The concept of partnership is crucial to this success. The dean of a professional program must assimilate the aspirations of the senior leadership of the university into the actions of the school or college. Such an assimilation is more a synchronization than a subordination. This posture positions the dean and the school as a player on campus that can be relied on to enhance the overall well being of the academic community. This is a critical image to maintain in order to gain support for school and individual initiatives. This is not a chicken or egg question. Clearly, the synchronization process must occur prior to the accomplishment of personal objectives. However, the accomplishment of these objectives is not an entirely personal or provincial process. Senior academic leadership within an institution must also recognize the importance of partnership for the accomplishment of schools or deans' objectives. This is accomplished by regular communication and an open relationship between the provost, chancellor and dean.

Winning in the academic arena may also be defined as the ability of a dean or department head to assert leadership within the school or department.. Winning inside the College is equally important. It is often crucial for the academic administrator to demonstrate success at home in order to gain credibility at the university. Every tool of the teacher and communicator must be employed to articulate a vision and logistical plan to achieve the desired result.

Deans: bureaucracy navigators, hustlers, administrators

By John E. Czarneckl, Assoc. AIA

With increasing bureaucracy and financial pressures coupled with decreasing leverage and power, the role of architecture school deans, especially in public colleges and universities, is rapidly changing. "The dean's job, like academic administration generally, has become much more complex," says Tom Fisher, dean of the University of Minnesota College of Architecture and Landscape Architecture since 1996. "In a given day, sometimes from one hour to the next, I have to be a thinker, a salesperson, a mentor, a booster, and a boss."

Financial challenges appear to be a primary frustration for deans. When Wayne Drummond, FAIA, began as an architecture school administrator in a public university in the late 1970s, fund-raising consumed only about eight to 10 percent of his time. Today, he says, he spends 35 to 40 percent of his time raising money as dean of the University of Nebraska College of Architecture. "The cost to run a school is radically different than when we were using bum wad and parallel bars," says Drummond. "We've moved from state supported to state assisted. State support is falling fairly rapidly for many colleges, and we're expected to generate that on our own."

With a slumping economy, numerous state budgets throughout the United States are running in the red. State legislatures are pulling the purse strings tighter for public colleges and universities, but education expenditures continue to increase as basic costs and technology demands rise. In general, public higher education is increasingly moving closer to a private school funding model, putting pressure on deans to raise funds to augment school budgets. No matter how fantastic an architect, scholar, or visionary a public university architecture school dean may be, now more than ever, he or she has to hustle for dollars.

City College dean George Ranalli (left) has weathered the fund-raising storm.

Leadership and Citizenship

In the 12 years that Robert Greenstreet has been dean of the University of Wisconsin-Milwaukee School of Architecture and Urban Planning, total donations to the school have grown from $20,000 to nearly $500,000 annually, and alumni donations increased by more than 1,100 percent. "We create our edge of excellence through fund-raising," says Greenstreet, who spends 40 to 50 percent of his time fund-raising, as well as chairing Milwaukee's city-planning commission.

"The development of alternative sources of funding is a critical measure of a dean's success in times of severe economic challenge," says Marvin Malecha, FAIA, dean of the North Carolina State University School of Architecture since 1994. His school's annual fund-raising target has increased from $125,000 when he began to $465,000 today. Bob Mugerauer, dean of the University of Washington College of Architecture and Urban Planning since 2000, says fund-raising consumed 15 percent of his time when he began, takes about one third of his time today, and will likely demand at least half of his time when the school begins a capital campaign.

At the City College of the City University of New York, George Ranalli, dean since 1999 of the School of Architecture, Urban Design and Landscape Architecture, has had multiple hurdles—tight city and state budgets and competition with Columbia University and Cooper Union—for attention and resources. "We have an outreach organization, the City College Architectural Center (CCAC)," he says, "that has existed for more than two decades but was barely functioning financially when I arrived." Under a new director, the CCAC recently procured grants from the Rockefeller Brothers Fund and the National Endowment for the Arts totaling almost $500,000.

A complex job, everything to everyone

Although he believes the dean's job has fundamentally remained the same, John Meunier, AIA, who this summer ended a 15-year tenure as dean of the Arizona State University School of Architecture and 27 total years as an administrator, acknowledged a dean's current challenges. "Affirmative action and faculty governance eroded the dean as *pater familias*. The erosion of tax dollars in support of higher education has made deans more entrepreneurial. Information technology is challenging the norms of educational interaction and the autonomy of institutions. And lifelong learning has introduced an expanded student body with modified needs and expectations."

In addition to fund-raising needs, deans are now dealing with a larger-than-

ever bureaucracy of constituencies and an accompanying decrease in decision-making latitude. Gone are the days of deans with broad powers who remained at the helm until retirement. "Now we are, in many ways, middle management," says Roger Schluntz, FAIA, dean of the University of New Mexico School of Architecture and Planning since 1999 and a former dean at the University of Miami. "Deans have to get consensus from below and approval from above and have the means to scramble for money to do anything. It's not all bad, but it's different. It used to be interesting and challenging. Now it's getting to be repetitive, argumentative, and tedious."

So why would anyone want to lead an architecture school today? "People have asked me why I am doing this at all," says Eric Owen Moss, FAIA, a well-known practicing architect who began as director at the Southern California Institute of Architecture earlier this year. "That's a fair question, and maybe, in the end, the answer is 'I don't know.' But because I don't know, I am willing to go into it for a few years and try to see whether there are lessons learned that can be passed along to students."
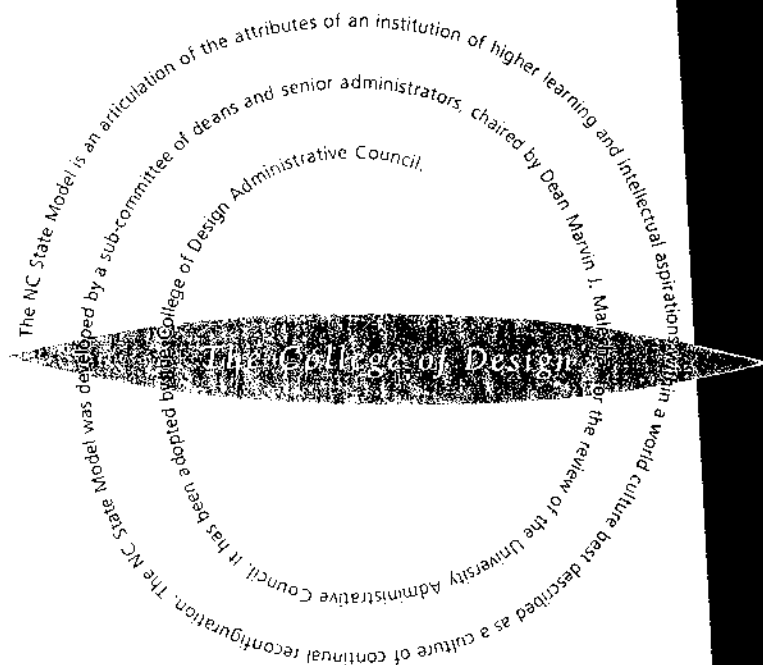
Deans switch schools

Increasing financial pressure is just one reason why a number of deans have moved from school to school in recent years. "Deans are switching positions to move to situations of greater resources," says Malecha. "There is a pecking order among schools related to opportunity, prestige, and influence."

According to survey information provided by the schools to RECORD, 19 schools of architecture—approximately one in six accredited schools in the United States—have selected new deans or equivalent directors since January 2001. In addition, the following schools are currently in the midst of a dean selection process: State University of New York at Buffalo, Arizona State, Syracuse University, and California State Polytechnic University at San Luis Obispo. Linda Sanders, FAIA, will step down as dean at California State Polytechnic University at Pomona at the end of this month, and Bernard Tschumi, FAIA, will end a 15-year tenure as dean—unusually long for a dean today—at Columbia University in spring 2003.

Greenstreet, who estimates that a dean's average tenure is 4.5 years, says, "There is greater pressure from upper-level administrators—who also have very short terms—and greater short-term demands for deans. We all have limited shelf lives."

RECORD interviewed a number of architecture school deans to gain insight on the challenges they face. Visit the "Interviews" section at www.archrecord.com for extended excerpts and their responses.

Leadership and Growth

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model

THE NC STATE

The NC State Model is an articulation of the attributes of an institution of higher learning and intellectual aspirations within a world culture best described as a culture of continual reconfiguration. The NC State Model was developed by a sub-committee of deans and senior administrators, chaired by Dean Marvin J. Malecha for the review of the University Administrative Council. It has been adopted by the College of Design Administrative Council.

The College of Design

the
nc state **model**

THE **C**ollege of

design

① AN ENABLING COMMUNITY

○ VALUING INDIVIDUALS

Students, staff, faculty, and administrators are valued members of the college community and considered fundamental to its future development. Individual achievement is characterized by specified outcomes and incentive planning that both values and rewards individual performance.

② A FREE MIX OF INTERESTS

○ FOSTERING PARTNERSHIPS

There is a free mix of academic, community, industry, and government interests on campus. Individual scholarship and the fluidity of multi-disciplinary and cross-functional activities characterized key relationships fostering partnerships between the college community and industry, government and other interest groups.

③ FUNCTIONAL CAPABILITY

○ PROBLEM FOCUSED

The college, with the perspective of scholarship, is problem focused, responsive to customer-client needs, and able to anticipate the issues of industry, society, and government. These issues are addressed through the ability of the college to form multi-disciplinary/cross-functional thematic program groupings as needed.

④ NO FIREWALLS ON CAMPUS

THE INTEGRATION OF TEACHING, RESEARCH, CREATIVE ACTIVITY AND EXTENSION

The college facilities the integration of teaching, research, creative activity, and extension among faculty and staff across disciplinary boundaries. The elimination of firewalls between people and disciplines, and the recognition of the diversity and value of responsibilities people assume, promotes the integration and transference of knowledge within the college and to the complex community to be served.

AN AGILE ADMINISTRATIVE ENVIRONMENT (5)

NURTURING INTERNAL INNOVATION AND EXTERNAL PARTNERSHIPS

The college actively fosters intellectual innovation, entrepreneurship, and non-traditional approaches in all of its mission activities. Therefore, it requires an administrative environment that balances flexibility, productivity, and accountability. The college is user-friendly in serving the needs of its own students, faculty and staff, and those of its many external partners. All aspects of the college internal infrastructure ˆ such as policies, business services, facilities planning/management, financing, and budget administration ˆ are designed to support dynamic programs. These programs are intended to induce creative solutions, avoid the wasteful use of time, and allow intelligent risk taking.

AN ENVIRONMENT WHERE TEACHING AND LEARNING FLOURISH (6)

RELATING ACADEMIC AND INDIVIDUAL LEARNING PATHS

The college community is committed to providing students innovative and individualized educational experiences that join academic and life-long learning aspirations. Within this environment the leadership practices of individuals are nurtured to promote the understanding of contemporary political, economic, and social skills. Teaching and nourish will flourish in an environment that easily adapts to the changing needs of society.
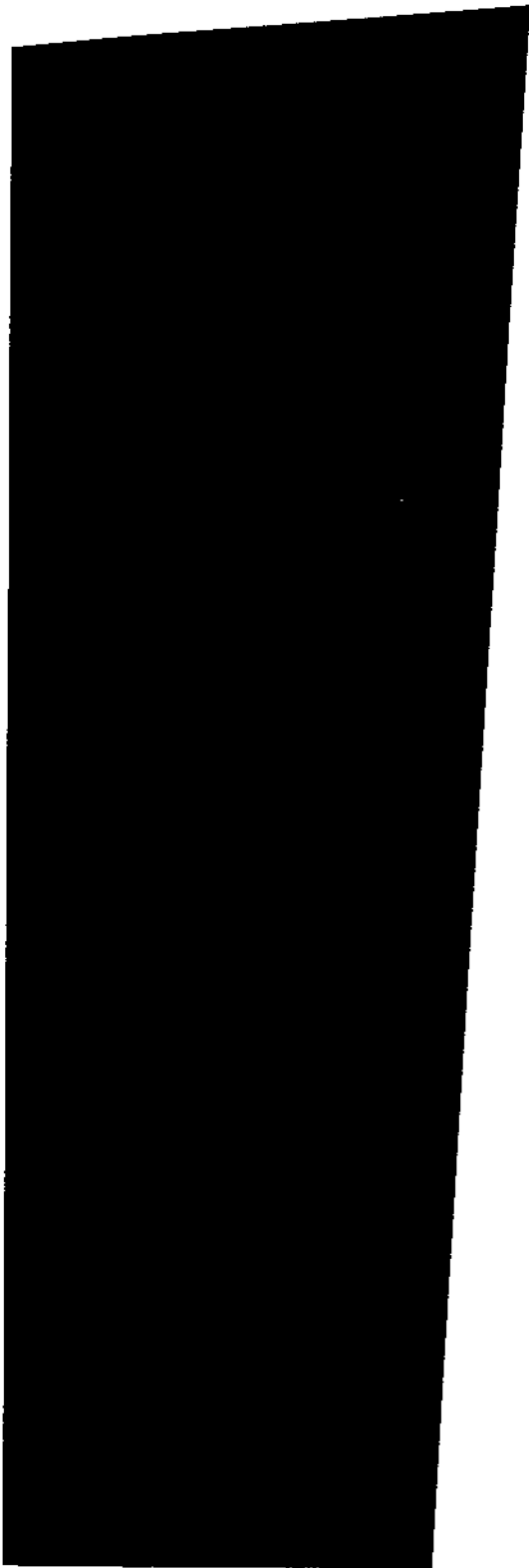
AN ENVIRONMENT OF RECONFIGURATION (7)

RELATING THE NATURE OF WORK TO THE NATURE OF EDUCATION

The nature of the manner by which work is accomplished in society has become increasingly dependent on continually reconfiguring social networks. Such continual reconfiguration must be reflected in the continual reconfiguration of the organization and reconfiguration of knowledge. The era in world society dependent on fixed duties and responsibilities has come to a close. Fixed configuration within the college is an equivalent liability. This is an environment that places value on diverse intellectual positions related to world cultural traditions.

COLLEGE OF DESIGN

N.C. STATE UNIVERSITY

RALEIGH, NC

Campus Planning and Design
A Proposal for the Involvement of the School of Design students and faculty
in collaboration with
the Office of the Campus Architect and University Facilities Management.

Preface

This proposal has been prepared in response to requests from various constituencies, including members of the NC State University Board of Trustees, for the involvement of the School of Design in the development of the design of the campus. It has been prepared with the intention to foster collaboration among the campus community as well as to instigate an interdisciplinary academic program dedicated to campus design.

Introduction

The design of a University campus is directly related to the learning experience of students and the environment for the scholarship of faculty. Thomas Jefferson understood this integral relationship as he planned the University of Virginia. "We wish to establish in the upper country, and more centrally for the State, an University on a plan so broad and liberal and modern, as to be worth patronizing with the public support. The first step is to obtain a good plan: that is, a judicious selection of the Sciences..." [1] Jefferson went on to call the result an "Academical Village". He foresaw the importance of the connection between the quality of the facilities, the learning experience of the students, and the ability of the University to attract the very best faculty.

> The great object of our aim from the beginning, has been to make the establishment the most eminent in the United States, in order to draw to it the youth of every state, but especially of the south and west. We have proposed, therefore, to call to it characters of the first order science from Europe, as well as our own country; and, not only by the salaries and the comforts of their situation, but by the distinguished scale of its structure and preparation, and the promise of future eminence which these would hold up, to induce them to commit their reputation to its future fortunes. had we built a barn for a college, and log huts for accommodations, should we ever have had the assurance to propose to an European professor of that character to come to it?...to stop where we are is to abandon our high hopes, and become suitors to Yale and Harvard and secondary characters. [2]

Our challenges today on the NC State campus may be defined with similar terms. The physical environment of the campus, the learning experience of students, and the work of faculty and staff are vitally interconnected.

The proposal that follows structures a process that brings together students and faculty from the School of Design, with members of the University Architect's Office, and members of Campus Facilities Planning. It is a proposal that is founded on a curricular program and reinforced by the establishment of a professional peer review process.

A Professional Concentration In Campus Planning

The opportunities presented by this proposal to the School of Design include option to establish a concentration in campus design. This option, an enhancement of our current academic programs, could be offered to students of architecture and landscape architecture. This strategy provides an academic underpinning for the effort to improve our campus environment. A concentration in campus planning would be a significant addition to the credentials of a student graduating from our program. The volume of campus work, and the tendency of industry to create campus-like environments, provides the inspiration to prepare individuals who are able to design or add to such environments.

The Joint Studio
The joint studio brings together students of Architecture and Landscape Architecture each semester to collaborate in teams on projects related to the campus. Students from Horticulture and Civil Engineering will also be invited to participate on specific projects. The Joint Studio will be conducted every semester, alternating between the Centennial Campus and the precincts of the original campus.

This will require the attention of two faculty members from the School. One position will represent the discipline of architecture, the other the discipline of Landscape Architecture.

The premise of this proposal is that we must make this offering available to students in addition to studio course offerings already available as a part of the professional curriculum. Otherwise, a regular studio offering on the subject of the campus cannot be assured.

Graduate Student Assistance
Two graduate students would be appointed, one from architecture, the other from Landscape Architecture, to work in detail on specific proposals that grow from the work of the studio. Graduate students would be given the opportunity to more fully explore ideas and work along with the instructors to develop project ideas for the studios.

Campus Collaboration

The success of this proposal is dependent on the formation of a close working relationship with all campus organizations with responsibility for the physical environment. Therefore, a plan without a structure for such a relationship would be incomplete. This proposal suggests two channels for communication. The first, is an appointment for the faculty member most seriously involved with the joint studio to hold an appointment that essentially brings him/her into the campus planning and facilities organization. The second brings distinguished practitioners onto campus as resources to the studio and as consultants to the University.

Professor-Practicum Appointment
The professor-practicum appointment is proposed to establish a direct operational relationship between the work of the design studio and the University architect's Office. This appointment would provide release time for a faculty member to participate in University planning meetings, assist with architect selection decisions, and the opportunity to identify potential projects.

Peer Review Process

A regular review process by an invited panel of distinguished peers would introduce a level of expectation and challenge that would bring considerable improvement in the design of the campus. This panel would be chaired by the faculty member in the practicum position, and it would include a distinguished group of practitioners who would meet once a semester. Each semester the panel would review campus projects underway, provide consultation regarding the campus plans, and participate with the work of the studio.

System Collaboration

The lessons derived from the experience of a campus design studio have great transferability to other academic environments. Only one other campus in the University of North Carolina system has an architecture program (UNC Charlotte), and only one other (NC A&T) has a landscape architecture program. The School of Design is in a unique position to provide assistance and collaboration to the other thirteen campuses with no programs. The School of Design at NC State is the only comprehensive design program in the system. This role is entirely consistent with efforts already underway in the School to develop extension services.

Professor-Practicum System Collaboration

This appointment is proposed to provide campus design services to the entire University of North Carolina System. This appointment would provide release time for a faculty member to provide consultation, and organize potential studio projects on behalf of interested partners.

Budget

This budget represents the annual cost of the campus design studio as it has been proposed. It is proposed as a new effort within the School to prevent conflicts with other required studio and seminar courses.

Faculty, Student Participation

Studio Instruction (Joint Studio)	**29,000.00**
Architecture Professor	.33 release time/academic year
Landscape Architecture Professor	.33 release time/academic year
Graduate Student Assistance	**12,000.00**
Architecture Graduate Student (15 hrs/wk)	6,000.00/academic year
Landscape Architecture Graduate Student (15 hrs/wk)	6,000.00/academic year
Professor-Practicum Appointment	**14,500.00**
Professor Serving in Advisory/Peer Review Role	.33 release time/academic year
Professor-Practicum System Collaboration Appointment	**14,500.00**
Professor Serving in Advisory/Peer Assistance Role to the UNC System	.33 release time/academic year

Peer Review Visiting Committee

Peer Review Committee Support   **15,000**
This represents the annual cost of reimbursement for travel to the campus by a peer review committee of three individuals to visit the campus once each semester and an honorarium for services. approximately $2,500/individual/semester

Equipment

Computer Hardware and Related Software   **5,000**
This represents a dedicated terminal for Campus related projects.

Visualization Equipment   **6,000**
This represents time on the Vision Dome with related staff support.
20 hrs/Semester @ $150.00/hr

Operating

Studio Support   **5,000**
This represents reimbursement for the student expenses incurred working on campus projects including; photography, model building materials, drawing materials, and related presentation materials.
$2,500/Semester

Printing and Publication   **4,000**
This represents the issuance of a publication of the studio efforts following each semester. Such a publication would be prepared in the format of a series of guideline publications that would give direction to the future efforts of the University.
$2,000/Semester

Professor-Practicum System Collaboration Support   **5,000**
This represents an operating budget for travel and office expenses to support the services offered to campuses across the state.
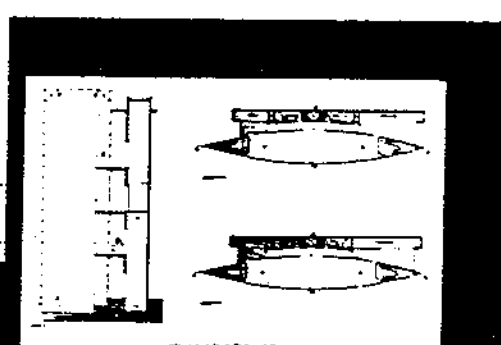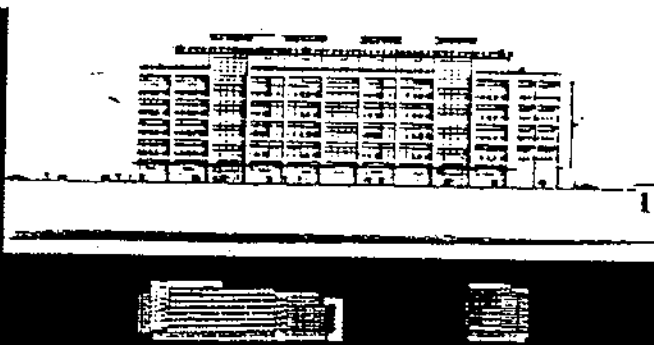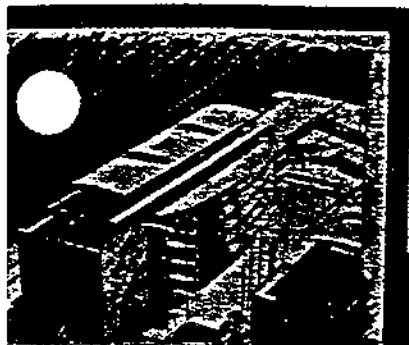
Total Annual Cost   **110,000**

Closing

This proposal has been written as a comprehensive, interdisciplinary approach to campus planning and design. It builds on the design studio environment, already well established at this University, and the solid practice experience of the faculty of the School of Design. Further, it is proposed as a program that would become a model among design Schools world-wide. The opportunity to build a program that would bring great benefit to the University while also enhancing the academic experience of the School is an exciting prospect.

Notes

1. Thomas Jefferson's Academical Village, The Creation of An Architectural Masterpiece, Richard Guy Wilson, Editor, Bayly Art Museum of the University of Virginia, the University Press of Virginia, Charlottesville and London, 1993, page 11, note 19, Jefferson to Joseph Priestly, January 18, 1800, Honeywell, Appendix C, 215-16

2. Thomas Jefferson's Academical Village, The Creation of An Architectural Masterpiece, Richard Guy Wilson, Editor, Bayly Art Museum of the University of Virginia, the University Press of Virginia, Charlottesville and London, 1993, page 43, note 87, Jefferson to Joseph C. Cabell, December, December 28, 1822, Jefferson Papers, UVA

CAMPUS DESIGN SOLUTIONS: *BUILDING FOR CHANGE ON CAMPUS AND OFF*

Campus Design Solutions (CDS) focuses on improving the physical environment of campuses in the University of Wisconsin system and the neighborhoods of which they are a part. Beginning at UWM, this Milwaukee Idea initiative will bring together groups from the university and community to explore design issues of mutual concern.

For example, Campus Design Solutions has already developed a prototype for low-cost, energy efficient housing for city neighborhoods called The Milwaukee Idea House. CDS may seek answers to parking and transportation problems or look at how to better connect the campus and the surrounding neighborhood through shared spaces such as gateways and greenbelts. It may also address how to create a sense of identity among campus buildings–many built decades or even centuries apart.

Whatever the project, Campus Design Solutions will be a recognizable, positive force for physical change, on campus and in the community.

For more about Campus Design Solutions...
Bob Greenstreet, 414-229-4016
bobg@uwm.edu
Architecture and Urban Planning
University of Wisconsin–Milwaukee
P.O. Box 413
Milwaukee, WI 53201

THE MILWAUKEE IDEA

The Milwaukee Idea is UWM's leading edge initiative to forge strong, vital community–university partnerships that enhance the quality of life for all.

At the very heart of The Milwaukee Idea is a commitment to collaborative effort, advancement of diversity and the creation of fundamental change for the community and the campus.

The impact of The Milwaukee Idea is far reaching: it makes all of us who live, learn and work here partners in a powerful effort

to meet the educational, economic and environmental challenges that lie ahead for metropolitan Milwaukee.

For more about The Milwaukee Idea...
The Milwaukee Idea
University of Wisconsin–Milwaukee
P.O. Box 413
Milwaukee, WI 53201
www.uwm.edu/MilwaukeeIdea
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UNIVERSITY of WISCONSIN
MILWAUKEE

UNIVERSITY of WISCONSIN
UWMILWAUKEE
School of Architecture
& Urban Planning

SARUP · CENTER OF EXCELLENCE

Dean's Newsletter
Fall 2000

Welcome back! To those of you returning from your vacations and summer jobs, it's good to see you back, and for those of you who are joining us for your first year in the school—don't worry, the big wall is supposed to be painted like a cow (you'll get used to us!).

Last year was a busy one in the program as we celebrated our 30th Anniversary and was, coincidentally, one of our strongest design years ever. The quality of student work from sophomore studios to thesis was remarkable, and the placement of students upon graduation from both departments was extraordinarily fast. Before you hit the books, boards and screens this year, here are a few odds and ends that might interest you.

The New Resource Center

Have you dropped by the Resource Room lately? Lots of books, periodicals, materials and slides and a great place to study.

Mary Mahoney, who runs the place, is working hard to build the collection, so please drop by and see the latest additions.

Computers

It's always a struggle to maintain a good supply of computers and associated output devices available to students at all times, and I'm glad to say the 24-hour laboratory experiment last year was a success, so we will be able to continue it. In the labs, you will notice 25 shiny new machines. It is our hope to start networking the studios this year and, over the next few years, increase the number of output devices to better meet the needs of our students.

Building Improvements

Flushed with our success in converting both 170 and 144 to more usable spaces, we are continuing to improve the technological capabilities of our teaching spaces. This semester we are focusing on 170 (the projector, again!) and 110, which has never really worked that well for projected images.

Scholarships, Scholarships, Scholarships

Last year was a bumper year for scholarships (over 70 in total) with the added bonus of increasing all awards to a minimum of $1,000. The program will be run again for the 2001/2002 academic year, although the selection process will not take place until next fall, which will work better with overseas program planning and financial aid. If you have any questions about eligibility, please see Joan or Tammy in the Advising Office.

New Publications

Look out for two snappy new monographs in the Third Coast Design Centre.

- The first is called *Beyond SARUP* and contains a glorious compendium of projects, many of them world-class buildings, designed by our graduates. Published to celebrate our 30th Anniversary, *Beyond SARUP* demonstrates the remarkable breadth and quality of design work completed by our alumni.

- Also available later this fall—Professors Grace La and Phoebe Crisman have assembled a fine collection of student designs culled from last year's extraordinary design bonanza. The monograph, entitled *Calibrations* will also be available for purchase from the Third Coast.

Honor Code

Now in its seventh year, the *Honor Code* represents an important benchmark for the professional behavior of everyone in the School. It's updated each year, so please take the time to read it. Remember, you have rights and others have rights too.

Student Exhibition

Check out the best work of last year by visiting STUDENT AWARDS EXHIBITION in the Gallery. Some great work accompanied this year for the first time by models from students throughout the program. The Awards Program, supported this year by the Zimmerman Design Group, will be held at 5:00 on Tuesday, September 19th, when last year's winners will be honored and awarded their prizes.

Getting Involved

Excellent student organizations—APA STUDENT CHAPTER, AIAS, MENTARCH, and HABITAT FOR HUMANITY—mean plenty of activities throughout the year. Please take the time to find out what they're up to and join in—there are some excellent programs planned that will enrich your academic experience enormously. If something's missing, in your opinion, let us know and we'll see what we can do.

Have a great year!

Bob Greenstreet
Dean

Tea & Bikkies returns!

1:00 pm in the Commons
22nd September

Legal Pitfalls of Administration
Bob Greenstreet

Legal issues have become increasingly problematic for the academic administrator in the past few years and are deserving of a handbook all of their own. The following merely suggests the range of sensitive areas that should become part of the new administrator's awareness radar. They include the topics discussed at the New Administrator's Workshop, the list of contents of the Law of Higher Education, an invaluable addition to the bookshelf, and some useful scenarios used at the University of Wisconsin's training sessions for administrators.

Relevant Statutes: Federal and State

      Public Records Law
      Open Meeting Law
      Family Educational Rights and Privacy Act
      'Sunshine' Laws
      Lobbying Restrictions
      Copyright Law (infringement and fair use)
      Records Retention Policy (archives)

Personnel Issues

      Tenure and Promotion
      Evaluation and Merit Procedures (documentation)
      Sick Leave and Family Leave Act
            sexual harassment
            disability
            religion
            age
            national origin
      Affirmative Action
      I-9
      Unions and Collective Bargaining
      Contractual Issues
      Liability within Scope of Contract
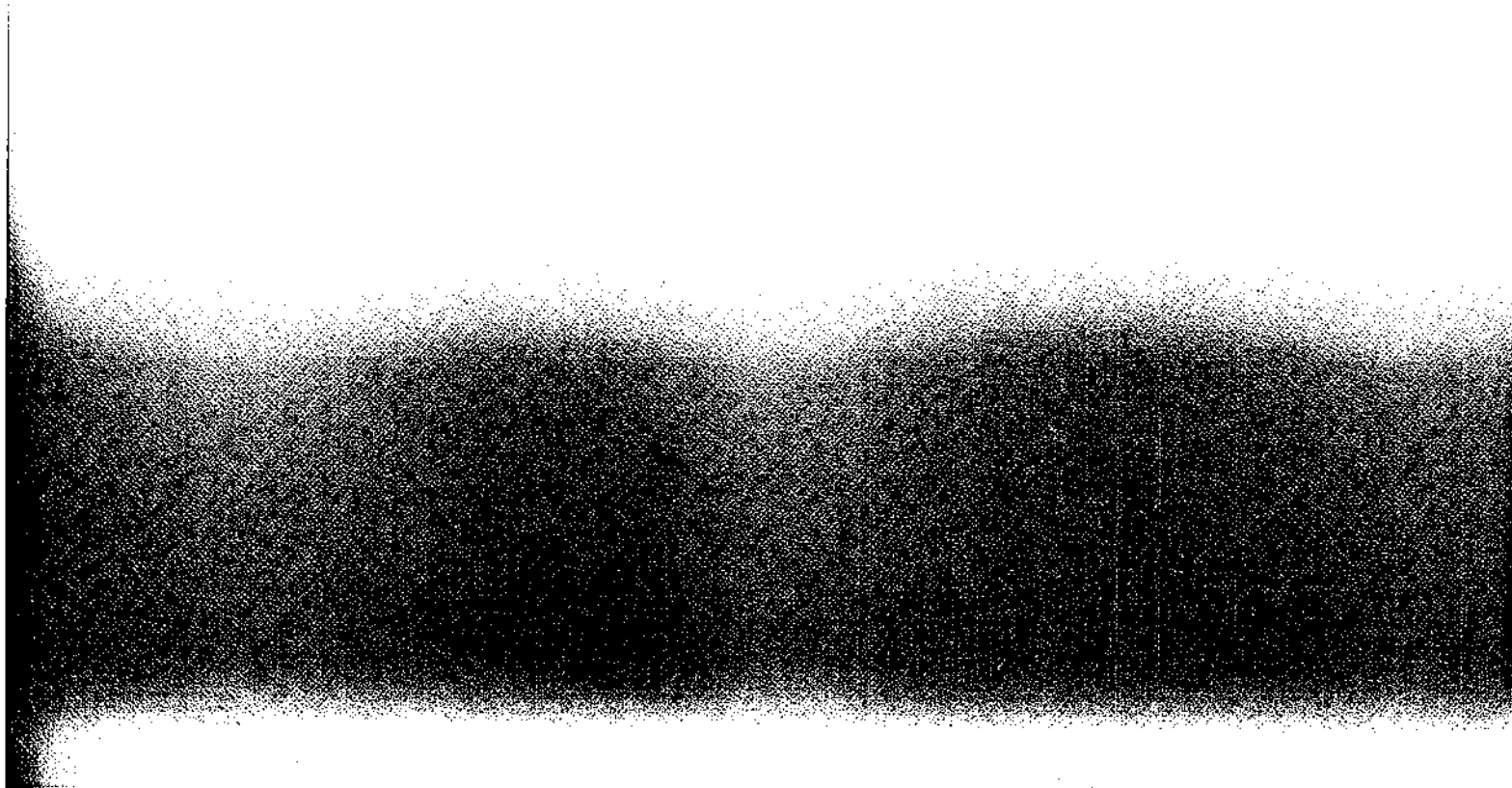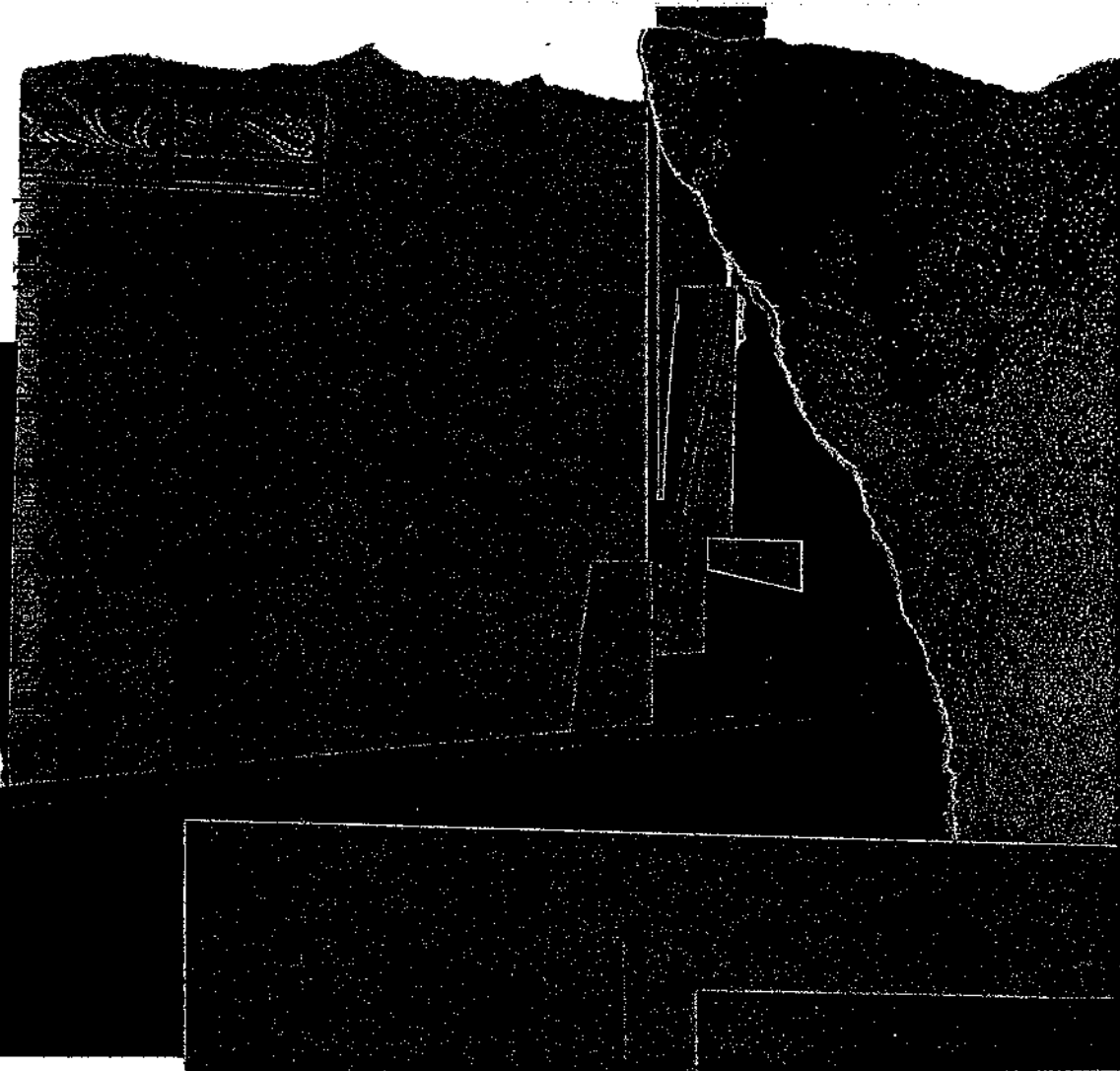   Misconduct: faculty
      Misconduct: student

The Academic Administrator and the Law

What Every Dean and Department Chair Needs to Know

The Academic Administrator and the Law

What Every Dean and Department Chair Needs to Know

J. Douglas Toma and Richard L. Palm

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Adrianna J. Kezar, Series Editor

The deans and chairs who direct academic programs at universities, colleges, and community colleges frequently must address issues that raise legal questions. It is difficult to name a program or a service in higher education that does not intersect with the law in some way. The academic administrator must develop the skills needed to recognize the legal issues that invariably shape the policies and decisions made in a school or department. And deans and chairs must understand the resources available to assist them in resolving these issues, particularly when to call for legal advice.

What Legal Issues Might Arise for Deans and Chairs?

A variety of legal issues are likely to arise in university and college schools and departments. The most common ones involve contract and tort matters for staff and students, constitutional or statutory due process and equal protection, free expression, and external regulation in areas such as immigration and copyrights. The sources of the law that govern these issues are also numerous, ranging from the U.S. Constitution and the constitutions of the states, to state and federal legislation and administrative rule making, to judicial decisions made at all levels, to institutional rules and regulations, to institutional custom and practice.

Does the Legal Community Defer to Academic Decision Making?

Common across all types of legal issues, sources of law, and institutions is a traditional legislative and judicial deference to academic decision making. Though this traditional deference has eroded over time, it remains pronounced across higher education. But despite the considerable autonomy the law has customarily afforded higher education, it treats public and private institutions differently, and it applies different rules to religious and secular universities and colleges. In particular, public institutions are subject to constitutional provisions.

What Are the Roles of Institutional Counsel and Academic Deans and Chairs?

Academic administrators must not only know what the law is, but also understand the roles of counsel and the procedural contexts within which lawyers work. Deans and chairs frequently work with attorneys, both those retained by the insti-

tion in disciplinary matters is due process: How much notice and how much process is a student entitled to in a given situation?

Similarly, although courts continue to afford broad discretion to academic administrators in the area of admissions, institutions may be held in violation of the antidiscrimination laws and Equal Protection Clause of the U.S. Constitution when they act in a discriminatory manner, including in the emerging area of disability. Immigration law is also a common issue in admissions. Deans and chairs must also be aware of legislation that governs the confidentiality of students' records, as well as constitutional provisions that protect the right of students to organize and express themselves. Finally, negligence-based institutional liability involving students is a critical concern for academic administrators.

Several state and federal regulations have a substantial effect on administrative decisions for schools and departments, particularly those addressing intellectual property, open meetings, family and medical leave, funded research, and taxation. Similarly, schools and departments are typically heavily involved in accreditation coordinated by private associations that serve a quasi-regulatory function.

The Academic Administrator and the Law includes an extensive list of references that provide more detailed analysis of particular topics. In no way is the report intended to be a substitute for sound legal advice, nor can it answer all legal questions a dean or chair might have. It does provide the background needed to better understand the complex relationships between the law and the administration of academic services and programs in postsecondary education.

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tution and those hired in a personal capacity. These lawyers perform a variety of functions, and they owe their loyalty to different institutional clients at different times. One factor is relatively constant, however: Information exchanged between counsel and client is privileged and cannot be divulged.

Also of interest to academic administrators are the actual process of litigation—from complaint and answer, to discovery and trial (or settlement), to decision and remedy—and the issues of authority and delegation that determine whether individuals or institutions will be held liable.

What Issues Do Academic Administrators Face Daily?
The essence of the relationship between employers and employees is the employment contract, whether within the context of one-on-one bargaining between two parties or as part of a broader collective bargaining agreement. Closely related to employment contracts are decisions about hiring and promotion, each of which raises issues of equal protection and due process, particularly given constitutional provisions and statutory protections under the antidiscrimination laws. Moreover, these same issues commonly arise in matters of reappointment, tenure, promotion, and the dismissal and retirement of tenured faculty and staff. Affirmative action frequently plays a role in the employment relationship.

Academic administrators must keep in mind several very practical concerns in hiring and promoting faculty and staff: avoiding inappropriate questions during the interview, respecting individual privacy rights, and following immigration laws. Deans and chairs must also understand and respect faculty members' right of academic freedom while still evaluating faculty performance, taking action when it is insufficient, and investigating and perhaps punishing misconduct by employees, such as sexual harassment.

Courts increasingly decide cases involving students using implied contract theories, having moved from the traditional doctrine of in loco parentis. Institutions are no longer necessarily assumed to have a parental-type relationship with students. Students are viewed as consumers with reasonable expectations of institutions for programs and services. In addition, although the traditional deference to academic decision making persists, courts are ever more willing to intervene in campus disciplinary actions involving both academic concerns and disciplinary matters. Typically, the key ques-

Leadership and Citizenship

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The Academic Administrator and the Law

The Diversity Responsibility

Teaching is unquestionably both a science and an art.
However, addressing multiple perspectives requires
awareness about complex issues and solid skills for interacting
across differences. My own multiple identities and roles in
higher education continue to evolve. I am an objective social
scientist who also brings a multiracial perspective to the
classroom. I have transformed feelings that were once rooted
in anxiety into creativity and productivity. My visibility and
minority status are inseperable, ever present, and always
apparent to me and to my colleagues. Negotiating for power
among different belief systems is not a new experience for me
or other minority instructors and scholars. I will continue to
critically evaluate current research and challenge it. I can only
hope the discussion of diversity in my field is undertaken
prudently and with due respect for the issues at stake.
Teaching Diversity, Nina S. Roberts

Workshop Agenda:
Intellectual / Racial / Gender / Cultural / Social / Economic Diversity
Building a Diverse Team
Valuing Ideas

Relevant Articles:
Eight Point Program of Eugene Clyde Brooks
NC State University
Leadership for Diversity
Janet White
Diversity Plan
Marvin J. Malecha
Prioritizing Diversity
Chuck Salter
When an Administrator Receives a Complaint of Harassment
NC State University
Diversity in Design Program 2002
NC State University, College of Design
Guidelines for Implementing Faculty Senate Resolution on Cultural and Ethnic Diversity
The University of Washington

Eight-Point Program of Eugene Clyde Brooks
(to address Student government and provide a guide for the future)
Fifth President - 1923-1934

1.   To be able to disagree without resorting to personal abuse.

2.   To be free to criticize but without becoming libelous or mailicious and striking at character.

3.   To be humorous, but without being coarse and vulgar.

4.   To point out defects without arrayingh class against class.

5.   To condemn wrong doing, but to base condemnation on truth and not on mere rumor.

6.   To use public funds legally, and to be conscious of a public duty in the expenditure of these funds.

7.   To place all business with the public on a sound business bases that will square with good business ethics.

8.   To make honor grow from an inward desire to be honorable, for everyone has the possibility of becoming what he thinks he is, and most people think they are honorable.

LEADERSHIP for DIVERSITY

Janet R. White, AIA, Director
Hammons School of Architecture, Drury College

New administrators have a responsibility and an opportunity to lead their schools with more diversity. As a result of the 1993 Validation Conference, the National Architectural Accrediting Board requested visiting teams to put more emphasis on:

> "Program Diversity: The program's unique characteristics, mission, or focus and how it contributes to and enriches diversity in architectural education.
>
> Gender, Racial and Ethnic Diversity: In addition to basic equal opportunity and affirmative-action policies and procedures, the program should present ways in which the curriculum, lecture series, etc., contribute to the racial, ethnic, and gender diversity of the program"

Neither outside mandate nor internal policy will satisfy diversity for architectural education. Our best effectiveness will be in establishing programs that promote and nourish our cultural alertness and in organizing faculty and students into a higher gear of mobility and communication to seek out diversity. New administrators should take the early opportunity to broaden their programs to include multicultural education, to take advantage of their administrative capacity to identify, organize and promote diversity, and to get their faculty and students out and to get them out more often.

With many schools operating on limited and reduced budgets, administrators will need to pursue creative ways of implementing and accelerating diversity. A selection of ideas are presented:

1. Adjunct faculty: Rethink what might have been used as selection criteria (such as only cost and convenience) for these positions and consciously seek out diversity to fill these important teaching roles. Enlist adjuncts to participate in other parts of your program besides the classroom. They have a lot of diversity to offer.

2. Ad hoc Committee Members: Somewhere in the structure of your school there are committees. Take advantage of these administrative wings and include members of the profession, allied disciplines in the community, other faculty in the university, alumni, etc., to help in the decisions and operations of your schools as ad hoc committee members. They are a large pool of diversity to draw from.

3. Community Collaboration: An easily accessible resource for interdisciplinary, cross disciplinary and multi-disciplinary learning in architectural education is available just outside the walls of the institution. It is a shorter distance for bringing in diversity to get to the farther distance to where you are going.

4. Exhibitions: Three important addenda to consider before contracting for "traditional" exhibits would be to set up a network of communication with nearby architecture schools to determine if upcoming exhibits could be "time shared" with minimal shipping costs between schools, or in the alternative, coordinating student groups to travel to see them (perhaps subsidizing gasoline expenses). Also, do not be hesitant to negotiate with sponsors of the exhibits to reduce or waive costs. An enormous amount of multiculturalism can be realized in exhibit work.

5. Field trips: For spontaneous weekend student warriors, organized class expeditions or independent study road trips, faculty and students can experience a greater diversity with greater frequency by attending other activities that include diversity in the programs and the people involved. Again, gasoline subsidy, if available, is a small price for the enrichment it provides individuals who in turn bring back broader viewpoints and increased motivation to the school.

6. Professional Collaboration: There is diversity in the practice community that includes both people and programs. More schools need to tap into this resource more often. Begin with brown bag lunches at the architects' offices. Mobilize the students to organize this one. Be more aggressive with your practitioner colleagues. Results of this fellowship diversity are astounding and lasting.

7. Speakers: Seek out less stardom and more diversity in formal lecture series and selected speakers. Promote topics that venture into diversity issues themselves. Network with neighboring institutions to piggy-back their speakers and once again encourage a mobile attitude and assist your population to venture out and to bring diversity back.

8. Symposia: With or without formal scripts and grants, you cannot have too many forums to discuss the broader issues of architecture and architectural education that offer diversity in socio-political, economic and multicultural terms. Make it a priority for your school.

9. Visiting Positions: Again, restrain stargazing postures for selecting visitors. Consider shorter periods (half semesters in lieu of one semester) to contract with more people to bring in more diversity from these positions. If longer term contracts are necessary, allow more students to have the opportunity to take their courses and avoid isolating the visitors for the more advanced students. It is never too early to begin exposing students to diversity. Rites of passage are antiquated norms for learning with and about diversity.

10. Creating an Environment that fosters Diversity: It is easier to create an environment to entice diversity into a program than it is to maintain that environment to keep diversity there. An "environment of comfort" is needed for both the people who represent diversity and the people who will be changing to allow the diversity to co-exist with them. Approach diversity beyond the superficial call of procuring something different and seriously integrate the people and the programs into the culture so that they will have broader opportunities to be more effective in time. This will take open and more frequent communication and dialogue; although overused terms, they are underutilized practices. Diversity begets diversity; and they are quintessential for that to happen.

May 19, 1998

School of Design
Diversity Plan
Prepared by Marvin J. Malecha, FAIA, Dean, NC State, School of Design

A Commitment to Diversity

Diversity is a concept central to the study of design. Ideas can only evolve in an environment open to inspiration from many sources. The design disciplines are vital to the future of humankind. This connection between the well-being of humanity and design-thinking demands that varying intellectual and cultural traditions, racial and gender perspectives, and individual talents be readily accepted, as essential educational experiences in design education. While the representation of students, faculty, and staff by a diverse population is not the only means to accomplish this curricular objective, it is certainly extremely important. Therefore, the School of Design is committed to a comprehensive plan for diversity is founded on well established principles.

A Commitment to Excellence:
The School of Design is committed to excellence judged by merits that include academic achievement, demonstrated creative ability, intellectual exploration, and the willingness to seek new ideas.

A Passion for Design:
The School of Design is seeking individuals who are excited about the study of design, passionate enough to commit considerable energy to its pursuit, and willing to engage in open discussion and debate on the results of their efforts.

A Commitment to the Well-Being of Humanity:
The School of Design is seeking individuals who are willing to make a commitment to the well-being of humanity. The School of Design is committed to curricular experiences that are relevant to the issues before all of society.

An Appreciation for Varying Ideas and Perspectives:
The School of Design considers diversity a concept that must be measured as the varying pursuit of ideas and perspectives that may only emerge when a critical mass of representatives of such ideas and perspectives are present within the School. The School of Design is seeking individuals who understand that an environment of diversity begins with tolerance.

and,

A Commitment to Active Recruitment:
The School of Design will seek out, through active recruitment, a diverse population of talented and promising students.

A Commitment to Retention:
The School will ensure a tolerant and supportive environment for all students to assure their continuation and successful graduation. A special attempt to assess the performance of diversity students will be conducted.

It is apparent that, within the School of Design, diversity is directly related to the quality of the learning experience. Therefore, the diversity imperative relates to the nurturing of values within the students of the School to prepare them for their responsibility as future leaders of the design professions. The true representation of a diversity of ideas within the School is dependent on a critical mass of representatives of diverse perspectives. Such a representation is not dependent on abstract numerical goals, rather, it is founded on the idea that the School will be greater than the sum of its parts by its passionate pursuit of ideas.

The School of Design has adapted an approach to admissions that is focused on certain individual attributes that may indicate a reason to believe an individual will successfully complete design studies. The process is characterized by gray areas, since standardized tests do not reasonably assess qualities, such as creativity and resourcefulness. Yet, it is these very attributes that often signal who has the potential to make a significant contribution to the design community. Therefore, the *Diversity Plan* of the School of Design is defined by attributes, which may indicate the potential of an individual to study design, and the value that individual would bring to the School of Design Community.

Demonstrated Creative Activity:
The individual has demonstrated by creative activity, and through an articulated statement of understanding, knowledge of the design disciplines. This should include a demonstration of creative ways to acquire information.

Non-traditional Perspectives:
The individual has a non-traditional, possibly culturally or racially based, perspective of the world. The individual identifies with a group that is distinct for cultural, racial, or geographic reasons.

Active In Community Service:
The individual has been active in community activities. In particular, this individual has accomplished specific goals in a community setting.

Positive Self-Concept and Realistic Self-Appraisal:
The individual has a positive self-concept. This individual assumes that he/she will be able to adjust to new challenges and situations. This individual is able to manage realistic self-appraisal. The individual is able to absorb both positive and negative feedback without overreacting. Furthermore, the individual is able to alter behavior on the basis of feedback.

Demonstrated Leadership:
The individual has shown evidence of influencing others. The demonstration of leadership includes evidence of accepting responsibility and serving as a mediator of the desires of a group. Leadership qualities include the acceptance of responsibility and a reluctance to see others as the source of ones' problems.

Ability to Work Within a System:
The individual is able to work successfully within a larger system, this includes the willingness and ability to work with others. The individual works assertively within the system to meet particular demands and to achieve maximum benefit.

Ability to Set Goals:
The individual is able to set goals and proceed towards the realization of objectives with-determination and patience.

Processes that are intended to determine admissions, scholarship awards, or special recognition must provide a fair basis for decision-making. Diversity, when it is properly defined, must make allowances for geography, rural and urban conditions and economic opportunity, as well as representation of accepted definitions that include race, culture, and gender. A university is dependent on a healthy intellectual climate, and the School of Design can only thrive where creative activity fosters the generation of new ways of doing and thinking, even in the midst of traditional tendencies.

The establishment of measures to assess the diversity of a student, faculty, staff community is troubled by many conflicting inclinations. Clearly, the School has not set aside positions to achieve diversity in admissions, fiscal support or any form of recognition. Yet, the School continues to recognize the need to create a more diverse community to enhance the learning experience of the students by enriching curricular offerings and by promoting greater variation in the perspectives that individuals bring to the classroom. The measures for accepting diversity in the School cannot be solely determined by numerical objectives. However, it is unrealistic that the question of numerical representation should be totally dismissed. There is the question of a critical mass of individuals bringing a diversity of perspectives into the School, so that it raises awareness to a level that is appropriate to the context of a society reflected beyond the boundaries of the School. How does the School determine what is a critical mass? The approach toward answering this question is based on defining the attributes for assessing diversity in the School of Design.

The School is Committed to the formation of a Critical Mass of Diversity:
A critical mass of people and ideas is characterized by the effect of those people and ideas on the context in which they exist. In the School of Design the measure of the effect of people and ideas on the design community is closely allied to the influence of a department. The definition of a critical mass in the School is comparable to the population of a small department.

A Commitment to bringing African-American Representation to Critical Mass:
The first priority of the School of Design Diversity Plan must be to specifically address African-American representation in the School community.

A Commitment to the Regular Assessment of School Performance Toward Achieving Diversity:
While numerical assessment is precariously near a superficial measure of diversity, it cannot be discounted. There must be a regular accounting of the size of the School population's diversity to insure that progress is being made toward setting the possibility for achieving a critical mass.

Required Action

The commitment to a plan for diversity is a call for a broader discussion of what is most desirable in all students of the School of Design. Only through such a perspective is it possible to discuss diversity. Otherwise, the School will be a victim of a narrow definition of diversity in terms of numbers. There must be no confusion within the School regarding the importance of diversity. A diversity of thought, cultural and racial influence and gender perspective, is essential to the well being of the School of Design. This must inspire the search for a more diverse Design community. The School of Design must undertake a plan of action that is pro-active in its commitment to diversity. This plan of action is best defined by attributes that will define both aspirations and the logistics necessary to achieve a diverse community.

A Commitment to Recruitment:
The School of Design must develop a strategy for recruitment that enriches the pool of applicants to both graduate and undergraduate programs.

A Commitment to Retention:
The School of Design will develop and maintain an intellectual and social climate that encourages and responds to the active participation of all members of the student community. This will be done to increase the success of students as they matriculate through the program.

A Commitment to Curricular Response:

It is apparent that diversity must be reflected in curricular offerings, as well as in the population of the School. Course materials must be developed that reflect the diversity of cultural, gender, and racial perspectives.

A Commitment to a Diverse Faculty and Staff:

The School must, when the opportunity exists, bring greater diversity to the faculty and staff.

A Commitment to Establish an African-American Alumni Task Force:

The School of Design must establish a community task force to actively promote the recruitment of candidates. This group should also be invited to actively participate in the process of admissions. A community advisor to the School Admissions Committee is appropriate.

A Commitment to Exceptional Action:

It is apparent that it may be necessary for exceptional actions to be undertaken to achieve a critical mass of diverse populations within the School. Although this action must follow a blind admissions process, it cannot be discounted. Such action must be the direct responsibility of the Dean.

The objective of this plan is to achieve a Design Community that celebrates a diversity of ideas and traditions.

PRIORITIZING DIVERSITY

Mark Warner was running for governor of Virginia when he met with a group of African-American business leaders. He was looking for their support. Warner gave a good accounting of all that he'd done as a venture capitalist to generate more opportunities for minorities in the state, including the creation of a high-tech internship program for students at predominantly black colleges. The one area where there hadn't been much progress, Warner said, was in venture capital. The problem was a familiar one: There weren't enough blacks with the necessary background.

One of the leaders sitting in the audience that day was Joe Watson. After the speech, Watson told Warner, "You're wrong. They're out there." And to prove the point, he set up a meeting between Warner, some members of Watson's network of talented minority business executives, and a group of VCs. Warner was impressed — so

impressed that, after he won the election, he made Watson a part of his transition team. Working pro bono, Watson orchestrated an extensive talent search that turned up women, blacks, Hispanics, and Asian-Americans, among others, to fill the Warner administration, particularly at the highest levels. The result: In 7 of Virginia's 10 cabinet departments, either the cabinet secretary or the deputy secretary is a minority. "It's significantly more diverse than it was before," says Warner. "I think it reflects the changing face of Virginia."

One notable omission on the staff, however, is Watson himself. "I've tried to recruit him twice," the governor says, "but he's committed to his business."

"What I have a real passion for is helping people who get overlooked," Watson says. The founder and CEO of the executive search firm StrategicHire.com, based in Herndon, Virginia, Watson has become one of the most connected African-Americans in the

"IF YOU WANT TO FIND TALENTED WOMEN AND PEOPLE OF COLOR FOR YOUR ORGANIZATION, YOU CAN. BUT YOU HAVE TO MAKE IT A PRIORITY."

high-tech community around Washington, D.C. He specializes in finding and placing highly skilled minority candidates in high-level slots.

Watson's business is addressing a common lament of seemingly well-intentioned executives: "I'd hire more women and minorities, but I can't find qualified people." Sometimes it's just a dodge; sometimes it's a genuine concern. "We need to talk about 'can't,' " says Watson, 35. "If you want to find talented women and people of color for your organization, you can. But you have to make it a priority."

Watson encourages companies to get serious about diversity not only for reasons of social equity, but also because it's smart business strategy. If you want to satisfy customers from diverse backgrounds, Watson says, you need a diverse mix of employees who are more likely to understand them.

This type of inclusion, says Watson, "isn't about joining hands and singing 'Kumbaya.' This is really about improving corporate performance. Inclusion is a mind-set. You open minds by bringing people together."

— CHUCK SALTER

DISPATCH: CLEVELAND, OHIO

...KE AN MFA?

The building is just the beginning. A stunning Frank Gehry design, the Peter B. Lewis Building at the **WEATHERHEAD SCHOOL OF MANAGEMENT** at Case Western Reserve University, in Cleveland, Ohio, was recently unveiled at a two-day event, "Managing as Designing." The gathering was highlighted by a keynote address from Gehry. In his presentation, Gehry spoke to the common elements of managing and designing — and to the need for companies to go beyond economics to meet the demands of various constituencies. To learn more about the event, visit the Web (http://design.cwru.edu).

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When An Administrator Receives a Complaint of Harassment

<u>NOTE</u>: For the purposes of this document, "grievant" refers to a person making a complaint regarding harassment related to race, color, religion, creed, sex, national origin, age, disability, veteran status and/or sexual orientation. "Respondent" refers to an individual, as identified by a grievant, as having exhibited harassing behavior [but use of this term does not indicate an assumption of guilt or innocence; it is used merely for generic identification of persons accused of harassing behavior].

- **Document the allegations** the grievant presents to you as well as the outcome of your conversation(s) with the grievant.

- **Maintain impartiality**; avoid expressing opinions about the character or ability of the respondent or other persons involved. Refrain from making statements about whether you believe or disbelieve the grievant or whether you believe or disbelieve that harassment has occurred.

- **Maintain confidentiality but take care to avoid promising the grievant complete confidentiality** because others may need to be involved in the resolution of the complaint. For example, you may let the grievant know that you will call the Office for Equal Opportunity to consult with them about the concerns that the grievant has presented to you.

- **Help the grievant understand the options** available to her or him for addressing or resolving their complaint. These included (but are not limited to):
  - Contacting the Office for Equal Opportunity at 513-1234 (Director of Harassment Prevention & Equity Programs) or 515-3148 (main number) – addresses complaints made by faculty, staff and students.
  - Employee Relations/Human Resources at 515-4300 (Assistant Director of Employee Relations) – addresses complaints made by SPA and EPA employees.
  - Office of Student Conduct at 515-2963 (Director of the Office for Student Conduct) – address complaints made by students.

- **Encourage the grievant to maintain his or her documentation** of the incident(s) involving harassment, and let the grievant know that a formal complaint will need to be made in writing if he or she wishes to pursue resolution in a formal manner.

- **Consult with the Office for Equal Opportunity** about the appropriate means for addressing the complaint.

- The Office for Equal Opportunity has created a resource handbook for administrators entitled the *Administrator's Guide for Resolving Unlawful Harassment Claims*. If you wish to receive a copy of this, contact the Director of Harassment Prevention & Equity Programs at 513-1234.

DIVERSITY IN DESIGN PROGRAM 2002

PROPOSAL TO:
North Carolina State University Office for Diversity and African American Affairs
Diversity Initiatives and Programs Grant

FROM:
North Carolina State University
College of Design

CONTACT INFORMATION:
Marva C. Motley, Assistant Dean for Student Affairs, 515-8329
Kermit Bailey, Associate Professor, Graphic Design, 515-8360
Box 7701, NC State University, Raleigh, NC 27695

REQUEST:

The College of Design requests $20,000 from the NC State Office of Diversity and African American Affairs to support the initiatives stated in the *Diversity in Design Program 2002* proposal. An additional $5,000 is requested as seed funding to support the continuation of the *Design Discovery Program* successfully began in year 2001. Under the overall proposal, two new initiatives and two continued initiatives are put forth for funding.

The College will match requested funds in the amount of $10,000 from operating expenses and will supplement the program with in-kind contributions of $10,000.

PROJECT OBJECTIVE:

It is the expectation of the *Diversity in Design Program 2002* that opportunities for recruitment of historically underrepresented groups (faculty and students), retention, and outreach efforts will be significantly improved within the College upon successful implementation of the program initiatives. A three-tiered strategy will be implemented to affect this change. The projected impacts and objectives are:

- Relationship building external to the college –
  Projected impact: *Recruitment of students and faculty from underrepresented groups.*

- Cultivating and expanding a diversity-inclusive design culture within the College –
  Projected impact: *Increase retention among underrepresented groups in the college, overall expansion of diversity inclusive design knowledge disseminated in the college available to all students.*

- Working together, collaborating within the college, university, and local design community -
  Projected impact: *Sharing of resources that expand services and influence about diversity in design.*

PROBLEMS OBJECTIVES SEEK TO OFFSET:

Through the institutionalization of diversity-inclusive programming, lectures, and curriculum initiatives all students will benefit as design contexts are increasingly global. The presence of underrepresented groups in (the college of) design does not equate to diversity in design. The College of Design seeks to provide expanded educational opportunities, which give voice to the multitude of design influences. By doing so, we build a diversity-inclusive design culture to situate relevant dialogue, criticism, and creativity. The design practice and education is missing out on a reservoir of ideas, concepts, and perhaps whole new design context that underrepresented groups might inform. The inclusion of such possibilities as normalized within the institution is of benefit to all who study or teach design. We are truly

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becoming a global society -- more pluralistic, more competitive. A diversity-inclusive education understanding is a must-have for the 21ˢᵗ century.

Low number of Masters or Ph.D. degree candidates from underrepresented groups in the design fields and College historically:
Through successful recruitment strategies supported by grant funding from a previous Diversity Grant, enrollment in Masters programs in the Department of Graphic Design and Industrial Design are improved compared to the previous 15-year period. Faculty efforts yielded five new African-American admitted students after many years of few or no African American applicants. However, those departments and the college at large recognize additional and continued work remains to be done. In the area of recruitment, overall numbers in the college reflect minimal growth towards our goal of a critical mass. These outcomes are inconsistent as compared to the growth trends among most design fields over a similar period. Currently, no Ph.D. candidates of underrepresented groups are enrolled in the college. A need to initiate, change, and expand the design professions through education is necessary. Because of the highly competitive nature of design practices, increasingly a higher level of specialization and education is required. Designers possessing a master's degree are the most likely to impact the design professions and society in exponential ways.

Relationship of recruitment, retention, graduation to education and employment barriers:
Without appropriate education and support towards graduation (mentors) little opportunity exists for employment. Without employment there can be no professional mentors. Feelings of isolation and rejection can lead to a sense of inadequacy. This is an especially common experience among underrepresented groups in the design profession and design education. In spite of this dilemma, the college celebrates a high graduation rate for all students including those from underrepresented populations (80% at 4 years). The scarcity of established members from underrepresented groups has not only meant few role models for young designers who they may share cultural experiences, but often fewer job opportunities. Design is a social practice. A professional design education at an accredited school is very expensive and most students of underrepresented groups need significant financial assistance to help pay for their education Given the costs involved, it is expected that future professional students will be even more critical in evaluating the absolute best academic experience. It is clear that diversity of faculty, student population, and an established design culture of diversity-inclusiveness will be among the most considered criteria.

GOALS:
The *Diversity In Design Program 2002* is structured to accomplish the following goals:

- Cultivate an expanded diversity-inclusive design culture within the College, which benefits all students through diversity programming, lectures, and curriculum initiatives.

- Establish relationships external to the College at the national level, which will potentially facilitate a network for the recruitment of faculty and students.

- Increase the number of Masters and Ph.D. candidates in the College from underrepresented groups

- Generate greater student interest from historically underrepresented groups in the design professions at the undergraduate level of study

- Establish and maintain an ongoing outreach program for middle and high schools, which will provide both educational and recruiting advantages

- Increase collaboration within the college, university, and local design community that expands services, influence, and knowledge about diversity in design.

METHODS:

The Diversity in Design Program is a four-part program proposed as follows:

1. Recruitment efforts at the Masters and Ph.D. level:
    The College will intensify graduate recruitment efforts under the proposed plan for 2002.
    Recent funded efforts in the recruitment of graduate students have yielded some modest success. The College seeks to build on this momentum by beginning the process of institutionalizing recruitment activities. A plan or model of action must be developed for college-wide implementation. The Department of Graphic Design and Industrial Design are designated as targeted "test case" departments for the graduate recruitment initiatives. These particular departments are identified specifically based on available faculty, demonstrated track record in recruitment efforts, and efficiencies situated by common academic issues. Faculty members will identify and initiate relationship-building activities with academic institutions likely to produce Masters candidates from underrepresented groups. Ideally schools/colleges will have 4-year degrees in areas similar or related to the College of Design. As a starting point, the relationship-building activity targets east coast universities. In relationship building, College of Design faculty will seek to initiate dialogue relative to graduate education. This will happen through faculty request of visitation to outside design programs, working with academic organizations, and networking among individual affiliations. Recent recruitment efforts suggest that this strategy is a necessary first step in establishing a graduate candidate pool. Outcomes will be measured by increase in graduate enrollment. Emphasis is placed on initiating on-going dialogue, relationships with programs and students of interest. The College of Design faculty in the targeted departments will seek to visit eight east coast programs (four per semester) for the purposes of recruitment. Funding will support graduate recruitment travel, workshops and promotional materials. Funding will be reserved to assist 8 to 10 students who will visit the College of Design as part of a graduate recruitment visitation program in the spring semester.

2. Implementation and normalization of diversity-inclusive programming and lectures:
    The College of Design is committed to the goal of building an overall diversity-inclusive design culture consistent with goals established in its compact plan. This will have lasting institutional impact in relationship to strengthening curriculum and the recruitment of all faculty and students. In addition, a more concentrated effort in building a diversity-inclusive design culture is likely to have a positive affect on retention among students from underrepresented groups in particular. The college seeks funding to assist with the implementation and normalization of diverse programming and lectures. This will benefit all students. Funding will be used to assist and encourage each of the departments in the college (5 total) in the sponsorship of a lecture or programming effort, which addresses objectives put forth in the diversity initiative proposal. Funding for such department activities qualify under an equal cost-sharing basis only.

Collaborative efforts
At its core, The College of Design realizes that design is cultural production, impacting all spheres of life. With funding, we will pursue and initiate co-sponsorship opportunities to collaborate with campus units such as The African American Cultural Center, Africana Studies, the Women's Center, etc. as possible means of building and expanding a richer, more diverse design culture. Funding will be used to co-support one major lecture or program accessible to the larger university community in the spring 2003. By understanding design as cultural production, we expand the possibilities of its discourse via lecture/programming to include artist, filmmakers, design scholars/writers, and other makers within popular visual culture. Names of interest to the College of Design include cultural theorist Stuart Hall, art scholar / artist Debra Willis, and photographer Cindy Sherman for example.

In addition, the College of Design actively seeks co-sponsorship opportunities in diversity oriented programming with community organizations such as North Carolina Museum of Art, Raleigh Chapter of American Institute of Graphic Arts, The Organization of Black Designers (Washington, DC), See Saw Studio in Durham, NC, Exploris Children's Museum in Raleigh, NC, and Discovery Place in Charlotte, NC. If available, Funding will be used to collaborate with those organizations in co-sponsoring diversity based programming.

3. Scholarships to Design Residential and Day Camp:
    Since 1984, North Carolina State University's College of Design has sponsored a summer Design Camp program for high school students. With support from a prior grant, the college instituted a Day Camp in the summer of 2002 to make this popular academic experience more affordable for underrepresented students ($250). For first time in over 15 years the camp enrollment reached 25% for underrepresented students. The Residential Camp ($500) has traditionally brought students from all over North Carolina and surrounding states to the NC State campus for a weeklong design program. For five days, campers spend time in studio settings responding to design problems assigned by faculty members in the college's disciplines of architecture, landscape architecture, graphic design, industrial design, and art and design. In addition to studio projects, participants attend lectures by professional designers such as architect Phil Freelon from the Freelon Group, exhibit designer Jane Eckenrode from the NC Museum of Natural Sciences, and Angela Medlin, a product designer with Adidas. Design Camp helps build students' self-confidence by showing them how to value their own ideas, how to respect the ideas of others, and how to combine the two as a positive solution to any given problem. In addition, they are exposed to diverse points of view and a variety of role models who stress the need for higher education and the results achieved by dedication to a craft or profession. Funding will support scholarships to Design Residential and Day Camps at the discretion of the director.

Seed funding request of $5000
    (Charles Joyner, Professor, Art & Design – Design Discovery)

4. The Design Discovery Studio 2002
    "Color My World: Celebrating Diversity Through Photography," is a continuation of the nine week Design Discovery studio taught on site at SeeSaw Studio in Durham last spring. The project's site will shift to Wake County and the campus of NC State University. The project will ask students to use the medium of documentary photography and writing as vehicles to explore diversity in our community. The objective of the project will be to bring college and high school students together in teams in order to document diversity as it is experienced in their families, communities, workplace, classrooms and laboratories, churches, and events within the context of their lives. The interactions resulting from this project will provide open dialogue about diversity among the student participants. The project will also provide a means by which students gain cultural awareness through both images and writing. Teams of NC State and Wake County high school students will be given intensive instruction in documentary photography. During the instruction session and workshops, students will participate in open discussions about diversity and share the results of their project. Students will be encouraged to explore ideas and issues from various sides, to rethink their own premises and hopefully gain understanding that comes as a result of analyzing their own beliefs against those of students with other views. After intensive instruction in Basic Photography skills, students will spend several weeks documenting and producing their results. The finished photographs and essays will be mounted in a series of exhibitions that may be shown at such venues as the NC State African American Culture Center and schools in Wake County. The student photographers will produce a publication of photographs and short essays. Funding will support faculty and teaching assistants, production materials, and the development of instructional packets.

EVALUATION:

An evaluation report will be prepared that will include:

- utilization of the program: who is served and how many
- enrollment statistics for Design Camps
- tracking of masters and undergraduate applicants
- written evaluations completed by participants as well as school personnel
- survey/questionnaire and personal interviews administered to students
- record of faculty involvement to measure effectiveness of efforts
- assessment of diversity within curricular experiences of students
- assessment of admission, retention and graduation rates

All statistical information, along with examples of student work, will be made available to the participating school districts, the North Carolina Department of Public Instruction's Arts Coordinators and to all funding sources.

SCHEDULE OF DELIVERABLES:
Four recruitment trips to be made in each of the spring and fall semesters 2003
University wide lecture to be held in spring 2003
Graduate students visits to occur in spring 2003
Design Camp scholarships awarded summer of 2003
Design Discovery Studio spring and fall semesters 2003
Curricular Research spring 2003

SUMMARY:
The Diversity in Design Program 2002 directly addresses issues articulated in the College of Design's Compact Plan. The College has already begun to implement several diversity strategies aimed at improving the internal climate, awareness of minority achievements and diversity in the curriculum. Funding for recruitment initiatives and scholarship funds are currently being sought through donors and enrollment is slowly increasing. The college recognizes that much work remains to be done. To achieve the goals of the Diversity in Design Program 2002 continued support will be required and will be vigorously sought through endowed funds, professional organizations and philanthropic resources. This proposal represents a need for immediate funds that will assist the college in making significant progress towards our goals.

College of Design "Diversity in Design 2002" BUDGET

Projected Income

Office of Diversity Grant Funds	$20,000
College of Design Match	$10,000
In-kind Supplement (match)	$10,000
TOTAL	**$40,000**

Projected Expenditures

Program Coordinator & Staff (25% in kind)	$10,000
Diversity (Lectures or Program Initiatives) (5 @ $1,700)	$8,000
Funding for 8 College recruitment visits	$ 7,000
Spring Visitation Program (8 to 10 prospective graduate students)	$9,000
Development of Curriculum/Program Materials (diversity research and recruitment materials)	$3,500
Design Camp Scholarships	$2,500

Total Expenditures	**$40,000**
Less College Match	**$10,000**
Less In –kind Supplement	**$10,000**

*Funds Required for Seed Money for Design Discovery $5,000
Requested Amount $5,000 – non match

TOTAL REQUESTED	**$25,000**

THE UNIVERSITY OF WASHINGTON

GUIDELINES FOR IMPLEMENTING FACULTY SENATE RESOLUTION ON CULTURAL AND ETHNIC DIVERSITY

Prepared by the Faculty Council on Academic Standards of the Faculty Senate.

Introduction

The Faculty Council on Academic Standards has developed the following guidelines to assist departments in conducting curricular reviews and submitting plans for curriculum development where applicable. The Resolution on Cultural and Ethnic Diversity (attached) identifies a broad learning goal, the development of critical thinking skills in the area of cultural and ethnic diversity. It provides departments the opportunity to review their curricula to identify the contributions they are making toward this learning goal and to develop plans to revise existing courses or create new ones. These guidelines, rather than setting up a single standard or evaluation, attempt to define relevant learning outcomes for cultural diversity that are consistent with new scholarship in a wide array of disciplines and with educational practice nationally and locally.

Learning Outcomes: Cultural and Ethnic Diversity

There are many topical areas in the study of cultural and ethnic diversity which lend themselves to the development of analytical and reflective skills. This knowledge base includes several decades of new research on cultural and ethnic group histories, writings, and social, political and economic status as well as analyses of the nature of historical and contemporary conflicts over diversity. In todays increasingly diverse society, making wise choices about what to believe and what to do requires the ability to think critically — that is, to analyze arguments presented, look at problems from different perspectives, make inferences, draw supportable conclusions, and critically evaluate all relevant elements and possible consequences of decisions that work in multicultural settings. The following are examples of possible learning outcomes for departmental courses on cultural and ethnic diversity:

- Examine the social construction of identities by race, gender, ethnicity, class, sexual orientation, and so forth

- Recognize various forms of stereotyping, prejudice, privilege and discrimination

- Understand cultural differences in identity development

- Distinguish between individual responsibility and structural barriers to choice and opportunity

- Distinguish facts, cultural assumptions. interpretations and opinions relating to issues of diversity

- Understand disciplinary approaches in framing and analyzing problems and issues regarding cultural diversity

- Take a supportable position in face of irreconcilable cultural differences

- Think about complex issues from different cultural perspectives

- Differentiate between personal discomfort and intellectual disagreement in cultural conflict situations

This list is not exhaustive. It is meant only to provide a starting point for departmental reviews of learning outcomes associated with the Resolution on Cultural and Ethnic Diversity.

Suggestions For Conducting a Departmental Review

Departmental, school and college approaches to the review and development of plans for curriculum development will be enormously varied. Some departments already have a significant number of courses that enhance students ability to think critically about diversity, but may wish to create more advanced or comprehensive curricula. Others may want to develop a few new courses, and still others may want to embark on significant curriculum development.

Departments may find these questions useful in undertaking a review of courses that teach students to think critically about diversity issues and development of plans for change:

1. What issues of diversity exist in the fields of study in the department?
2. What have other departments in similar institutions done and what success have they had?
3. What concepts and skills related to cultural diversity are currently taught in introductory courses? In the major?
4. What are the departmental goals in teaching about cultural and ethnic diversity? Are they being met?
5. How can the departmental curriculum in this area be improved?
6. What resources are needed to strengthen the departmental curriculum?

Assistance in the identification of faculty consultants, diversity curricula at other institutions, and bibliographic resources is available from the Curriculum Transformation Project, Box 353050, 685-8276.

College/Department/Unit Assessment
Diversity and Student, Staff, and Faculty Success at NC State

Background: At the September 1998 Deans and Vice Chancellors meeting, the Deans and Vice Chancellors agreed to perform an assessment of diversity within their individual organizations and report the results back to the DVC. Before starting this assessment, the DVC's agreed that a set of broad assessment guidelines would be useful to allow for a more coherent review of the composite results.

Guidelines: The attached guidelines provide a framework for a holistic and balanced diagnosis of the organization. This assessment should specifically address issues of diversity and student, staff, and faculty success at NC State. These guidelines will help an organization focus on the dimensions and actions that contribute to achieving results and will include planning, execution of plans, assessment of progress and cycles of improvement. These criteria are also non-prescriptive and allow each organization to address their individual character and unique issues and needs without being limited to set practices or specific approaches to achieve the desired results. The questions are intentionally broad and ask for a focused response in three dimensions: 1) the approach – one that is systematic, integrated and consistently applied; 2) the deployment – the extent to which the approach is applied; 3) Results - the measures of performance and success relative to appropriate comparisons.

Scoring: Each area should be assessed using the attached scoring guidelines. These guidelines will determine the levels of maturity of the approach, deployment and results within the organization.

Organizational Overview: Before completing this assessment, it would be beneficial for the leadership team to prepare an outline that will identify the characteristics and issues that are unique, relevant and important to the organization. This will allow each organization flexibility in selecting an approach consistent with given circumstances. It will also allow the organization to define a set of valid measures of success for each population.

> **Basic Description:** Provide a mission description, the profile of the organization's populations and the nature of the organizations programs and activities.
> **Stakeholder/constituent requirements:** Identify the important stakeholders and their requirements to include specific programs, activities and services
> **Partnerships:** Identify special partnership arrangements and their special requirements (if any).
> **Performance:** Identify the principal factors that determine performance success and the performance leaders in similar organizations.
> **Other Factors:** Provide information that describes unique nature of the organization, new developments, or factors that affect.

College/Department/Unit Assessment Guidelines
Diversity and Student, Staff, and Faculty Success at NC State

<u>Leadership</u> - **Describe how leaders provide effective leadership in fostering diversity and success within the organization, taking into account the needs and expectations of <u>all</u> key stakeholders**

- How does the leadership team communicate and clearly incorporate the value of diversity and student, faculty and staff success in the organization's directions and expectations?
- How does the leadership team communicate the expectations for accountability throughout the organization?
- How does the leadership team seek future opportunities to incorporate and embed the values of diversity and success into the organization?
- How does the leadership team maintain a climate conducive to learning, equity and success?
- How does the leadership team incorporate the views and efforts of all constituencies (underrepresented and majority) into the leadership system?

<u>Organizational Strategy</u> – **Describe how the organization sets strategic direction and how this strategy is translated into action plans and performance requirements**

- How are implementation responsibilities decided and assigned?
- How does the organization track organizational performance relative to the plans?
- How are process barriers (that impede progress) identified and incorporated into the strategic plans and actions?

<u>Stakeholder knowledge/focus</u> – **Describe how the organization determines the requirements and expectations of students, staff, faculty, and other important constituents relative to satisfaction, support and success**

- Describe how does the organization listens and learns from its faculty, staff, students and other important constituents?
- Describe how key programs, activity and services are determined and/or projected into the future?
- Describe how the relative importance/value of programs, activity and services are determined and/or projected into the future?
- Describe how are constituent inputs including retention and complaints are used to improve organizational performance

<u>Selection and use of Data and information</u> – **Describe the organization's selection, management and use of data and information needed to support key processes and to improve organizational performance**

- Describe the main types of data and information, including instructional, operational and constituent data and how each relates and aligns to the diversity and success goals
- Describe how the data and information are integrated into measurements that can be used to track and improve the organization's performance and success

Education, Training and Development – Describe how the organization's education and training address key organization plans and needs, including building knowledge and capabilities and contributing to improved performance, diversity, development and success.

- Describe how education and training address the key performance plans and needs including longer-term employee development
- Describe how the education and training are designed and delivered
- Describe how knowledge and skills are reinforced on the job

Education and Support Processes Describe how the organization's key processes (educational and support) are designed, managed and improved to incorporate the themes of diversity and success

- Describe how the key requirements are determined or set, incorporating inputs from appropriate constituents.
- Describe how key educational and support process are designed to meet the overall current and future performance requirements
- Describe how the processes are managed to maintain process performance and to ensure results will meet the requirements and desired outcomes.

Results – Summarize results of diversity and measures of success using key measures and/or indicators of educational and support performance

- Summarize current levels and trends in key measures and/or indicators of performance. Include comparative data (internal or national benchmarks). These measures should include regulatory/legal compliance, and other measures supporting the organization's strategy (new programs or services)

Self-Assessment Scoring Guidelines

Stage 1 - Beginning
- There is no systematic approach to respond to the criteria.
- Information is anecdotal in nature
- Early stages of gathering data, little to no trend data
- The approach is confined to senior management

Stage 2 - Development
- There is the beginning of a systematic approach to address the issues.
- The organization is in the early stages of transition from reacting to problems to the early stages of anticipating issues.
- Major gaps exist that inhibit progress in achieving the intent of the criteria.
- The beginning of a fact-based approach is evident.
- Beginning stages of improvement cycles
- The approach extends beyond the senior management
- Little to no comparative data

Stage 3 - Sound
- A sound and systematic approach is evident and responsive to the primary purpose of the criteria
- A fact-based improvement process is in place in key areas
- More emphasis is placed on improving rather than reacting to problems
- Improvement trends and/or good performance reported in many to most areas
- No adverse trends and/or poor performance levels
- Organization has comparative data in most key areas

Stage 4 - Mature
- A sound and systematic approach responsive to the overall purposes of the criteria
- A fact-based improvement process is a key management tool and clear evidence of cycles of refinement and improvement analysis
- The approach is well-deployed throughout the organization
- Current performance is excellent in most areas with excellent trends
- Organization uses comparative data in all areas and leads or competes favorably in the key areas

The Curriculum Process
Questions Relating to Curricular and Pedagogical Transformation

Curriculum is a core capability and critical process within the academic areas. These questions specifically relate to the curriculum process and have been extracted from the NC State Diversity Plan. These questions may trigger specific responses relative to faculty performance and student success.

Should curricular and pedagogical transformation at NC State seek to:
- Broaden existing ideas and theories so they are more inclusive?
- Better prepare students for increasingly complex and diverse communities?
- Foster in students a comprehensive understanding of the interactions of different groups across history, culture, and society?
- Introduce students to different peoples, cultures, and perspectives?
- Enhance student analytical listening and thinking skills?
- Help students to better negotiate the ambiguity and conflict often associated with differences?
- Provide the skills to be competitive in the global marketplace?
- Comprehend and respect other "ways of knowing?"

From Seven Principles for Good Practice in Undergraduate Education
(Chickering and Gamson, Wingspread Journal, 1987).
Does your faculty adhere to these principles?

1.Good Practice Encourages Student-Faculty Contact. Frequent student-faculty contact in and out of classes is the most important factor in student motivation and involvement. Faculty concern helps student get through rough times and keep on working. Knowing a few faculty members well enhances students' intellectual commitment and encourages them to think about their own values and future plans.

2.Good Practice Encourages Cooperation Among Students. Learning is enhanced when it is more like a team effort than a solo race. Good learning, like good work, is collaborative an social, not competitive and isolated. Working with others often increases involvement in learning. Sharing one's own ideas and responding to others' reactions improves thinking and deepens understanding.

3.Good Practice Encourages Active Learning. Learning is not a spectator sport. Students do not learn much just sitting in class listening to a teacher, memorizing pre-packaged assignments, and spitting out answers. They must talk about what they are learning, write about it, relate it to past experiences, and apply it to their daily lives. They must make what they learn part of themselves.

4.Good Practice Gives Prompt Feedback. Knowing what you know and don't know focuses learning. Students need appropriate feedback on performance to benefit from

courses. In getting started, students need help in assessing existing knowledge and competence. In classes, students need frequent opportunities to perform and receive suggestions for improvement. At various points during college, and at the end, students need chances to reflect on what they have learned, what they still need to know, and how to assess themselves.

5.Good Practice Emphasizes Time on Task. Time plus energy equal learning. There is no substitute for time on task. Learning to use one's time well is critical for students and professionals alike. Students need help in learning effective time management. Allocating realistic amounts of time means effective learning for students and effective teaching for faculty. How an institution defines time expectations for students, faculty, administrators, and other professional staff can establish the basis for high performance for all.

6.Good Practice Communicates High Expectations. Expect more and you will get it. High expectations are important for everyone - for the poorly prepared, for those unwilling to exert themselves, and for the bright and well motivated. Expecting students to perform well becomes a self-fulfilling prophecy when teachers and institutions hold high expectations of themselves and make extra efforts.

7.Good Practice Respects Diverse Talents and Ways of Learning. There are many roads to learning. People bring different talents and styles of learning to college. Brilliant students in the seminar room may be all thumbs in the lab or art studio. Students rich in hands-on experience may not do so well with theory. Students need the opportunity to show their talents and learn in ways that work for them. Then they can be pushed to learning in new ways that do not come so easily.

from Minorities on Campus: A Handbook for Enhancing Diversity
(Madeleine F. Green, editor, American Council on Education, 1989).

Questions for faculty on attitudes and behaviors with respect to minority students:

1. What are your expectations of minority students? How do you communicate them? At your institution, is it assumed that minority students are generally less well prepared than majority students? What are your assumptions? What is the reality?

2. Have you ever been in a situation in which you made a comment or engaged in a behavior that you thought was perfectly innocuous but was considered sexist or racist by a student? How did you receive feedback about how you were perceived? How did you deal with the situation? What was the effect of this episode on you? On the other person? Do you ever ask for feedback from students specifically on these issues?

3. How do you deal with silent students? What assumptions do you make about their abilities and attitudes? Do these assumptions differ for majority and minority students?

4. Do you call on minority students as frequently as majority students? When you call on students in class, how long do you wait for them to respond before going on to the next student? Do you wait the same amount of time for a minority student as for a majority student? Do you interrupt students? Do you interrupt minority students more frequently than majority students? Women more than men?

5. Do you sustain eye contact with your students? Do you make eye contact as frequently and for equal periods of time with minority students as with majority students? What is your reaction to students who avoid eye contact with you?

6. How are students seated in your classes? What, if any, relationship is there between where majority and minority students sit and their class participation?

7. When the discussion turns to issues that affect or involve minorities, how do you deal with the dilemma of soliciting the input of minority students without imposing on them the role of "spokesperson for their group"?

8. How do you give feedback to students? Are there differences between the amount and type of feedback you give to minority and majority students and the manner in which it is delivered?

Questions about diversity and the curriculum:

1. What are our current offerings in Afro-American studies? Ethnic studies? Women's studies? Are they separate programs, departments? Profile their enrollments. Which courses have higher/lower enrollment? What is the composition of the student body who enrolls in these courses? (To what extent are majority and minority men taking women's studies courses? To what extent are majority men and women taking ethnic studies courses?) What is the prevailing campus attitude about these courses?

2. Are there any requirements in place that ensure that students develop a familiarity with ethnic and minority studies and culture and history? If not, should there be?

3. How are faculty encouraged to incorporate new perspectives into their courses? Is there provision for release time? Stipends to support research? Grants for new course development?

4. Are faculty encouraged to increase their knowledge of different learning styles and teaching styles? Do you offer workshops, seminars, or mini-grants to assist faculty in improving their teaching and in understanding issues related to teaching in a pluralistic environment? How else might faculty be assisted in improving teaching?

5. Are faculty efforts to transform the curriculum or to improve teaching awarded in promotion, tenure, merit pay? Should they be? If so, how?

DEPARTMENT AND FACULTY ISSUES

1. Relationship of AA, equity, diversity to
   - Recruitment
   - Tenure
   - Promotion
   - Pay Increase

2. How can chair address issues of diversity + equity without being viewed as PC?

3. How do you handle the increased market value of some diverse candidates?

4. What is the role of the department chair in terms of fostering curriculum transformation + inclusion?

5. Are diverse faculty unfairly burdened with responsibilities for which there is no reward?

6. What does it mean to be a relatively homogeneous faculty and student body and to be asked to address diversity and equity?

7. Is the question of curricular transformation and diversity a moot discussion for math, the sciences + technical fields?

QUESTIONS THAT GUIDE THE FRAMEWORK USED TO EXAMINE FACULTY ISSUES AND DIVERSITY

- What is the ethical responsibility of the professor concerning issues of diversity and the curriculum?

- What is the expectancy value of success for different populations across certain learning environments?

- What is the social and structural environment of a course?

- What skills should we teach so students can live and function effectively in a pluralistic society?

- What pedagogical models facilitate the discussion of diversity and student learning?

- What is the intrinsic and extrinsic value of diversity to faculty?

- How do we create educational structures and environments that allow students to try out diverse experiences?

- Do diverse students choose majors because of the social roles they are expected to play?

- What is the importance of historicizing what we examine and teach in classroom?

A 10-Point Survival Guide to Being, and Staying, an Academic Leader

By Robert Greenstreet, PhD.

While entering the administrative ranks of academia might seem a formidable task, staying there presents a whole other series of challenges. The average length of stay for a dean, vice chancellor, or chancellor can often be fewer than five years and in some programs, the duration of leadership has been known to be considerably shorter.

Of course, many administrators move on or up to more appealing administrative jobs, but if you are considering the long haul — and quite frankly some believe it is hard to make substantial, meaningful change in fewer than five years — the following are a few thoughts on building a long-term administrative career relying, for the most part, on basic principles of communication and common sense.

1. Don't bear a grudge: Every day, people will annoy you. They may not mean to, or they may have every intention of driving you to distraction but whatever the cause, there will be irritation — it's the nature of your job. Being in a position of authority, you could have the opportunity to retaliate in ways large and small.

Don't.

"Getting even" really doesn't feel that good and, more importantly, if your actions are viewed as petty and vindictive, your stock as a leader is diminished. Learn to rise above the irritation — it's a more sustainable and appropriate response for a leader.

For insightful articles on academic leadership development and other topics of critical importance to department heads, deans, and provosts, get *Academic Leader*. It's the must-read newsletter for today's leaders. Available in print or online.

2. See the best in everyone and the bright side of everything: You may not believe all your colleagues are doing things the way you want them done or that aspects of the program are as good as they should be. Do the best you can to effect positive change — that's your job.

Forcing change may be hard, frustrating and ultimately unsuccessful. So try a change in attitude — yours. Look for the best attributes in people and work with them. Sure, Professor X is not the most active senior member and hasn't done a lick of research in 20 years but…he's a pretty good teacher, popular with the students and alumni, and is generally 'underappreciated' by his colleagues. Encourage his teaching, take him out on an alumni event, put him forward for a teaching award — you may be surprised by the response.

3. It's all about people: Regardless of mission statements, written curricula, and action plans, it all boils down to people — faculty and staff — to make it all work in the end. Talk to your colleagues about their work and aspirations, and be helpful where possible — even in very modest ways. Put them forward for awards, fund their requests wherever practicable, and take an active, personal role in their career development.

Where you have time, go walkabout — wander around the offices and chat to people on their territory about their classes, research or service, and send them notes/emails on their accomplishments. Building a long-term relationship with your colleagues heightens your value as a long-term administrator.
Read *Academic Leader* for an inside look at current trends, challenges and best practices for helping to advance teaching, scholarship and service.

4. Think big picture: If your intention is to be part of the future of your program, don't lose sight of the big picture. Day-to-day minutiae, crises, and administrative clutter can fill your life and waking hours and refocus you on short-term achievements. Remember to focus on the big stuff, ignore the 'yes buts' and the

difficulties (at least at first) wherever possible, and keep your eyes on the horizon. Filter out the 'noise' of less important material, and stick to major principles. If not, you will quickly get immersed in details that confuse the final outcome of a vision.

5. Make sense of it all: Semesters begin with a bang, hurtle at breakneck speed through finals and end abruptly. Despite everyone's best efforts, progress toward programmatic goals and even awareness of the program's identity may be unclear or unshared by the players in the frantic rush to "get the work done."
Try and develop a detached, critical overview of your program and be the commentator on its development. Once you've made sense of it all — or at least your version of it — try to communicate the story to the appropriate audiences, and engage your colleagues in constructive discourse about its future. Simplify. Then simplify again.

There are endless complications, nuances and complexities in everyday administration. Once you've cleared the noise to give you a chance to "think big," don't blow it by talking gibberish. Reduce your message to manageable concepts — short sentences, clear examples, appropriate metaphors, and no jargon.

6. Talk straight: Someone once said: "Sincerity is the key to good leadership — if you can fake that, you're in."

This is not the best advice, as the bumpy progress of many a politician has shown. Every day, you talk to many people, often on the same subject. If you spin a different story to one and not the other, you will be caught. Maybe not immediately, but when you do, there goes your credibility. Tell the truth at all times. Be economical with it — everyone doesn't need to know everything — but be direct and honest, even if it may be uncomfortable at times. In the long run, it's better to be known as a trusted and honest leader whose words have credibility and consistency even if the message you deliver is not always what everyone will want to hear.

7. Borrow freely: Very little is new in academic administration. A lot of very smart people have come before us, and they've tried just about everything. Don't reinvent the wheel. Find out what others have done and shamelessly appropriate the ideas, adapting them as necessary. My decanal colleagues and I have been pilfering each other's ideas for years — the phrase 'bubonic plagiarist' has been used on occasion — and usually improving on the other's performance in the latter iterations of each idea.

8. Go with your strengths: Administrators all have different styles and different strengths. If you're a detail-oriented person focused on the inner workings of your school, be careful if you enter an arena that expects you to be the Vision Person or the Outside Dean — the transition may be difficult. Play to your strengths, be true to your core characteristics and choose a role and/or a school which is compatible to your skills. Even if the match isn't perfect, do your job in the best way that utilizes your skills. The results are likely to be better than if you retool mid-task.

9. Look, listen and learn: Most day-to-day problems stem from poor communication — people not telling their story clearly (see Point 5) or others not hearing — or rather hearing, but not necessarily listening. A good legal contract has been described as a 'meeting of the minds.' If you want your mind to meet those of others, concentrate on what they are saying, both in words and in their body language. Ask frequent questions, confirm key details ('so you mean…') and commit the result of any actions to paper as soon as possible.

10. Do it with humor: Leaders are asked constantly to speak at a conference or meeting, or provide opening remarks at any number of events, often with very little notice. Humor is a serious tool that can set the tone, leaven otherwise doughty comments and actually increase the likelihood that your words are being heard — people listen more if they are interested and/or entertained.

Of course, not everyone is a natural comedian, so choose your material carefully. Keep a file of short jokes, anecdotes, quotations, statistics, lists — anything that might one day be relevant to commentary you have

to make. Even the dullest of bureaucrats can light up a presentation with a well-chosen quote or appropriate aphorism.

Summary
While there may be no real secret to sustaining a long career as an academic administrator — it could be luck and circumstance — developing skill sets that attitudinally engage you more with your colleagues and programs are a good first step in being an effective leader in a current climate where short-term change is prevalent.

Academic leadership is dependent on the ability of a dean, director or chair to give attention to often-contentious constituencies. Staff, faculty and students demand attention in significantly different ways. Building a relationship with each of these on the terms of the constituency is essential to effective leadership. However, as in any relationship, the essential ingredient is a regular honest exchange of ideas.

Recognizing the Constituencies of Leadership

Staff: where the service is.....

Faculty: where the power is .....

Students: where the action is .....

"I'm getting tired of teaching. I'm thinking of transferring into administration so I can relax for a couple of years."

Staff: where the service is.....

An academic community is often almost exclusively defined by the credentials and accomplishments of the faculty. It is true that the performance of the athletic teams frequently serves as the front porch of the institution but in almost every other sense what demonstrates that the institution values the individual and treasures the student has much to do with an almost invisible constituency, the staff. Yet this constituency is most frequently the first point of contact with students, they are the underpinning of programs and services, and the face they present to the public is often the measure of the University in the most difficult situations.

An academic leader must give careful attention to this constituency. The very quality of the programs and services that are delivered is dependent on their commitment and ability.

An academic leader must be able to walk in the shoes of a staff member in order to provide them leadership.
Marvin J. Malecha

Workshop Agenda:
Managing Work Assignments and Talents and the Importance of Appreciation
Staff Incentives
Staff Development

Relevant Reading:
What a new boss should tell the staff
Joan Lloyd
The Five Constituencies of a Deanship
Marvin J. Malecha
Compass
NC State University

Dilbert

Faculty: where the power is .....

One of the greatest challenges lies in the field of faculty development. This responsibility extends beyond the tenure-track probationary period to the whole of an individual's career, through annual reviews, further promotions and ultimately, the transition to a different level of relationships between individual and school after retirement. The administrator can point out opportunities in teaching, research, and service creating new possibilities. Support can be political (letters of reference) or moral, giving each individual the chance to talk about long-term goals. Regular meetings with faculty (once a year?) keep the channels of communication open. The personal touch makes a difference including notes of congratulation. Discussions of the individual's teaching or personal interests demonstrates concern and can inspire faculty. Bob Greenstreet

Workshop Agenda:
Faculty Development
Incentives for Continuing Growth
The Balanced Life
Teaching, Scholarship, Service
Faculty Governance
Understanding Academic Responsibilities

Relevant Reading:
Reappointment, Promotion and Tenure Case Studies
Bob Greenstreet
Rusty Nails
Bob Greenstreet
Faculty Development in Architectural Education
Bob Greenstreet
Advice to Aspiring Faculty
Marvin J. Malecha
Judging Others – Judging Yourself
Marvin J. Malecha
Cultivating a Teaching Persona
Chronicle for Higher Education
Documenting Excellence in Teaching
The Teaching Professor
UW-Milwaukee Faculty Mentoring Program guidelines
University of Wisconsin-Milwaukees
Mentoring Support for Junior Faculty Women
University of Wisconsin-Milwaukee
Affinity, Joint and Transferal of Faculty Appointments
Marvin J. Malecha
Faculty Salaries
Marvin J. Malecha
Faculty Practicum Appointment
NC State University
The Junior Faculty Handbook
Malecha, Greenstreet, ACSA
Changing Lanes: The Administrator's Role in Faculty Retirement
Bob Greenstreet

Students: where the action is .....

Students represent the heart and soul of each school and efforts should be made to ensure a rewarding experience for each individual beyond the simple confines of the curriculum. Administrators should try to work with student groups (AIA-S, M=magazines, bookstore, volunteers, organizational support) and help them undertake their activities. This may need financial support or political muscle. Student extracurricular activities should never be undervalued. A healthy school should a plethora of social and educational activities (field trips, lecture and film series, visits to practice, mentoring programs, exhibitions, competitions). Such activities create a great sense of spirit within each program, and actually enhance the academic environment. If students want to hang around it is both educational and enjoyable. Administrators should be mindful of the fragility of volunteerism. It is rare in a busy group and needs to be nurtured, fostered, protected, and rewarded. It also needs to be maintained beyond a single academic year, to prevent a highly successful AIAS chapter, for example, from disappearing when key characters graduate. Volunteers are, as we know, thin on the ground and every effort should be made to connect the student groups with other volunteer organizations (local AIA, alumni associations, university student union, etc.) They may be able share ideas, co-sponsor events, pool limited funds or just work together on activities that benefit all in the architectural community.
Bob Greenstreet

Workshop Agenda:
Beginning where the Students are
Understanding the generating impulses and origins
Communication, Communication, Communication
Getting Things Going
Activities
Organizations
Keeping Things from Falling Apart
Understanding shared Organizational Responsibilities
Shared Governance
Honor Code

Relevant Reading:
Sharing Governance with Students
Marvin J. Malecha
Campus Life
Ernest Boyer
Honor Code
University of Wisconsin-Milwaukee
Right of Inquiry
NC State College of Design

What a new boss should tell the staff
Joan Lloyd

I'll bet there are times when you wish you could be a fly on the wall. Remember when you were promoted to manager? Don't you wish you could have listened in on the gossip in your new work group? Don't you wish you could have read their minds? I'll bet you spent some time fumbling around before you settled into your new role. No doubt your new team was tiptoeing around you while you smiled and appeared in control. Next time I'll be smarter, you say. Will you? Every new group creates the same anxieties. Will you act differently?

Here's how: Next time, don't hesitate. Wipe that frozen smile off your face and call your team together. Next, tell them how important it is for the team to begin to know one another. Then start a dialog on these questions your new team really wants answers to:

- What jobs have you held in the past? How do they compare with this one?
- Have you ever been a supervisor or manager before?
- What is your management style?
- Do you prefer to communicate by memo or informal note?
- What are your feelings about chair-of-command communication?
- Have you ever worked with an all-male (or all-female) staff?
- Are you willing to go to bat for us?
- Are you willing to level with us and say no?
- What are your goals and expectations of us?
- How do you handle stress?
- Do you have a temper?
- Will you treat our team the same as other teams who report to you?
- Who will take over when you're gone?
- Do you understand our jobs?
- Will you respect the work we've done in the past?
- Will you keep us informed on issues that affect us, so we're not the last to know?
- Will you ask us for our input prior to making decisions we'll have to implement?
- Will you give us specific feedback at performance appraisal time? (Will you tell us what you see as our strong points as well as areas that need improvement?)
- Will you give us feedback throughout the year – not just at performance appraisal time?
- Will you hold regular meetings with us?
- Will you ask us to share information about the group's personality?
- Will you ask us about any problems or challenge we face?
- Will you try to get to know each of us personally?
- Will you be fair?
- Do you have any special "hot buttons" we should know about?
- Are you organized?
- Can we tell you what's bothering us without fearing your reaction?
- Do you have a sense of humor?
- What is your vision of this group's future?
- Will you give us opportunities to grow?
- Will you trust us?
- Are you moody?
- Will you let us have some fun?
- Will you confront poor performance and poor work habits?
- Are you decisive?
- Will you have influence with those above you?

How do I know these are the questions work groups want answered? Oh... a fly on the wall.

Recognizing the Constituencies of Leadership   1

Handling the Troops:
The Five Constituencies of a Deanship

Marvin J. Malecha, FAIA, Dean
NC State School of Design

Prologue

Academic leadership is founded on trust and respect rather than power and authority. The sword, helmet and shield you have been issued along with your academic regalia are no more than rubber painted to simulate steel; if you choose to ever use these weapons you will find yourself in the arena unarmed. Leadership in the academy is dependent on the ability to act in reflection while incorporating the ideas of a diverse community. Selflessness rather than ego propels a successful deanship. Fundamentally, the academic leader is called on to provide leadership to those who wish no such individual and resist any single vision. This reality is in conflict with the expectations of a dean or department head to construct a strategic plan and the need to make tactical choices related to appointments and the expenditure of resources. The academic leader must operate from the position that there are many ways of doing the right thing.

Five Constituencies : Five Perspectives

The academic leader is challenged to walk along the paths of divergent interest groups. While each of these groups together comprise the community of a college or school, they are essentially different from each other. Each looks to the academic leader to address the specific concerns of the group, convince the other elements of the community of the validity of the demands of the individual group, and at the very least incorporate aspects of the individual group into all community policy and practices. Five major groups comprise the academic community; students, faculty, staff, senior administration, alumni and friends. Each require a different response from the academic leader. Each expect different outcomes from the effects of academic leadership. Each group will expect you to walk in their shoes. An academic leader is an individual dedicated to tireless communication. Communication defined for a dean is listening. This is only accomplished by becoming fully familiar with the academic context. An academic leader is must know their place. The academic leader is responsible to set the tone of the discourse within the community. The five perspectives and the related expectations of the constituencies within the academy require the individuals who accept leadership responsibilities to facilitate open discourse and to seek shared aspirations. While seeking to understand the context of the School of Design the writing of Eugene Brooks was brought to my attention. His presidency at NC State University was characterized by his contributions to student governance. Brooks Hall, the home of the School of Design, was named after him. Therefore, his contributions seem to be particularly relevant to our design community.

Eight Point Program of Eugene Clyde Brooks :
for student government and a guide for the Future
NC State President 1923-1934

1, *To be able to disagree without resorting to personal abuse*
2, *To be free to criticize but without becoming libelous or malicious and striking at character.*
3, *To be humorous, but without being course or vulgar.*
4, *To point out defects without arraying class against class.*
5, *To condemn wrong doing, but to base condemnation on truth and not on mere rumor.*
6, *To use public funds legally, and to be conscious of a public duty in the expenditure of these funds.*
7, *To place all business with the public on a sound business bases that will square with good business ethics.*
8, *To make honor grow from an inward desire to be honorable, for everyone has the possibility of becoming what he thinks he is, and most people think they are honorable.*

The Students

Each of the constituencies declare the importance of the trust the academic leader holds regarding the specific perspective of the group. However, it is the students who place the most trust in a dean, associate dean or department head. Their time is golden, it cannot be repeated. An academic leader can not lose the connection with the students. This connection lost is the end of leadership.

The students expect from the curricular experience relevancy, topicality and preparation to enter the design professions; but truly they expect more. Students expect to have meaningful participation in the governance of the school. True participation in the determination of paths of study and an interactive relationship with teachers reflects the demand for greater individual responsibility. The student population is more mature and more consumer oriented than at any time before in our history. Students today expect a curricular experience that is diverse in nature, critical in practice and continually renewing. The generation of students arriving on campus are more visually sophisticated than ever before. Traditional teaching methods often fall short of the demands of students. Students expect an interactive relationship with their education. They critique the performance of teachers, the relevancy of curricula, and the perceived value added quality of their coursework.

The Faculty

The academic leader is a member of the faculty. An entire career is built on academic accomplishment preparing the individual to accept the charge of leadership. Each step of a career is the ground for the difficult decisions that accompany the role of a dean or department head. The academic leader must maintain a professional or scholarly life beyond administrative duties. The line some would draw between

administration and teaching is entirely artificial. The academic leader must resist this characterization or risk being isolated from faculty colleagues.

The faculty expect recognition, support and appreciation. They equally expect to share in the governance of the community. A fragile balance of power exists between the faculty and academic leadership. The diversity of the interests of the faculty must be contained within an ordered perspective. Freedom is dependent on order.

The dean or department or department head is in a position that requires selflessness. Deanship is characterized by helping others to achieve career aspirations. The faculty are dependent on this essential aspect of leadership.

The Staff

The staff of a School or a college is most often overlooked as an important aspect of the community. These individuals often work in a second class or servant status within the academy. Frequently, they are the one constituency that is least academically qualified and therefore without advanced credentials in an atmosphere of credentials. Usually this group is without representation regarding the operating policies or priorities school or college. Yet, this is the constituency which must carry out the administrative duties. The staff perform professional duties and as such demonstrate professional behavior to students on a first hand basis. Their role as advisors and advocates for the students must not be underestimated. Any doubt of their importance to the well being of the institution is quickly dispelled by alumni who repeatedly remember the importance of these individuals to their experience in school. The staff also expect a mature consulting relationship in the management of the school. The dean must consider and advocate for the staff as the senior staff person in the school.

The Senior Administration

The academy is responding to the transformations underway in society. Repeated attempts at continuous quality improvement (CQI) and total quality management (TQM) have had the effect of changing the operational paradigm of the academic environment. The overriding operational paradigm of the University has been collegial. The pursuit of knowledge was the cause, means and end of the academy. This organizational principle was tempered by the Morrill Act, establishing the land grant tradition, but the proclivity of the university remained collegial. Today university management has adapted the corporate model of institutional assessment. Programs must demonstrate demand for their subject matter, an efficient method of delivery, easily understood measures, and a clear value added component to curricular paths.

An academic leader must move comfortably in the management environment.

The Alumni and Friends

The alumni and friends of the professional program have vested interests beyond the academic program. They are vested by their own involvement with the program. They are vested as clients of the program receiving the recent graduates as an extended family. They are clients, investors, tax payers, and family. They are vested by the pursuit of knowledge related to their discipline.

This is a group that must be actively pursued for their involvement with the program as much as for the resources that may brought to the institution. The alumni must be met on their own terms within their own environments. The academic leader must build a relationship with the constituency outside of the academy to be effective.

Promoting Discourse, Valuing Openness

The free and ordered environment defined by A. Bartlett Giametti inspires the fundamental responsibility of the academic leader to lead the discourse of the academy. Only through openness is it possible to conduct and promote discourse.

A Community of Ideas

Leadership is defined by inclusion rather than an individual vision. Each of the five constituencies expect participation in determining the ideas that define the aspirations of the community. Just as there is a need to develop shared ideas it is also important to recognize that individuals within the community may have ideas worthy of study. An academic leader must work toward the incorporation of the shared and individual visions in an overall notion about the community.

Engendering Trust and Respect

Trust and respect underlie academic leadership. Trust is fostered by clarity and consistency even as it is tempered by openness. Respect is garnered by firmness of action as well as it is proven by accomplishment.

Closing

Ultimately, success in academic leadership is dependent on the strength of the individual. The confidence to solicit and incorporate the ideas of the entire academic community is established by a clear record of individual achievement. Handling the troops therefore is less a matter of discipline than it is continuous communication guided by clear thinking and firm action.

HR Training Services
The Compass
Plot Your Course

This publication is a resource guide to training and educational opportunities, as well as various campus resources, including policy awareness, management, and professional development for North Carolina State University Employees.
This guide is available at http: www2.acs.ncsu.edu/hr compass

Human Resources - Training Services, is committed to identifying and addressing university, departmental, work team, and individual development opportunities. To meet that commitment, we have created a new professional development guide called "The Compass."

The Compass is a resource to inform you about the programs and services we offer to develop knowledge, skills, and abilities. Training Services offers high quality programs, services, and courses that meet the needs of our customers.

From communications, to team building, to policies and procedures, we have a learning solution to meet your needs. By using *The Compass*, we challenge you to plot your course!

Table of Contents

Professional Development and Skill Building: Development Tracks

Training Services is often asked to recommend specific courses to employees who want to develop a broad or foundational set of skills within a particular area of development. The six development tracks below will enable you to plot a course focusing on the knowledge and skills within a specific area of development. Identify the track in which you wish to focus. Then using the Participant & Course Matrix, on page three, find the individual course that offers you the skills and knowledge you want to target for development.

NOTE: Not all courses are available in Fall 2003. Check individual course listings for details.

Leadership
Directs the activities of others in the best interest of the University. Influences and persuades others in a desired direction. Models ethical behavior, champions change, and focuses on short and long-term strategy.

- Coaching for Success
- Influencing Skills
- Leading with Impact

- Management and Planning Tools
- Motivating Your Team
- Inspiring a Shared Vision

- Negotiating
- Organizational Change
- Strategic Thinking

Building Effective Teams
Motivates team members to achieve University goals. Works collaboratively as part of a team to accomplish tasks, problems, or projects. Inspires, motivates, and fosters commitment and team spirit.

- Team Fundamentals
- Interpersonal Communication

- Introduction to MBTI
- Motivating Your Team

- Conflict Resolution
- Team Problem Solving
- Team Decision Making

Managing the Business
Uses knowledge of general business principles, practices, and key business strategies to achieve goals and objectives within the University. Understands why the organization exists, how it works and roles and responsibilities within the organizational context.

- Achieving Excellence in Customer Service
- Business Ethics

- Introduction to Project Management
- Management and Planning Tools

- Process Flowcharting
- Team Problem Solving
- Team Decision Making

Managing People
Uses both written and oral interpersonal skills to communicate, resolve conflict, and coach. Respects, values and seeks out diversity. Develops leadership in others through listening, coaching, rewarding, and giving feedback to employees.

- Behavioral Based Interviewing
- Coaching for Success
- Conflict Resolution

- Cultural Exploration Series
- Giving and Receiving Feedback
- Intercultural Communication
- Management Models & Practices

- Interpersonal Communication
- Introduction to MBTI
- Negotiating
- Understanding Diversity

Managing Policy and Procedures
Possesses knowledge of and implements Federal/State laws, University policies, procedures, and guidelines to recruit, select, develop, appraise and reward employees. Manages performance and creates a safe and effective work environment.

- Americans with Disabilities Act
- Successive Disciplinary Procedures
- Equal Employment Opportunity and Affirmative Action
- Work Plan Development

- Hiring EPA Personnel
- Performance Management
- Position Management
- Recruitment and Selection

- Workers' Compensation
- Safety in the Workplace
- EPA and SPA Policy Administration
- Unlawful Workplace Harassment
- Workplace Violence Prevention

Self-Improvement/ Personal Development
Actively pursues self-development; seeks feedback from others, and opportunities to master new knowledge. Recognizes own strengths and areas for development. Fosters own learning and development for current and future job.

- Assertive Communication
- Basic Presentation Skills
- Look Who's Laughing
- Taking Risks

- Cultural Exploration Series
- Effective Business Writing
- Intercultural Communication

- Introduction to MBTI
- Introduction to Project Management
- Understanding Diversity

If you have an idea for a course or area of development that is not represented in The Compass, please contact Training Services at 919-515-7844 or e-mail: hr_training@ncsu.edu

Plot Your Course

Which course is right for you? Not every course offers the right mix of skills and knowledge for each of our customers. Therefore, Training Services has developed a Participant & Course Matrix to assist customers in plotting their course for personal development. Use the Matrix to determine which course(s) offer the appropriate skills and knowledge for the role in which you currently work. Then, for each course identified, use the page number provided to get more detail about the specific skills and knowledge offered within each course.

Course	New Employees	Non Supervisory Employees	Program/Project Managers	Managers/ Supervisors	Page Number
Achieving Excellent Customer Service	X	X		X	14
Assertive Communication		X	X	X	14
Basic Presentation Skills		X	X	X	15
Behavioral Based Interviewing		X		X	15
Business Ethics			X	X	16
Coaching for Success			X	X	16
Conflict Resolution		X	X	X	17
Cultural Exploration Series: Exploring the Middle Eastern Cultures	X	X	X	X	17
Effective Business Writing	X	X	X	X	18
Giving and Receiving Feedback		X		X	18
Influencing Skills		X	X	X	19
Inspiring a Shared Vision	X	X		X	19
Intercultural Communication	X	X	X	X	20
Interpersonal Communication	X	X	X	X	20
Introduction to Management: Models & Practices			X	X	21
Introduction to Myers-Briggs Type Indicator® (MBTI)	X	X	X	X	21
Introduction to Project Management		X	X		22
Leading with Impact		X		X	23
Look Who's Laughing	X	X	X	X	23
Management and Planning Tools				X	24
Motivating Your Team			X	X	24
Negotiating		X		X	25
Process Flowcharting			X	X	25
Taking Risks	X	X		X	26
Team Fundamentals				X	26
Team Decision Making			X	X	27
Team Problem Solving			X	X	27
Understanding Diversity: Valuing Differences	X	X	X	X	28
Recognizing the Constituencies of Leadership					9

Note: Strategic Thinking and Organizational Change have not been developed at this time. They will possibly be developed by Spring 2004.

Pathways Leadership Development Program

First, find a process that you believe needs to be improved the most. Next, share your vision in words that can be understood by your followers. Give followers the tools and methods to solve the problem. Then, when the process gets tough, get your hands dirty; a leader shows others how it can be done. Finally, share the glory with your followers' heart.
-- from "The Leadership Challenge" by James M. Kouzes & Barry Z. Posner

Who is eligible to attend Pathways: Only full-time SPA employees are eligible and must be nominated by their Chancellor, Provost or Dean. The nomination process begins in January with each Chancellor, Provost, or Dean making nominations for their College or Division. A letter of acceptance notifies participants that they have been selected into the program. For further information regarding Pathways, contact Training Services at 919-515-6371.

Program Cost: $150 per participant

Pathways Leadership Development Program Description:
Pathways is a year long leadership development program that links leadership development to organizational needs. As part of the Pathways Program, participants complete a 360-degree leadership assessment to assess key leadership skills. Based on the assessment data, participants, with the support of their supervisors and advisors, set leadership development goals to accomplish within the year. In addition to their daily work, participants complete approximately 33 hours of required traditional classroom instruction and approximately 9 hours of web-based instruction, as well as seek "on the job" opportunities to apply their new knowledge and skills.

What does a participant learn:
During the six years in which Pathways has been offered, participants of this leadership development program report an increased understanding of a leader's role and the challenges of leadership, increased confidence to lead people and projects, and an increased understanding between leadership and the bottom line.

As part of the Pathways program, participants will:
- Complete the 360-dgree Leadership Practices Inventory® feedback assessment to identify individual areas of strength and areas for development.
- Collaborate with their supervisors, to write goals which link individual leadership development to organizational needs.
- Develop an Individual Training Plan incorporating a variety of learning methods including traditional classroom instruction, web-based learning, and on the job learning, to achieve their goals.
- Complete a Pathways Project related to goals set for the year.
- Evaluate opportunities to apply their new skills within their organization.

"The Pathways Program provided me with a tremendous opportunity for both personal and professional growth. It enabled me to insightfully identify my strengths while simultaneously revealing and working to overcome areas in which I needed further development. Completion of the program, coupled with the support of my supervisor, has helped me to become an emergent leader within the College and given me direction as I look to the future."
Diane Baker, College of Agriculture and Life Science

"What I find most interesting is how all the classes I took meshed so well together...I don't think I would have achieved what I have in the past year had it not been for the valuable and enthusiastic coaching of the Pathways instructors, my Director, and the other Pathways participates."
Paulette Jaeger, Industrial Extension Services/College of Engineering

"As a result of this extraordinary Pathways experience, my accomplishments, and the progress I have made in my position, I was the recipient of the College of Agriculture and Life Sciences Award for Excellence in March. I am proud of this accomplishment and recognition, and I am more motivated to pursue further professional development opportunities. Pathways has given me the confidence, resources, and skills to successfully pursue my professional and personal goals."
Melissa Massengill, Soil Science

Supervisory Series

Who should attend: New and existing supervisors; employees responsible for administering policy, or employees currently working in a personnel role

Program Cost: $50 per participant

Program Description:
Supervisors are a critical link between organizations and work groups. Therefore, supervisors must be trained with the knowledge, principles, and policies to ensure effective, safe, and productive work environments for their organizations and for their employees.

The Supervisory Series is designed to:
- Introduce new and current supervisors to the fundamental policies and procedures necessary to effectively supervise staff at NC State University
- Provide an opportunity for participants to learn from subject matter experts
- Build a network of peer support by attending courses with other NC State supervisors

As a result of attending this series, supervisors will be able to:
- Explain the role of a supervisor and the scope of a supervisor's job
- Administer key University policies and procedures within their work group
- Explain the legal and organizational impact of their actions and behavior
- Identify key challenges in today's ever changing work environments

Required Courses For Certification:

Schedule for Fall 2003

Supervisory Series Orientation	September 2, 2003, 1:30 p.m. - 4:30 p.m.
Position Management	September 9, 2003, 9:00 a.m. - 12:00 p.m.
Recruitment and Selection	September 16, 2003, 1:30 p.m. - 4:30 p.m.
EPA and SPA Policy Administration	September 23, 2003, 1:30 p.m. - 4:30 p.m.
Equal Employment Opportunity and Affirmative Action	September 30, 2003, 1:30 p.m. - 4:30 p.m.
Americans with Disabilities Act (ADA)	October 7, 2003, 1:30 p.m. - 4:30 p.m.
Unlawful Workplace Harassment	October 14, 2003, 1:30 p.m. - 4:30 p.m.
Performance Management	October 21, 2003, 9:00 a.m. - 3:00 p.m.
Successive Disciplinary Procedures	October 28, 2003, 9:00 a.m. - 3:00 p.m.
Workplace Violence Prevention	November 4, 2003, 1:30 p.m. - 4:30 p.m.
Safety in the Workplace	November 11, 2003, 1:30 p.m. - 4:30 p.m.
Workers' Compensation	November 18, 2003, 9:00 a.m. - 12:00 p.m.
Program Close	November 18, 2003, 1:30 p.m. - 4:30 p.m.

*See Spring 2004 schedule on the next page.

To enroll: Fill out the course enrollment form in The Compass or visit the Training Services website:
http://www.ncsu.edu/human_resources/ts/course_enrollment/enrollmentform.html

Questions regarding this program should be directed to Training Services at 919-515-7844 or e-mail:
hr_training@ncsu.edu

Certificate Programs

Schedule for Spring 2004

Supervisory Series Orientation	February 3, 2004, 1:30 p.m. – 4:30 p.m.
Position Management	February 10, 2004, 9:00 a.m. – 12:00 p.m.
Recruitment and Selection	February 17, 2004, 1:30 p.m. – 4:30 p.m.
EPA and SPA Policy Administration	February 24, 2004, 1:30 p.m. – 4:30 p.m.
Equal Employment Opportunity and Affirmative Action	March 2, 2004, 1:30 p.m. – 4:30 p.m.
Americans with Disabilities Act (ADA)	February 9, 2004, 1:30 p.m. – 4:30 p.m.
Unlawful Workplace Harassment	February 17, 2004, 9:00 a.m. – 12:00 p.m.
Performance Management	March 23, 2004, 9:00 a.m. – 3:00 p.m.
Successive Disciplinary Procedures	March 30, 2004, 9:00 a.m. – 3:00 p.m.
Workplace Violence Prevention	April 6, 2004, 1:30 p.m. – 4:30 p.m.
Safety in the Workplace	April 13, 2004, 1:30 p.m. – 4:30 p.m.
Workers' Compensation	April 20, 2004, 9:00 a.m. – 12:00 p.m.
Program Close	April 20, 2004, 1:30 p.m. – 4:30 p.m.

To enroll: Fill out the course enrollment form in The Compass or visit the Training Services website:
http://www.ncsu.edu/human_resources/ts/course_enrollment/enrollmentform.html

Questions regarding this program should be directed to Training Services at 919-515-7844 or e-mail:
hr_training@ncsu.edu

Performance Leadership

Who should attend: Managers, Project Managers

Preferred Experience: Managing People, Project Teams, and/or completion of the Supervisory Series

Program Cost: $150 per participant

Textbook: Included in the program cost, participants will receive *The Successful Manager's Handbook* (6th edition).

Program Description:
Managers must have a large tool kit, containing a variety of tools and skills, in order to effectively do their job. "Hard" skills such as industry knowledge help managers get their work done. However, it is the "soft" skills, which define how *well* managers do their job. Often, these soft, or interpersonal skills are underestimated as necessary skills to manage and lead people or teams. Interpersonal skills enable managers to build, develop, and lead employees and teams to perform effectively and include skills such as:

- Communication - clearly conveying a message verbally or in writing
- Talking Straight - giving constructive and timely feedback on performance
- Coaching - enabling self-sufficiency in employees to make decisions and take action
- Leading - determining employees' ability and willingness to perform specific tasks

This certification program focuses on eleven interpersonal skills and knowledge areas, necessary for any manager to lead effective employee or team performance.

Required Courses For Certification:

Schedule for Fall 2003

Course	Date/Time	Location
Performance Leadership Orientation Intro to Management: Models and Practices	August 7, 2003, 9:00 a.m. – 5:00 p.m.	Scott Hall, Room 216
Business Ethics	August 21, 2003, 9:00 a.m. – 4:30 p.m.	Scott Hall, Room 216
Interpersonal Communication	August 28, 2003, 9:00 a.m. – 4:30 p.m.	Scott Hall, Room 216
Giving and Receiving Feedback	September 11, 2003, 9:00 a.m. – 4:30 p.m.	Room 216, Administrative Services Center
Conflict Resolution	September 25, 2003, 9:00 a.m. – 4:30 p.m.	Scott Hall, Room 216
Coaching for Success	October 9, 2003, 8:30 a.m. – 12:30 p.m.	Scott Hall, Room 216
Negotiating	October 23, 2003, 9:00 a.m. – 4:30 p.m.	Scott Hall, Room 216
Management Planning Tools	November 6, 2003, 9:00 a.m. – 4:30 p.m.	Scott Hall, Room 216
Effective Business Writing	November 20, 2003, 9:00 a.m. – 4:30 p.m.	Room 216, Administrative Services Center
Understanding Diversity	December 4, 2003, 9:00 a.m. – 4:30 p.m.	Scott Hall, Room 216
Built in Contingency Date	December 11, 2003, 9:00 a.m. – 4:30 p.m.	Scott Hall, Room 216
Team Fundamentals Program Close	December 18, 2003, 8:30 a.m. – 4:00 p.m.	Scott Hall, Room 216

Certificate Programs

Schedule for Spring 2004
(Tentative Schedule)

Performance Leadership Orientation	January 15, 2004, 9:00 a.m. – 12:00 p.m.	Scott Hall, Room 216
Introduction to Management: Models and Practices	January 29, 2004, 9:00 a.m. – 4:30 p.m.	Scott Hall, Room 216
Management Planning Tools	February 12, 2004, 9:00 a.m. – 4:30 p.m.	Scott Hall, Room 216
Business Ethics	February 26, 2004, 9:00 a.m. – 4:30 p.m.	Scott Hall, Room 216
Interpersonal Communication	March 11, 2004, 9:00 a.m. – 4:30 p.m.	Scott Hall, Room 216
Giving and Receiving Feedback	March 25, 2004, 9:00 a.m. – 4:30 p.m.	Scott Hall, Room 216
Conflict Resolution	April 15, 2004, 9:00 a.m. – 4:30 p.m.	Scott Hall, Room 216
Negotiating	April 29, 2004, 9:00 a.m. – 4:30 p.m.	Scott Hall, Room 216
Coaching for Success	May 13, 2004, 8:30 a.m. – 12:30 p.m.	Scott Hall, Room 216
Effective Business Writing	May 27, 2004, 9:00 a.m. – 4:30 p.m.	Scott Hall, Room 216
Understanding Diversity	June 3, 2004, 8:00 a.m. – 12:00 p.m.	Room 216, Administrative Services Center
Team Fundamentals	June 10, 2004, 8:00 a.m. – 12:00 p.m.	Room 216, Administrative Services Center
Program Close	June 10, 2004, 1:30 p.m. – 4:30 p.m.	Room 216, Administrative Services Center

To enroll: Fill out the course enrollment form in The Compass or visit the Training Services website: http://www.ncsu.edu/human_resources/ts/course_enrollment/enrollmentform.html

Questions regarding this program should be directed to Training Services at 919-515-7844. E-mail: hr_training@ncsu.edu

In coordination with the Office of Equal Opportunity, and the Office of International Scholar and Student Services, Human Resources offers numerous programs and activities of interest that relate to diversity.

Office of International Scholar and Student Services

Intercultural Communication
This course is designed to improve the overall quality of communication and relationships between employees of different cultural backgrounds. Emphasis is on taking action steps to increase communication among people of different cultures. See course description on page 20.

Cultural Exploration Series
In this course, participants will learn about cultures of other countries and the underlying values that define their cultures. The Cultural Exploration Series will enhance your knowledge of other cultures and positively influence relationships among members of our diverse campus population. See course description on page 17.

→For more information, please contact Hanya Redwan (hanya_redwan@ncsu.edu) at 919-515-2961, or visit http://www. ..edu/oisss/

The Office of Equal Opportunity

Equal Opportunity Institute
The Equal Opportunity Institute (EOI) is a unique certificate program open to all NC State University faculty, staff and students, and to the general public. The Institute is designed to provide participants a means for developing a comprehensive understanding of equal opportunity issues. Participants learn about equal opportunity, diversity, affirmative action, discrimination and harassment, and university policies and procedures through their completion of an individually designed education plan.

National Coalition Building Institute
The National Coalition Building Institute (NCBI) has stated that an effective diversity-training program must teach conflict resolution skills; effective listening; how to manage dialogue across group lines and a rationale for creating a welcoming workplace that becomes everyone's responsibility. This program is interactive and makes a great impact on all involved. This program is open to all NCSU faculty, staff and students.

Study Circles on Race and Ethnic Relations
Study Circles on Race and Ethnic Relations provides an opportunity for NCSU students, faculty, staff, and administrators to improve the racial and ethnic climate of the campus through dialogue and action. A study circle is a small, diverse group of 8 to 10 individuals who meet once a week for five weeks to share individual stories, learn from others, and take actions steps to improve race relations. It invites people with varied experiences to share their stories. The intent is to get people listening to others, which can lead to greater understanding and joint efforts of action.

→For more information on any of these programs, please visit the following websites or contact Beverly Jones Williams (beverly_williams@ncsu.edu) at 919- 513-3836:

The Office of Equal Opportunity: http://www.ncsu.edu/equal_op)
The Equal Opportunity Institute: http://www.ncsu.edu/equal_op/eoi
National Coalition Building Institute: http://www.ncsu.edu/equal_op/ncbi
Study Circles on Race and Ethnic Relations: http://www.ncsu.edu/equal_op/education/study_circles.html

Course: Look Who's Laughing
This course supports learning and awareness of Americans with Disabilities Act (ADA) issues. Participants will learn and discuss disability issues based on the experiences of several well-known comedians with disabilities. Look Who's Laughing is a comical and enlightening documentary about the lives, experiences and humor of six working comedians who have various types of disabilities. An ADA subject matter expert facilitates the course. See course description on page 23.

→For more information on ADA, please contact Greg Holden (greg_holden@ncsu.edu) at 919-515-7258, or visit http://www. ..edu/equal_op/disability.html

Human Resources

Understanding Diversity: Valuing Differences

Diversity goes beyond topics of race and gender. In this workshop, a broad definition of diversity is explored including such characteristics as ethnicity, age, religion, disability, sexual orientation, values, personality characteristics, education, marital status, and beliefs. By exploring differences, we can begin to understand how people perceive the world differently. It is through the reconciliation of differences that we begin to raise our awareness to function effectively in a diverse work group. For more information on course content, please go to page 28.

English as a Second Language

Who should attend: This course is available only to NCSU employees and International Scholars.

Dates: Tuesdays and Thursdays starting Tuesday, September 9th through Thursday, December 11th

Location: The course location cannot be determined until after academic courses have been set. Please contact the Office of International Scholar and Student Services 208 Daniels Hall or #919-515-2961 to identify the location during the week of September 9.

Cost: No cost to NCSU employees and International Scholars.

Course Description: This class is offered at the beginning, intermediate level and is for Internationals who have fair to good oral skills in English. Participants will be able to improve the speaking, listening, reading and writing skills that are necessary to live and work in the United States.

The English-as-a-Second-Language course is made possible through the coordinated efforts of Wake Technical Community College, the Office of International Scholars and Student Services (OISSS), and Human Resources at North Carolina State University.

El Curso De Ingles Como Un Segundo Lenguaje

Horario: Tuesdays and Thursdays (Martes y Jueves) 5:00 PM-6:30 PM

Fecha: Septiembre 9 hasta Diciembre 11

Lugar: El lugar del curso no se puede determinar hasta que después que los cursos académicos se hayan puesto. Contacte por favor la Oficina de Erudito y Estudiante Internacionales Atiende a 208 Vestíbulo de Daniels o #919-515-2961 para identificar el lugar durante la semana de septiembre 9.

Costo: Admision gratis para empleados de la universidad (NCSU) y eruditos Internacionales

Esta clase ha sido creada pensando en nuestros estudiantes internacionales que tengan el deseo de mejorar sus habilidades orales en ingles. El curso se centrara en mejorar sus habilidades para comunicarse, vivir y trabajar en Los Estados Unidos de Norte America.

Informacion:

Un curso para estudiantes que deseen aprender ingles como segundo idioma se ha hecho possible gracias a los esfuerzos coordinados de la comunidad tecnica universitaria del condado de Wake, de la Oficina de Eruditos Internacionales, de la Oficina de Servicios Para Profesores ye Estudiantes Internactionales, y de La Oficina de Recursos Humanos en La Universidad Estatal de Carolina del Norte.

Spanish for the Workplace

Dates: 5:00 p.m. - 7:00 p.m. Every Thursday beginning September 16, 2003 through Thursday, October 30th, 2003.

Course Number: 24200

Location: To be announced three weeks prior to class

Cost: $55 for course registration made payable to Wake Technical Community College $33 for the workbook made payable to the instructor to be named three weeks prior to the course

Course Description: Learn how to communicate with your Spanish-speaking employee. In partnership with Wake Technical Community College, the Spanish for the Workplace class will be offered this semester.

Participants completing this class will be able to:
1. Complete paperwork needed to hire an employee
2. Ask questions and provide directions basic voluntary and verbs

This course will give you a basic understanding of Spanish; basic sentence structure, commonly used verb tenses, and provide some vocabulary needed to converse with your employees in the workplace.

Because this course is not registered through NC State University, you will need the following logistics completed by your first class.

Registration will be made payable to Wake Technical Community College for the sum of $55. In addition, a sum of $33 will be made payable to the instructor. Class participants will receive the workbook upon completing registration.

→ A minimum of thirteen participants is required to conduct the class. Confirmation of the class beginning will occur three weeks prior to the first class date.

Please contact Mike Zeinstra (Mike_Zeinstra@ncsu.edu) at 919-515-6847 with any questions or suggestions about this course.

All permanent employees, part-time and full-time, must attend a New Employee Orientation (NEO)** session within their first 30 days of employment. Orientations for new employees should be scheduled within the first week of employment to allow them ample time to select their benefits. Orientation sessions are held several times per month at the Administrative Services Center for both SPA and EPA employees.

The purpose of orientation is:
- To welcome new employees to NC State University, orient them to University policies and procedures, and provide them with available resources for their questions and needs.
- To explain NCSU employees' rights and responsibilities
- To explain the Unlawful Workplace Harassment policy
- To explain and enroll in employee benefit programs
- To explain OSHA required safety information
- To provide information on diversity initiatives at NCSU

How To Register:
Employees can be registered for an orientation session by completing an orientation scheduling form. This form is available online at http://www7.acs.ncsu.edu/benefits/per_rep_corner/forms/orientation_form.asp Questions about the program should be directed to Marc Kushinsky, Orientation Coordinator, at 919-515-4313 or via email at mark_kushinsky@ncsu.edu.

** Part-time employees working less than 30 hours per week, but more than 20 hours per week, are eligible for some voluntary benefits paid fully by the employee. Part-time employees who are eligible for voluntary benefits may stay for the Benefits portion of the orientation. However, all employees, part-time or full-time, including Post-Docs must attend all other portions of the University's New Employee Orientation program.

SPA Employee Orientation Dates:

	Mondays
July	14th, 21st, 28th
August	11th, 18th, 25th
September	8th, 15th, 29th
October	6th, 13th, 20th, 27th
November	3rd, 10th, 17th
December	1st, 8th, 15th

EPA Employee Orientation Dates:

	Thursdays	Fridays
July	10th	18th, 25th
August	14th, 28th	1st, 8th, 22nd
September	18th	12th, 26th
October	9th	24th
November	13th	7th, 21st
December	18th	5th

The Equal Opportunity Institute
The Equal Opportunity Institute (EOI) is a unique certificate program open to all NC State University faculty, staff and students, and to the general public. The Institute is designed to provide participants a means for developing a comprehensive understanding of equal opportunity issues. Participants learn about equal opportunity, diversity, affirmative action, discrimination and harassment, and university policies and procedures through their completion of an individually designed education plan.

The Institute is sponsored by the Office for Equal Opportunity in conjunction with the Center for Student Leadership, Ethics and Public Service and Division of Human Resources. The program takes place each year from September through May. Registration is open July through early September.

If you are interested in participating in this program, or would like to learn more about it, please visit our web site at http: www.ncsu.edu equal_op coi If you would like additional information, contact Beverly Jones Williams (beverly_williams@ncsu.edu) at 919-513-3836.

Building Bridges: A Prejudice Reduction Workshop
The National Coalition Building Institute (NCBI) has stated that an effective diversity training program must teach conflict resolution skills; effective listening; how to manage dialogue across group lines and a rationale for creating a welcoming workplace that becomes everyone's responsibility. This workshop follows a model developed by the National Coalition Building Institute. It has been offered on many college campuses across the United States.

Participants will engage in a set of activities designed to celebrate their similarities and differences; identify the misinformation that they have learned about other groups; identify and heal from internalized oppression; claim pride in their own group identities, and gain empowerment by learning concrete tools for changing bigoted comments and actions. This program is interactive and makes a great impact on all involved. This program is open to all NCSU faculty, staff and students.

For more information visit: http://www.ncsu.edu/equal_op/ncbi

Study Circles
Study Circles on Race and Ethnic Relations provides an opportunity for NCSU students, faculty, staff, and administrators to improve the racial and ethnic climate of the campus through dialogue and action. A study circle is a small, diverse group of 8 to 10 individuals who meet once a week for five weeks to share individual stories, learn from others, and take actions steps to improve race relations. It invites people with varied experiences to share their stories. The intent is to get people listening to others, which can lead to greater understanding and joint efforts of action.

For more information visit: http://www.ncsu.edu/equal_op/education/study_circles.html

Some thoughts on the first NCSU Study Circle held in Spring of 2003:

" Study Circles has been instrumental in helping me to understand the varied opinions and ideas regarding race and ethnicity. It has made me aware of concerns about racism that I didn't realize were out there." --Carrie McLean, First Year College Academic Adviser

"This is not just a "head" experience; it engages the "heart" and "soul" and "gut" as well. Real work gets done when students become the teachers - that's what happens in a study circle where everyone's experience and perspective is respected."--Roger Callanan, Undergraduate Affairs

Campus Recreation

The Department of Campus Recreation provides a variety of activities to meet your recreational needs. These include: Intramural Sports, Fitness/Wellness, Outdoor Adventures and Club Sports, with a healthy dose of special events scheduled throughout the year.

Carmichael Gymnasium

The Department of Facilities & Operations in the Carmichael Complex manages all aspects of the complex. A variety of space, both indoor and outdoor, offers basketball and racquetball courts, weight rooms, swimming pools, recreational fields, tennis courts and rock wall to name a few. For information on gym privileges or to obtain membership, please contact the office of Facilities & Operations at 919-513-3684 or stop by the office in room 2012 Carmichael Gymnasium.

For more information, or to learn how to sign up for activities, check out the website http://www.ncsu.edu/campus_rec, call 919-515-3161, or come by the office located in room 1000 Carmichael Gymnasium.

Athletic Events

Attention Wolfpack sports fans! Did you know that there are 23 NC State varsity sports? Don't forget to check out http://gopack.ocsn.com to find out the latest schedules, results, and season ticket information.

Fall Sports	Winter Sports	Spring Sports
It's that time of year again, and the Wolfpack is out in full force! This fall you can catch Volleyball, Cross Country, and Men and Women's Soccer.	Winter sports begin in November and include Wrestling, Swimming and Diving and Rifle.	Don't forget our spring sports! The exciting competition in baseball, softball, tennis, and golf will leave you on the edge of your seat! All four of these sports will have new state-of-the-art facilities within the next 2 years.
Volleyball – FREE for everyone Cross Country – FREE for everyone M/W Soccer – Faculty/Staff FREE with campus ID Adult Ticket - $5.00 Youth 17/Under - FREE	Rifle – FREE for everyone Wrestling – FREE for everyone Swimming and Diving – FREE for everyone Gymnastics – Faculty/Staff FREE with campus ID Adult Ticket - $5.00 Youth 17/Under – FREE	M/W Tennis – FREE for everyone Track and Field – FREE for everyone Baseball – Faculty/Staff FREE with campus ID Adult ticket - $7.00 Youth 17/under - FREE Softball - TBA
And let's not forget about football. Faculty and Staff are offered discounted season tickets. Be on the lookout for your special faculty/staff postcard in the spring.	Faculty and Staff are offered discounted season tickets to both Men's and Women's Basketball. Be on the lookout for your special faculty/staff postcard in the fall.	

Call 865-1510 or 1-800-310-PACK to reserve your seats now, or check out http://gopack.ocsn.com !!

WOLFPERKS – Employee Discount Program

The Human Resources Division is excited to introduce WolfPerks, an employee discount program. The program is a partnership with local, statewide and national businesses that offer discounts or other incentives to NC State University employees who have a valid University identification card. All NC State employees are invited to take part in the WolfPerks employee discount program. To use the program, identify yourself as a NC State employee by showing a valid NC State picture ID card at the time of purchase at the participating business. As an employee you are eligible for all discounts offered through the program.

Participating partners can be identified by going to http://www.ncsu.edu/hr/wolfperks. Some discounts will require membership cards, account numbers, brochures, order forms, or other information. To attain additional information, please contact Employee Relations at 919-515-4282 or 919-515-4295 or visit the WolfPerks website.

The University Club
The NC State University Club was dedicated in 1965. The University Club's mission is to promote, develop and carry on recreational, social, entertainment, and amusement activities for members, their families and guests. All resident full-time and adjunct faculty, staff, students, alumni and University Affiliates of NC State University are eligible to join. For further membership information, or to setup a facility tour, please call 828-0308.

Key Haven Camping and Picnic Area
Key Haven is located on a secluded, wooded point at Kerr Reservoir approximately 50 miles North of Raleigh. It is available for use by faculty, staff, and their families. The annual membership fee is $15 per family, and a one-time key charge of $5. Facilities include picnic shelters, tables, pit toilets, boat ramp, camping space, and beach areas for swimming. There is no water or electricity on the property. For further information, contact Shoshana Serxner at 919-515-5697.

Adult Basic Education: High School Equivalency Preparation
To begin or continue your basic educational development, Facilities Operations offers an Adult Basic Education/GED program. This program is conducted by Wake Technical Community College. Please contact Pat Grantham at 919-515-2181 for further information.

Environmental Health and Safety Center
The Environmental Health and Safety Center provides occupational safety and health training to university employees both on a routine basis and upon request of individual supervisors. To schedule or inquire about training sessions or workshops, call the Safety Trainer at 919-515-6870, or go to http: www.ncsu.edu ehs

Ergonomics
The goal of ergonomics is to match worker and job to increase productivity and decrease health or safety problems. Environmental Health and Safety provides ergonomic assessments, consultations and course. For more information, contact Environmental Health and Safety at 919-515-6871.

Disability Income Plan Workshop
This workshop is designed to provide information about the Disability Income Plan of NC (DIPNC). The plan is designed to provide a benefit if you become disabled and cannot perform your job duties prior to your eligibility for retirement. It is beneficial to all employees who want to gain a better understanding of how the plan works and how to apply for the benefits. Please check the following web-link for updated Benefit Information:
http: www7.acs.ncsu.edu benefits_homepage.asp

Industrial Extension Service – College of Engineering
The Industrial Extension Service (IES), College of Engineering, is located on Centennial Campus and in offices across the state. Created in 1955, IES is the oldest service of its kind in the nation. IES provides education, training, and technical assistance to businesses and industries. As an extension of the University-with its long-standing tradition of engineering research, knowledge and experience-IES reaches into the offices and factory floors of North Carolina's small to medium-sized companies to help them stay competitive through a variety of programs. Noncredit courses are available in areas of Energy and Facilities, Lean Enterprise, Quality and Standards, Environmental, Health, and Safety, and Construction. IES also offers on-site assessments and training, and video and online distance learning. IES manages the NC Entrepreneurial Development Center on Centennial Campus, offering business support resources and services designed to accelerate the growth and success of entrepreneurial companies that will commercialize critical new technologies and strengthen local and national economies. Discounts may be available to NC State employees in some programs. For more information, please consult the web site at http://www.ies.ncsu.edu

Communication Technologies

Telephone System Training: The Communication Technologies Department provides end-user telephone training upon request on all new telephone systems just prior to their installation. End-user refresher training is also provided on all existing telephone systems. Please contact a telecommunications specialist at 919-515-7099 and "PRESS 3" to request any refresher training or to inquire about other telecommunication needs.

Voice Messaging Service Training: The Communication Technologies Department provides training for all Voice Message Services. Training will be provided upon request for anyone obtaining a new Voice Mail Box as well as those individuals who are seeking to refresh their voice messaging skills. Call a telecommunications specialist at 919-515-7099 and "PRESS 3" to obtain more information.   Their web site is http://www.fis.ncsu.edu/telecom/acad-admin.htm

The Division of Continuing Studies

The McKimmon Center for Extension & Continuing Education located at the Jane S. McKimmon Conference & Training Center (919-515-2277), provides access to the expertise and resources of North Carolina State University to meet continuing education needs. For further information about these opportunities, please access the web site at http://www.mckimmon.ncsu.edu

North Carolina Cooperative Extension Service

The North Carolina Cooperative Extension Service, based at North Carolina State University, is part of a nationwide educational service funded by federal, state and local governments dedicated to improving the quality of people's lives. Extension relies on research-based information from NC State and North Carolina A&T State University to develop educational programs to serve the needs of the state's communities and citizens. Educational materials, such as videos and fact sheets, are available on campus and in county centers. Special program circulars are available upon request. For more information, call 919-515-2811.

Women's Center

The North Carolina State University Women's Center is open to women and men. The Center provides resources for students, faculty, and staff at a time when gender issues continue to change both within the NC State University community and society at large.

We offer informal advising and consulting on advocacy issues and referrals to campus and community resources. Specific programs, events, and services are designated to provide women with peer support, informal advising, and role modeling to ensure women students successfully complete their education. In addition, the Women's Center offers support and assistance for sexual assault, rape, dating or relationship issues, and sexual harassment.

The Center acts as a central coordinating unit to assist the campus and Raleigh community in utilizing women's resources and provides space for groups to meet in a safe, supportive, and confidential atmosphere. In all of its activities, the Women's Center strives to promote an awareness of racial, cultural, and ethnic perspectives both locally and globally. For more information, visit us at http://www.ncsu.edu/womens_center or contact Frances D. Graham, Ph.D., Assistant Vice Provost for Gender Affairs and Director for the Women's Center, at 919-515-2012 or via email: Frances_Graham@ncsu.edu.

Waiver of Tuition and Fees for Faculty and Staff

University employees who contribute to the Teachers' and State Employees' Retirement System of North Carolina are eligible to enroll in one curriculum course, tuition free, during the spring, summer, and fall semesters. Employees may enroll in courses on this campus or any campus of the University of North Carolina system. Application for Faculty & Staff Tuition Waiver forms are available from your supervisor, the University Cashier's Office, 919-515-2986 or may be downloaded from http://www2.acs.ncsu.edu/hr/pdf/tuition_waiver.pdf

*Depending upon prevailing tax laws, the value of the tuition waived may be considered reportable taxable compensation subject to social security, federal and state tax withholding, unless the course is deemed job related.

- ❑ You must have prior supervisory approval to participate.
- ❑ Courses do not have to be job-related but they should not interfere or conflict with employment obligations.
- ❑ The Tuition Waiver Program doesn't pay for transportation, graduation fees, textbooks or supplies. A small processing fee is charged for the course.
- ❑ Each applicant must submit a completed and properly endorsed form entitled "Application for Faculty/Staff Tuition Waiver" to the University Cashier's Office prior to registering for a course each term.
- ❑ If you're enrolling in a course at another UNC institution, submit a completed application to the appropriate office of the enrolling institution.

Educational Assistance Program
The State of North Carolina's Educational Assistance Program allows University departments to reimburse permanent employees for the costs of job-related courses. Eligible courses are those that are:

- ❑ Beneficial to both the employee and the University
- ❑ Directly related to the employee's present responsibilities or field of work
- ❑ Are required to complete an academic degree program directly related to the employee's field of work

To apply for this program, an approved Application for Educational Assistance (Form DP 136) must be forwarded to Human Resources prior to taking the course. Application forms are available from Employee Relations and Training Services (919-515-7844) or may be downloaded from www.osp.state.nc.us/forms/edasst.pdf

Computer Training
Please refer to any one of the following for computer training resources:

Information Technology Division (ITD): The Information Technology Division offers training on Desktop Applications, Internet/Web development, and Multimedia in such applications as Dreamweaver, PowerPoint, Excel, and Photoshop. Training typically lasts 2.5 hours and is free to NC State Faculty, Staff and Graduate Students. For more information, go to ITD's web site: http://www.ncsu.edu/it-education, or contact ITD by phone at 919-515-HELP (4357).

Computer Training Unit (CTU): The Computer Training Unit offers a wide variety of computer training opportunities. In addition to the industry standard Microsoft Office 2000 Suite, CTU offers individual and complete program courses in such areas as Web Design, Server Administration programs and Office productivity. The cost of most 1-day in class offerings is $75 for NCSU employees, but there are online course offerings as well. For more information on upcoming schedules and registration for individual courses and Certification Programs, visit CTU's web site http://www.ncsu.edu/ctu or contact CTU by phone at 919-515-8163.

Office of State Personnel (OSP): The Office of State Personnel, in partnership with Wake Technical Community College, offers training in Microsoft Windows, Microsoft Office 2000, and Web Design courses. OSP is also a Microsoft Office Specialist Testing Center. The cost of 1-day courses is $85 and 2-day courses are $125. Free "Lunch Time Learning" sessions are also available. Check OSP's web site for schedule and registration information http://www.osp.state.nc.us/train.htm or contact OSP by phone at 919-733-8338.

Faculty: where the real power is .....

One of the greatest challenges lies in the field of faculty development. This responsibility extends beyond the tenure-track probationary period to the whole of an individual's career, through annual reviews, further promotions and ultimately, the transition to a different level of relationships between individual and school after retirement. The administrator can point out opportunities in teaching, research, and service creating new possibilities. Support can be political (letters of reference) or moral, giving each individual the chance to talk about long-term goals. Regular meetings with faculty (once a year?) keep the channels of communication open. The personal touch makes a difference including notes of congratulation. Discussions of the individual's teaching or personal interests demonstrates concern and can inspire faculty. Bob Greenstreet

Workshop Agenda:
Faculty Development
Incentives for Continuing Growth
The Balanced Life
Teaching, Scholarship, Service
Faculty Governance
Understanding Academic Responsibilities

Relevant Reading:
Reappointment. Promotion and Tenure Case Studies
Bob Greenstreet
Rusty Nails
Bob Greenstreet
Faculty Development in Architectural Education
Bob Greenstreet
Advice to Aspiring Faculty
Marvin J. Malecha
Judging Others – Judging Yourself
Marvin J. Malecha
Cultivating a Teaching Persona
Chronicle for Higher Education
Documenting Excellence in Teaching
The Teaching Professor
UW-Milwaukee Faculty Mentoring Program guidelines
University of Wisconsin-Milwaukees
Mentoring Support for Junior Faculty Women
University of Wisconsin-Milwaukee
Affinity, Joint and Transferal of Faculty Appointments
Marvin J. Malecha
Faculty Salaries
Marvin J. Malecha
Faculty Practicum Appointment
NC State University
The Junior Faculty Handbook
Malecha, Greenstreet. ACSA
Changing Lanes: The Administrator's Role in Faculty Retirement
Bob Greenstreet

"*We may as well go home. It's obvious that this meeting isn't going to settle anything.*"

Reappointment, Promotion and Tenure Case Studies
Bob Greenstreet

CASE 1

The Department of Curriculum and Instruction, like many of the University's departments, has been successful in adding women and minority faculty members in recent years. Out of the fifteen full-time faculty members, four are women, including one Hispanic woman. One woman was just tenured; the others are untenured.

During department meetings, several of the male faculty members seem to dominate, always having a strong opinion about whatever topic. Sometimes, debate is heated, with criticism of ideas mixed with criticism of individuals. On this Thursday, the group was discussing changing the scheduling of classes, so that Fridays would be reserved for students to visit local schools.

The idea met initial skepticism from one of the vocal faculty members, who jumped in right away when the idea was introduced. A few senior faculty members asked questions about the idea and another vocal faculty member insisted that the questions missed the point. A new female faculty member argued in favor of the change.

The third vocal faculty member objected, saying that the department was always responding to trends. The discussion continued for another ten minutes. Finally, the chair concluded that three was not support for the idea and moved to the final agenda item.

After the meeting, one of the vocal men was heard remarking, "I really like the way we can chew o issues in these meetings and get ideas out on the table and in the end, we all agree." Someone responded, "You got the right, buddy. We really go at it...And it's a shame that the women don't have anything to say." "Yah, except for that new Loud Mouth who never shuts up".

Later, behind the closed door of her office, one of the new women faculty members shook her head in frustration, and said to another, "I'd rather stick pins in my fingers than attend those department meetings! You don't dare express a contrary opinion or you really get cut down. We seem to operate as if we're enemies here. Why is there always only one answer: Theirs! And did you hear Jill arguing with them? She'd better watch out: it's a long road to tenure."

Her colleague agreed, "Coming from these meetings, I feel as if I've been railroaded. I barely have time to think about what my reaction is to an issue by the time one of them has pounced on it. Do they have an answer for everything? Well, I'm not going to live like this until 65; I'm going to find a better work environment somehow."

But first that colleague took the initiative to give you, as chair some feedback on the disappointment with your ruling and with the tenor of departmental discussions. Now that you are aware of the women's concerns, what do you do in response?

Case II

As the chair of the Economics Department, a specialist in the economics of discrimination, you receive a letter of complaint from a black student in Professor x's introductory Principles of MicroEconomics course last semester, and says that he discovered through an informal survey that most of the black students in the course received grades of D or F. He says that he believes that the professor discriminated against the black students I the course, and he requests that you conduct an investigation. The student's letter was copied to the dean and the chancellor.

You ask Professor x to come in and discuss the complaint with you. After you describe the gist of the complaint, you ask Professor x if he has any observations to make about it. Professor x says that he does not keep data on how well students do in his course on the basis of race. He asserts that his grading is "color blind" and that he sets a single standard for all they would fail – just as white students who do not meet the standard would fail. Professor x points out that all are invited on the syllabus to meet with him during his office hours. He does not see that there is an issue here, and he urges the chair to dismiss the request for an investigation.

What should the chair do at this point? Should there be an investigation? If so, who should conduct it? Should the chair consult with others before taking further action? With whom? The department, the dean, others? If there is no investigation, or if the investigation does not establish the discrimination has occurred, has this situation raised other questions about Professor x's teaching? If so, should the chair address them?

Case III

You are a chair in a social science department. Faculty from other social science departments have been working on an interdisciplinary program and they have recently received a federal grant to support its development. The committee that is developing the program has approached a number of members of your department to recruit their participation in the program. For a variety of reasons, each of them has declined to become involved.

The dean of the college calls you in to discuss the newly developing interdisciplinary program in the social sciences. She makes it clear that this program is very important to her, and that it will make a substantial contribution to the prestige of the university. She points out that the program is weakened without participation from your discipline since it addresses issues that are currently much discussed in your field. She notes that two or three of your faculty have scholarly interests that touch on the program's central focus. The dean wants your department to participate.

When you take the dean's message back to the department, several of the department members become quite angry. They regard the dean's request as an effort to strong arm the department into something it does not wish to do. One of the senior department members takes this opportunity to disparage department's high academic standards. After a rather long tirade against the dean, the senior member suggests that the department go on record as refusing to participate in this program.

What should the chair do? Should you try to prevent the matter from coming to a vote at this meeting? Should you invite the dean to a department meeting? Should you work with individuals to find a member for the interdisciplinary team?

Rusty Nails
Bob Greenstreet

You chair the Department of Animal Husbandry at the University of Wisconsin-Toulouse. Rusty Nails has been an assistant professor in the department under a series of consecutive academic year probationary contracts beginning six years ago. Rusty's initial appointment letter stated that tenure would be based upon performance in the areas of teaching, research and service as defined and explained in department, college and university level documents. Further, tenure would be based upon other factors including but not limited to programmatic need in he department and the department's financial ability to add another tenured position. Subsequent appointment letters referred to these factors.

From time to time, Rusty has consulted with you about data needed for renewal and tenure review. You have counseled Rusty to provide student evaluation summaries, sample syllabi, a list of university and community committees of which Rusty has been a member, and copies of a book review that Rusty has had published in a professional journal.

During Rusty's third, fourth, and fifth years of employment, the department recommended reappointment and "early" tenure. The chancellor joined in making the reappointments but declined to grant "early" tenure, stating that the university prefers to defer tenure decisions until the "up or out" year.

This is Rusty's "up or out" year. As it had the past four years, the Dean's office has provided data to the department which suggest that there are insufficient resources to support another tenure position in the department. The date have been obtained, organized and disseminated under a "tenure management plan" adopted by the Faculty Senate several years ago. Once again, the department recommends Rusty for tenure.

The chancellor has received the department's recommendation. Having asked for the department's written criteria for tenure, the chancellor is advised that the department has relied on custom, tradition, and close communications among faculty colleagues to advise probationary faculty of the criteria; they are not in writing.

The chancellor evaluates the recommendation and decides not to renew Rusty's appointment, citing the department's tenure density problem as the basis for the decision.

Advised that the chancellor declines to recommend tenure and, instead, has decided not to renew the appointment, Rusty comes to you for assistance. "I intend to appeal this. If I have to, I'm going to take this to the Supreme Court! Can you give me your best, most candid assessments of the strengths of my case? What are the weaknesses?"

If Rusty has to appeal the chancellor's decision under section UWS 3.08, how formal a hearing is Rusty entitled to? How much "due process" is required?

Faculty Development in Architectural Education
Bob Greenstreet

I was talking on the telephone to Marvin Malecha a few weeks ago and, when we'd finished sharing gossip and trashing the other past presidents we got to talking about faculty development. Marvin made what I thought was a great observation. It's a pity he's here today or I would've claimed it as my own. He said that, in the long run, Deans can only really make a lasting impression on a school in two ways — through the raising of endowment and the hiring of faculty — both are, by the nature of conditions usually attached to gifts and the durability of the tenure system, around for the long haul and cannot easily be dismantled, ignored or removed once the administrator has moved on, like so many of our other bright ideas.

This is a profound, albeit marginally depressing notion, but it is bang on — both faculty and endowments represent investments in the future and, like the securest of investments, they are safe from prying hands.

We readily recognize the importance of our faculty in the long term success of our schools, and have developed rigorous procedures in both the recruitment and tenure processes to ensure the best possible pool of colleagues.

And I think we recognize that, if we pursue the investment analogy a little further, that it is necessary to keep an eye and nurture our assets, to provide strong, wise guidance and enhance retention of the best and brightest. An investment, if not properly managed, may wither or just not reach its full potential and we as keepers of the investment are responsible if this happens.

ACSA has tried to play a positive role in the investment cultivation process, initially through the development of the Junior Faculty Initiative. This, as you may remember, consisted of the creation of the New Faculty Teaching Award, the Junior Faculty Fellowship Program, The Junior Faculty Handbook and annual Junior Faculty Workshops. As an initiative it was, I believe, quite successful, but this after all was the easy bit — the first six years of the careers of young, highly motivated and energetic scholars who have the added incentive of termination if they don't make the tenure hurdle are a pretty responsive group to work with.

The real challenge for us is to view the investment concept way beyond the tenure period to the full extent of a faculty person's career — a long term asset that can extend to another thirty-five, possibly forty-five years, making the tenure period, the one where we lavish so much care and attention, seem like a mere blinking of the eye.

The notion of Dean as banker, trying to maximize the yield on a long term investment, is useful for a number of reasons. It should resonate with our spirit of leadership and our sense of professionalism and collegiality as we attempt to help individuals reach their full potential. The benefit to our programs is obvious in all theaters of activity — teaching, research and service. The obverse is equally obvious; An abandoned investment may wither — a disgruntled curmudgeon may at best disconnect, feel disenfranchised and fade away. Sad, but nowhere near as bad as the saboteur who is out, willfully, to disrupt and destroy. We all know or have heard about these characters — they're bad news but how much of the responsibility of their behavior should we attribute to ourselves if we failed to nurture, to watch, to guide that individual over the course of a long career? Pragmatically, we are foolish to ignore anyone who is here for life, who can contribute but who may not — faculty development strategies thus become a vital component in maximizing our resources.

However, faculty development is not a new concept, as Gaff and Simpson in their 1994 Innovative Higher Education paper relate; Professional standards in academia were established in the first part of the century and various mechanisms, all of them standard today, were introduced to encourage faculty to excel — sabbaticals, research programs stimulated by reduced teaching loads and attendance at scholarly meetings being the most obvious. By the 1970's, in the face of lower faculty turnover due to economic retrenchment and student dissatisfaction, faculty development turned towards teaching improvement and a slew of new programs were introduced. A third phase of development began in the 1980's, centered on the curriculum, specifically the strengthening of general education, diversity, internationalization and the introduction of writing and critical thinking across the curriculum. Throughout the country today in our 3,500 institutions of higher learning, we can see the results of over twenty years of exploration of mechanisms used to promote greater abilities in teaching in the fields of faculty, instructional and organizational development. In the first, programs focus on faculty members, helping them learn about the art of teaching, their students, their institutions and the skills they needed to expand their craft. Instructional development deals with the teaching process and helps establish educational objectives, design alternative learning experiences and measure the achievement of goals, while the third area emphasizes the need for a supportive environment in which teaching can thrive, dealing with collegial relationships, leadership training, policy development and the positioning of teaching in the reward system. Of late, this has led to post tenure review procedures, improved faculty evaluation systems and new outcome assessment models.

In addition to campus generated initiatives funded by external sources such as FIPSE or the Pew Charitable Trust (although increasingly by the 1980's with campus reallocation) several professional associations such as the American Sociological Association and the

Mathematical Association of America have established programs that support faculty teaching. Their activities include creating special interest groups on teaching, working sessions on teaching at annual meetings and the development of curriculum material for national distribution.

ACSA has also done its part with regard to faculty development with its Junior Faculty Initiative, and the Post Tenure Development activities dealing with the bit between tenure and death. Current attempts to establish a senior faculty exchange program and a national mentoring program are still in their fledgling stages and of course I am delighted that the chairs of this particular conference have chose as their theme the role of faculty engagement to continue and strengthen our dialogue. However, in all the flurry of national activity, studies indicate that, as yet, there is little evidence of its overall effectiveness in improving teaching and learning, primarily because a relatively small percentage of faculty take advantage of the existing programs and those that do participate are probably the ones who need helping the least. This may be compounded by increasing interest from beyond the academy that concentrates on 'review' and 'accountability' rather than simply 'development' and is likely to be more responsive to issues of increasing workload and enrollment rather than expanding academic excellence. However, we all have individual success stories as each of us has addressed the challenge, in different ways with differing perspectives and we are here to share those ideas in the next couple of days on a campus by campus level. We in Wisconsin where, due to a mindboggling 100% tenure rate since 1980, have a hefty senior faculty mostly aged between 45 and 55. We're all good, but we've all been doing roughly the same thing for 20 years, and in a tenured system with state-controlled pay plans, there are precious few carrots and virtually no sticks to move things along.

How do you get a good solid performer to fly a little higher and go a little faster? We've tried a few different things this year. All faculty have been invited to undertake a Faculty Exhibition of their work — scholarly, practice, whatever — for a one month display in the main gallery of the School. I pay for the installation, an opening reception and publicity, providing not only an opportunity to demonstrate to an ever-changing student body and local profession the corpus of a faculty member's work over time, but also an opportunity for personal reflection not on the past, but the future. Two highly successful shows this semester so far, and already a waiting list for next year.

We have also created a Faculty Travel Award — $5,000 banked in the Foundation to go anywhere in recognition of demonstrated outstanding service to the department, the university, the discipline, the profession or the community during the academic year. The prize, raised externally, has created a flurry of activity, all of it good and all expanding and refocussing the traditional concept of academic performance that has been challenged by Ernest Boyer in his view of architectural education in the next century.

We have also upgraded faculty computers, providing the most powerful units on campus, a deal which comes with strings attached — mandatory training, to specifically enhance teaching capabilities — again funded by outside money. I also meet with every member of faculty, one on one, ostensibly to discuss the future of the school but also to get a better idea of the interests, and aspirations of the person, and to see where I can help.

These of course are just a feeble scratching on the surface of the many programs that I'm sure exist in our member schools as we hear about workshops and programs that enable faculty to learn new content (such as the perspective of women and ethnic minorities), to design new courses (such as those with an interdisciplinary or international focus) or learn new instructional techniques, such as computer technology and distance learning and their consequent impact upon architectural education. So I suggest that we now break up into groups of 10-12, share our experiences and try to identify, in each group, three best strategies which you feel can enhance faculty development. We'll report back in 35 minutes, when the group leader of each session can enthrall us with your findings.

OW/Greenstreet/Greenstreet15/p130-135

Judging Others,
Judging Yourself

An admonition to those who must act in a decision role for faculty review, reappointment, promotion and tenure.

Marvin J. Malecha, FAIA, Dean, NC State University School of Design

> A person comes as a rich raw material of creation. Not just the public notables whom Plutarch celebrated among the Greeks and Romans, but the idiosyncratic everyday person. Everyone is a subject, no act of feeling too intimate, too trivial, to be shaped into biography - or autobiography. Not only the soul, which has engaged saints and priests and prophets, but the self in all its vagrancy. The wilderness within is not only a jungle of hopes and frustrations, but a place of mystery and beauty, of epic memories, bitter struggles and exhilaration, where the whole history of the human race is reenacted. From this vantage point are vistas never seen or revealed before.
>
> From: *The Creators,* Daniel J. Boorstin, Random House Inc. p.553

Prologue

Judging the performance of others is a difficult task that is often interwoven with the personal experiences that have defined the career of the individual who must accept the responsibility for review, reappointment, tenure and promotion decisions. The review of the performance of faculty and staff requires a higher level of reflection than any other responsibility of a senior administrator within the academy. The assessment of the performance of others is the most obvious aspect of this reflective behavior. Less obvious, but perhaps even more important, is self-reflection. An individual cannot begin to understand the circumstances that lead to performance without coming to understand the influences which have shaped his or her own career.

Judging oneself in order to judge others is a necessary foundation for leadership.

The career of a faculty member within an institution often exceeds twenty years. Faculty involvement spans across the terms of senior university administrators. The decision to grant tenure and promotion is an investment in the future of a program. It is such decisions that measure the effectiveness of an academic leader.

Seeking Honest Self-Assessment

The evaluation of others begins with honest self-assessment. The admonition from Shakespeare to know thyself is perhaps the most important qualification to serve in a role of responsibility in personnel matters. Every experience that defines an individual also acts to explain the bias and expectations that are

reflected in actions related to review, reappointment, promotion and tenure decisions. The roots of actions must be reflected on in order to avoid unfair or unwise actions. Understanding the interaction of personal experiences and the experiences of others is critically important. This is particularly true at a time in the academy when those who are to be evaluated have had distinctly different experiences not only in their timing, but also from the differing perspectives of gender, culture and race. This understanding only proceeds from honest self-reflection. Students are often advised to keep a journal as a tool to record the thinking that underlies the design process. Individuals who wish to lead in the academy should take the time to create the equivalent of such a journal, either as a form of regular entries or as a series of remembered events, to understand the underlying forces of a professional career.

The individual who is in the position to judge the performance of others should expect to be held to the same expectations to which he holds others . The credibility of the judge is founded on the record of accomplishment that informs the judgment. Leadership by example is both meaningful and effective.

Nurturing Critical Relationships

The relationship between those who assess performance and those who are evaluated must transcend the personally familiar. There is an inherent dilemma in the actions of an academic administrator who wishes to build a team. This dilemma lies in the desire to choose individuals who will become friends as well as professional colleagues. Rather than friendship, the relationship with faculty in the review process must be founded on critical discourse. Such a discourse must be undertaken regularly. It is important to base the critical relationship that is to be fostered on a mutual desire for success. The responsibility for the success or failure of a faculty member in the review, reappointment, tenure and promotion process is shared by the judged and the judge. The academic leader as a judge establishes the nature of the relationship by providing the criticism necessary to promote the welfare of the individual while matching individual strengths with the needs of the program. The junior faculty member as the judged must honestly assess the demands of the program with personal interests and strengths. Tenure demands that each party make a serious commitment to the other. Such a commitment demands that decisions be founded on reasonable expectations, the support and opportunity to meet such expectations, and honest performance.

The academic leader must insist on regular assessment of faculty performance and in the cases relating to reappointment a serious effort to provide true assessment as it relates to the tenure action to follow. Fair, honest, and regular assessment provides the basis for later more important decisions. The responsibility of leadership demands that decisions regarding appointments be guided by clearly articulated expectations and the fair assessment of performance related to those expectations rather than friendship.

Accepting Differences from Personal Experience

It is necessary to accept differences of experience among those who are assessed and those who must evaluate. There is a tendency among those who evaluate to reward those experiences that are most personally familiar. Such experiences are those shared by the evaluator at an earlier time. Similarly, it is common for those who evaluate to expect that all of the hardships and obstacles experienced as he or she achieved tenure to be similarly overcome by the junior faculty member.

Such an attitude on the part of the senior members of a community reveals three important aspects to the junior - senior faculty relationship. First, it is important to accept differences of experience and circumstance among the faculty. Second, the senior members of the faculty should act to break the cycle of unfair expectations and circumstances rather than promote the continuance of such experiences only because they once had to be overcome as a form of a disturbed legacy. Third, the process of faculty advancement involves seeking the inner value of others. The wilderness within, articulated by Daniel Boorstin, is where the hopes and dreams of an individual lie. The hopes and dreams of an individual define his or her value to an academic program. Hopes and dreams provide a window into the potential of an individual. This potential is the most important aspect of an appointment that could continue for a lifetime.

Articulating Expectations with Clarity

All assessment of faculty begins with the clarity of expectations. The clear articulation of expectations for the performance of faculty seeking reappointment, promotion and tenure is among the most important responsibilities of an academic administrator. The individual who is responsible for academic leadership must carefully establish employment conditions following rigorous consultation with those individuals who have the ability to influence important personnel decisions. Expectations are a form of understanding that will translate a process that is normally quite vague into one with measurable achievement.

Academic leadership begins with the establishment of fair expectations.

Respecting the Need for Time

There is no substitute for providing candidates the time to meet the expectations of a position. Equally there is no substitute for allowing enough time to elapse so that proper reflection on the accomplishments of individuals and their place within an academic community may be realized. Often, both candidates and administrators give consideration to early actions as a bargaining point of a hiring action. Such an attitude toward the process, no matter how seemingly attractive as a recruitment strategy, is unwise. Candidates need time to assume the duties of an academic assignment while continuing to teach and produce creative work.

Time allows for the reflective component of a career to mature. The demonstration of self-reflection is perhaps the most important characteristic trait that indicates the continuing productivity of an individual within the academy. The ability to assess performance with the intent to provide the opportunity for success requires time for the individual to respond to criticism. Equally the true value of an individual cannot be easily assessed without the time to observe the outcomes of his or her contributions.

Success and Failure of Academic Appointments Begins with the Earliest Actions

The earliest understandings among senior faculty, academic administrators, and new faculty establish the possibility for success in reappointment, promotion and tenure actions. There is a tendency among the academic community to leave the appointment of new faculty somewhat unresolved. This is the result of the opinion that new faculty must be prepared to step into a variety of roles from teaching and committee work to the expectations for research and creative activity. The process of appointment is a time to establish understandings for the expected role of the individual as he or she joins the faculty. The more clarity that can be brought into this time of reasonable negotiation the greater the chance of success. A lack of clarity at this time plants seeds that will cause difficulty as decisions must be reached.

Reflecting and Enhancing the Legacy of an Academic Program

Decisions regarding the review, reappointment, promotion, and tenure of faculty must be made within the context of the legacy of the entire academic program. Frequently those responsible for the appointment of faculty consider the selection of new faculty as the opportunity to make both an administrative and philosophical impact on the program. The addition of individuals to a faculty must take into account both the long term legacy associated with the program, and the fit of the individual into the plans either to reinforce the thrust of the community or to make complementary change. The academic leader must understand that those who are chosen for tenure will, in many instances, remain on the faculty for many years.

Summary Closing

Academic leadership is fully involved with the relationship between people and the performance that is expected of them. The dreams of a curriculum can only be realized by those who see to its delivery. If the process of the review, reappointment, promotion and tenure of faculty fails to recognize this fundamental principle, it is a process without meaning. The creative spirit requires critical discourse to thrive. Without criticism even the most mature individuals fall into complacency. The intentions of this position paper set forward a series of observations that effect the decisions relating to faculty appointments. In summary, these observations follow:

Point of View   *By Jay Parini*

Cultivating a Teaching Persona

Nobody just walks into a classroom and teaches without some consideration of self-presentation, just as nobody sits down to write a poem, an essay, or a novel without considering its tone and texture, the voice behind the words. Teachers, like writers, need to invent and cultivate a voice that serves their personal needs, their students, and the material at hand. It's not easy to find this voice, in teaching or in writing, and it helps to have models in mind.

Teachers who are unaware of their teaching personas might get lucky; that is, they might unconsciously adopt and adapt something that actually works in the classroom. But most of the successful teachers whom I've known are deeply aware that self-presentation involves the donning of a mask.

This taking on of a mask, or persona (from a Latin word implying that a voice is something discovered by "sounding through" a mask, *per/sona*), is no simple process. It involves artifice, and the art of teaching is no less complicated than any other art. Yet young college teachers are often tossed into the classroom with little or no preparation for what will be the central professional activity of their lives.

The analogy between writing and teaching seems almost uncannily apt. A writer begins with an impulse to create, then casts about for appropriate forms, ways to "give airy nothings/A local habitation and a name," as Shakespeare wrote in *A Midsummer Night's Dream*. When you first begin to write, say, poems, you tend to sound just like your favorite poets; this makes perfect sense, given that you learn to write by imitating good writing. Gradually, the poet's voice separates from his or her precursors, becomes distinct, although you can almost always tell the lineage of a poet. When I read the Irish poet Seamus Heaney, for instance, I can still hear in every line the harsh, alliterative thrust of the Anglo-Saxon poets, the "sprung" rhythms of Gerard Manley Hopkins, and the compressed, visionary lyricism of William Butler Yeats. The voice of Heaney has swallowed up, digested, these precursors; but they remain ingredients of his own voice. His originality is a product of the way he has been able to use what went before him to absorb and extend a particular tradition.

The same is true of teaching. You learn to teach by listening closely to your own teachers, by taking on their voices, imitating them, digesting them so that they become part of your own voice. This has been vividly true for me.

I was influenced by several teachers, as were most of us who spent much of a decade preparing for a teaching career. But two teachers in particular "spoke" to me in such a way that I was able to adapt aspects of their personas to my own classroom ends. In a sense, these two professors represent the emotional and stylistic poles of my own teaching, and I still find myself enlivened by the rich memory of their classroom presentations. Some days, I still hear their voices.

The first taught me at Lafayette College, in Pennsylvania, where I was an undergraduate in the late '60s. Jim (as I was allowed to call him only after I graduated) taught Shakespeare and Milton—the center of the English curriculum. And his teaching spilled over beyond the classroom. I can still recall sitting at his kitchen table into the wee hours, hovering over Milton's sonnets. Jim could not *stop* teaching, and I felt immensely privileged to be in his company. It was apparent he cared passionately about what he was doing. Poetry and drama played a huge role in his own emotional and intellectual life. He taught me how to use literature; that is, how to let one's heart be instructed by a text.

I'll never forget the way he read the "Solitary Reaper" in class. We were not even studying Wordsworth at the time, but he saw a connection to

Milton. We were transported by the way he read aloud. Jim's vocalization of poetry was a form of *Lectio Divina*—or "holy reading." I suddenly understood that here was the Word made flesh, given voice. I saw for the first time that one of the functions of a literature professor is to embody the voices of the past, to represent them and perform them, showing how a speaking voice breaks against the meter. This reading aloud is, as it were, one of the holy offices of the profession.

Jim didn't enter a classroom, he swept into it. His eyes were intense, never meeting those of anyone in particular until the class was genuinely under way; he was somehow pregnant with the material at hand, preparing to give birth. We sat up, eager; we knew that what was coming was going to be good. After a brief pause, he would catch someone's eye. At that moment, everyone in the room felt caught. It was uncanny.

A tall blond man, with longish but neatly combed hair, he conducted the class a bit like a conductor might work an orchestra. He would ask questions that demanded answers, good answers; but the answers were always buried expertly in the questions. Jim knew how to direct our attention to specific lines, and how to make us understand that these lines constituted evidence for a given argument. We were not allowed to get away with easy answers. This was part of the way that he took us seriously. And he did not hesitate to dismiss an ill-considered response as beneath contempt. Fear of that contempt kept us awake.

Jim would mix lectures with discussion in a manner all his own, using a witty remark to cut off a student who was moving along the wrong track, then rising from his desk, pacing back and forth like a caged panther (he seemed to pace in order to think). Then he would halt abruptly, glare at someone, and start to lecture for a bit; always a vivid manifestation of what Emerson called "Man Thinking."
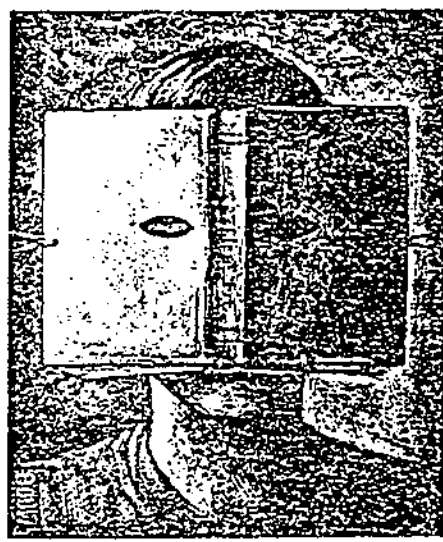
I learned from watching these manifestations how a cultivated mind confronts a text. I began to comprehend the many layers of association that good reading encourages; to see that a reader must proceed carefully, never putting more interpretation on a symbol than it can legitimately bear. Most important, I also learned that enthusiasm (from the Greek word for madness) is essential to good teaching: a teacher must be transported, even maddened, by a text.

During my junior year abroad, at the University of St. Andrews in Scotland, I encountered the other great teacher in my life. In 1968, he was a young don, in his late 20s. His sharp features and lean, angular aspect were quintessentially English. He had, I learned, recently come to St. Andrews from postgraduate study at Oxford and had quickly made a name for himself as someone whose lectures were a crucial experience for anyone genuinely interested in literary studies.

I was lucky to get him as my tutor. I went to every lecture he gave, whether or not I was actually enrolled in the course, and I looked forward eagerly to our weekly tutorials, where his sly wit and wry manner struck me as wonderful. I could not get enough of him.

He read each of his lectures word for word from a prepared text—something I hesitate to do, although at times it does actually seem to work, especially when the material demands a kind of close analysis that is almost impossible to achieve extemporaneously. Whenever I resort to reading a lecture, I imagine myself as my former teacher, and even hear myself adopting certain of his tones and inflections.

Recognizing the Constituencies of Leadership, he was peerless. He gave students immense latitude in putting forward their own interpretations, and he held his shotguns (his considerable learn-

ing, his intelligence, his wit) in reserve until we had exhausted our own resources. Students tried to match him, and he took great pleasure in their attempts. There was, indeed, a warmly skeptical quality to those seminars that, three decades later, I still try to emulate.

My mentor in Scotland was in some ways the opposite of my mentor at Lafayette. Where my teacher in the United States was brash, outgoing, almost overbearing at times, his counterpart in Scotland was reserved, shy, and hesitant. I later learned that both of these self-presentations were fictions: Each man had developed a persona that worked for him, that allowed him to teach in a way that seemed authentic and that proved highly functional as a rhetorical device—that is, each got certain reactions from the class as a consequence of his persona. Each of these teachers had forged a distinct voice.

When I began teaching, in the mid-'70s, I was perhaps more uncertain (owing to a natural shyness) than many young teachers, unsure of my own classroom voice. I remember one day, before a class on Milton's *Paradise Lost*, actually calling Jim to ask a question about how to present some passage in class, hoping to plunge myself into his sensibility. I wanted to be near his way of thinking about poetry and to absorb his mental energy. He made some suggestions, and as I recall, the class went especially well that day, and I was able to live off that energy for the rest of the term.

But both teachers and writers must be clear about what energy is theirs and what is derived from other sources. Achievement as a writer involves processing different voices, coming to a point where you are aware of your influences and can manage them in such a way that your own authenticity is no longer the issue. In teaching, you must also come to terms with prior voices, mentors, influences; the long evolution of a particular and effective teaching voice is the result of years of trial and error, of periods when you do not feel in possession of a singular voice, of dark moments when you question your ability to teach at all.

Few outside the profession understand the courage that it takes to step into a classroom. It requires a certain bravura, and the deliberate assumption of a mask that, in the early years, especially, may not feel authentic. My guess is that almost all of us who choose this particular path have specific mentors in mind, parallel selves who haunt us in our early years in the classroom, who merge and reappear at various points in our careers. These figures serve as guides, pointing a way that, in the end, we must make our own.

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Out of Class

Documenting Excellence in Teaching

How should we measure instructional excellence? Not just with end-of-course ratings, many faculty respond. And we agree. There's something incomplete, almost incongruous about evidence of effectiveness that's entirely quantitative and exclusively from a single source, students. For most faculty, student evaluations simply don't tell the whole story. However, many faculty have difficulty identifying other ways to measure or document teaching performance.

Several years ago the Canadian Association of University Teachers proposed the idea of a "teaching dossier," a qualitative assembling of evidence of good teaching. They say that "it is to a professor's teaching what lists of publications, grants, and academic honors are to scholarship." Kathleen Brinko, Coordinator of Faculty and Academic Development at Appalachian State U., used the CAUT document to develop the following list of items which might also demonstrate instructional excellence. This list appeared in an Appalachian State newsletter, *The Center* (vol. 4, no. 1), and is reprinted here with permission.

I. The Products of Good Teaching

1. Students' scores on teacher-made or standardized tests.
2. Student laboratory workbooks and other kinds of workbooks or logs.
3. Student essays, creative work, and project or field-work reports.
4. Publications by students on course-related work.
5. A record of students who select and succeed in advanced courses in the field.
6. A record of students who elect another course with the same professor.
7. Evidence of effective supervision of honors or master's theses.
8. Setting up or running a successful internship program.
9. Evidence of the effect of courses on student career choice.
10. Evidence of help given by the professor to students in securing employment.
11. Evidence of help given to colleagues on teaching improvement.

II. Material From Oneself

A. Descriptive material on current and recent teaching responsibilities and practices:
1. List of course titles and numbers, unit values or credits, and enrollments with brief elaboration.
2. List of course materials prepared for students.
3. Information on professor's availability to students.
4. Report on identification of student difficulties and encouragement of student participation in courses or programs.
5. Description of how computers, audiovisual equipment, or other nonprint materials were used in teaching.
6. Steps taken to emphasize the interrelatedness and relevance of different kinds of learning.

B. Description of steps taken to evaluate and improve one's teaching:
1. Maintaining a record of the changes resulting from self-evaluation.
2. Reading journals on improving teaching and attempting to implement acquired ideas.
3. Reviewing new teaching materials for possible application.
4. Exchanging course materials with a colleague from another institution.
5. Conducting research on one's own teaching or course.
6. Becoming involved in an association or society concerned with the improvement of teaching and learning.
7. Attempting instructional innovations and evaluating their effectiveness.
8. Using general support services such as the Education Resources Information Center (ERIC) in improving one's teaching.
9. Participating in seminars, workshops. and professional meetings intended to improve teaching.
10. Participating in course or curriculum development.
11. Pursuing a line of research that contributes directly to teaching.
12. Preparing a textbook or other instructional materials.

> A "teaching dossier,"
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ting to a professional journal on teaching one's subject

III. Information From Others

A. Students:

1. Student course and teaching evaluation data which suggest improvements or produce an overall rating of effectiveness or satisfaction.
2. Written comments from a student committee to evaluate courses and provide feedback.
3. Unstructured (and possibly unsolicited) written evaluations by students, including written comments on exams and letters received after a course has been completed.
4. Documented reports of satisfaction with out-of-class contacts.
5. Interview data collected from students after completion of a course.
6. Honors received from students, such as being elected "teacher of the year."

B. Colleagues:

1. Statements from colleagues who have observed teaching, either as members of a teaching team or as independent observers of a particular course, or who teach other sections of the same course.
2. Written comments from those who teach courses for which a particular course is a prerequisite.
3. Evaluation of contributions to course development and improvement.
4. Statements from colleagues from other institutions on such matters as how well students have been prepared for graduate studies.
5. Honors or recognition, such as a distinguished teacher award or election to a committee on teaching.
6. Requests for advice or acknowledgement of advice received by a committee on teaching or similar body.

C. Other sources:

1. Statements about teaching achievements from administrators at one's own institution or from other institutions.
2. Alumni ratings or other graduate feedback.
3. Comments from parents of students.
4. Reports from employers of students (e.g., in work-study or an internship).
5. Invitations to teach for outside agencies.
6. Invitations to contribute to the teaching literature.
7. Other kinds of invitations based on one's reputation as a teacher (for example, a media interview on a successful teaching innovation).

Testing: Straight Talk

The late Kenneth Eble, whose work and ideas appear in various forms in our publication, concludes his chapter on tests in *The Craft of Teaching* (2nd ed., p. 151) with a concise set of suggestions that underscore much of what we know about the constructive use of exams. It's the sort of list that belongs where we will regularly confront its sound advice.

— Use a variety of testing methods.
— Always give feedback, promptly if possible.
— Tests should be more for learning and for motivating than for measuring. All three are useful.
— Regard the absolute worth and accuracy of testing with suspicion.
— Reduce in any way you can the threat tests pose.
— Don't grade all tests.
— Clarify test objectives both before and after, with yourself and with students.
— Be honest, open, and fair. Discuss tests both before and after.
— Let students be makers as well as takers of tests.
— Don't stress the trivial just because it is so easy to test.
— Surprise quizzes and tests which can't be completed in the given time may serve the teacher's ego more than the students' learning.
— Be imaginative as well as careful, balanced, and precise.
— Be generous.

Tests should be more for learning and for motivating than for measuring.

Clarify test objectives both before and after, with yourself and with students.

Be imaginative as well as careful, balanced, and precise.

UW-MILWAUKEE FACULTY MENTORING PROGRAM TRAINING GUIDELINES

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MENTORING

Here are a few ideas for items to discuss with your mentee:

- Ask about and encourage accomplishments
- Provide honest criticism and informal feedback
- Review teaching, research, and service priorities
- Discuss specific "difficult" situations faced by one's mentee and suggest follow up actions she might take to turn an unfortunate circumstance into an opportunity for opening a dialogue with colleagues.
- Discuss appropriate "behavior" in a variety of settings including, but not limited to, attendance at departmental meetings, taking sides in hotly debated issue, discussing family matters with colleagues over a cup of coffee, and manners of speaking and dress. Discuss the consequences of not conforming to "cultural" norms.
- Review important dates that the mentee should be aware of and discuss how she can prepare for them. Such dates might include interviews for Graduate School research proposals, submission of materials for annual peer reviews, preparation of materials to the department for annual written progress evaluations, and tenure materials.
- Discuss balancing work and personal life demands.

*Adapted from "Guidelines for Mentors," UW-Madison Women Faculty Mentoring Program

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Mentee Protocols

(The following guidelines are culled from a variety of sources)

- Do ASK for advice and welcome constructive criticism. Do not assume that advice will be offered if it is not solicited. Be as specific as possible when asking for advice. A good mentor will offer both criticism and suggestions for your work. Be open to both.

Mentor and Mentee Training

In Addition to simply learning the ropes of academia there are many additional sources of stress that junior faculty face. A few include:

- •Lack of Time
    - •Teaching preparation
    - •Course development
    - •Dealing with students
    - •Personal/professional balance

- •Unrealistic Expectations
    - •Set unreasonable self-expectations
    - •Expect high levels of initial success
    - •Expect close collegial ties
    - •Expect high intellectual stimulation

- •Feelings of Isolation
    - •Colleague indifference
    - •Chair's lack of support
    - •Unfamiliarity with institutional process and culture
    - •Lack of access to information

- •Inadequate Feedback And Recognition
    - •Poor student evaluations
    - •Lack of clear expectations about performance
    - •Little participation in department decisions
    - •Salary

• • • • •

MENTORING

"Advise on publications. [Mentor] would guide me on publications which include writing an article critically editing it, setting deadlines and discussing channels for publications."

". . . . to discuss progress on various activities including publishing efforts."

"Getting one article ready for submission to a journal."

". . . . will talk about [mentee's] on-going effort to write a book based on her dissertation as well as scholarly articles. [Mentor] will read and react to drafts as someone who can ask 'outsider' questions, whenever this seems helpful — and we think now that it will be helpful."

C. INSTRUCTIONAL DEVELOPMENT

Mentor will "share teaching strategies."

Mentor will "offer support and guidance in developing teaching [a specific course]."

"Try to obtain control of the courses to be taught to minimize the number of different preparations]."

"Identify personal/professional goals related to instruction, coursework, and program development; discuss strategies to address instructional goals; draft long-range instructional plan; review draft of plan; meet for exchange of ideas on draft of plan; revise plan as desired; review implementation if plan."

D. SERVICE PRIORITIES

"Understanding departmental expectations with respect to service."

"Discussing how service can be wrung out of my academic interests."

"Need to ascertain the priority of and attempt to become involved in various service activities such as service to the: department, university, community, academic profession. It is also useful to serve

G. PROFESSIONAL NETWORKING

"To initiate her [mentee] to functions which may be potential opportunities to meet faculty from other disciplines and to engage in networking."

"Networking . [Mentor] will introduce [mentee] to people in similar fields or with similar interests."

" . . . . to discuss progress on various activities, including campus visibility."

"Informally, I [mentor] attempt to include her in profession 1 discussions with visitors outside her own department who have common research themes. I have a fairly large circle of colleagues who visit campus, and [mentee] is invited to lunch/dinner if she shows an interest and has the available time. Because she is somewhat isolated in her department, I also inform her of seminars and receptions in my college."

"[Mentor] has put [mentee] in touch with a writing group — people to whom she can send draft to read once a week."

H. TIME MANAGEMENT/ OVERCOMMITMENT

"Learn to implement substantive scheduling changes in order to develop a more realistic workload, thereby increasing ability to complete my projects on time and decreasing my stress level."

"Her [mentee's] biggest liability results from one of her great strengths. Because she is so competent, she is asked to take on too many administrative tasks. She needs to develop strategies for unburdening herself from some of these, as well as for enabling herself to say 'no' to future requests."

"The major constraint is becoming comfortable saying 'no.' Also, to refuse future offers to participate in 'outside income' activities to the degree possible given my [mentee] current financial obligations."

ADVICE TO TENURE TRACK FACULTY
M.Davis, draft January 1996

First, I think it is important to establish a <u>clear primary identity, which interrelates your teaching efforts and creative work and research.</u> I think this identity is never fixed, but evolves as you grow personally and professionally. I also believe this identity needs to be self-defined, and not super-imposed by others, including myself. Thus, keep in mind that recommendations from me and others need to be synthesized and carefully considered. I would recommend that you not follow recommendations blindly.

Secondly, I think it is important to build a <u>track record of significant concrete accomplishments</u> that are consistent with your self established objectives. These accomplishments might include publications, exhibitions, presentations, awards, grants, and the like. I think it is important to gain peer recognition (and in a sense, validation) beyond the School of Architecture itself. In this regard, JAE and the ACSA are really important, impartial forums for allowing the work of emerging architects and educators to find a larger audience. On campus, the various faculty development grants are competitive, but can be an important form of recognition (and support) for promising faculty. You must take the initiative in this. You need to be your own promoter.

Thirdly, I would generally recommend that you <u>work on a number of interrelated initiatives simultaneously,</u> rather than focusing on a single grand project...From the date of the original abstract to the final publication, it can take well over a year for even a small article to appear in a journal. Therefore, it is important to keep different initiatives at different stages of development in the career "pipeline." If you are working on a single major project (such as a book or huge design project), you might consider breaking it into components (such as chapters or articles) which are published, exhibited, or presented incrementally before the final grand project is completed. Design work can always be broken into smaller components by writing about it, exhibiting it, and submitting it for awards. Pace your work so that you have a consistently good track record during your tenure review years.

At the other extreme, I would recommend that you <u>focus your energies in a primary (self-defined) dominant direction,</u> rather than initiating many diverse unrelated "interesting" studies. For a person who is beginning an academic career, too many unrelated areas of exploration usually gives an impression of aimlessness and superficial engagement. Different interests should be interrelated and complementary.

In teaching, it is important to work for self improvement. Your teaching assignments should relate to personal interests. Because so much teaching in architecture is in the public realm, I advise you to consider the following:
- invite and include jury members (even for pin-ups) from the entire faculty:
  inviting someone for a half class is usually very reasonable.
- make yourself available when other faculty invite you to their reviews.
  (even if this means rescheduling your own class.)
- your studio space itself should be a type of teaching exhibit; it should look energetic:
  post design assignments, precedents, student projects, etc.

Every one has a different teaching style; different students respond differently to different styles. It is important for you to find your own, most effective style.

I would also advise you to solicit your own teaching evaluations, asking for qualitative responses, recommendations and suggestions. No one needs to see these evaluations, and they can be very helpful. Ask students what they think are the three most positive and the three most negative aspects of the course. This will help you self-identify your personal strengths and weaknesses in teaching. Work on improving weaknesses. Many mandatory, uniform evaluations do not necessarily give you the type of input you need for improvement. The UT Learning Research Center will also help you develop your own, customized teaching evaluation; I think they will also tabulate the results for you.

Finally, since you are part of a School, it is important to participate in the life of the School. Your presence in formal school events is important, as is good faith participation in faculty governance and committees. Informally, it is important to get to know the senior faculty, as well as to welcome new faculty and help them become acclimated to the School. This is greatly appreciated.

I think it is useful to imagine the metaphor of a "career trajectory". This trajectory may vary over time, but it should have two important characteristics: it should have a clear direction, and it should have a clear sense of ascendancy.

MENTORING NEW FACULTY IN THE BEGINNING DESIGN STUDIO
The Role of Senior Faculty

Marleen Davis, Associate Professor
Syracuse University School of Architecture
1992

It is no secret that many new design teachers are placed in the first year design studio as an appropriate place to "start out". This pairing of new teachers with new students is common in many disciplines. Matching the most inexperienced teachers with the most inexperienced students seems rationally appropriate. However, one could also make the case that this results in "the blind leading the blind".

Most schools address this problem by having a First Year Coordinator, Studio Head, or similarly designated "senior faculty" directing a teaching team with new faculty and teaching assistants. The teaching team follows the same unified program, so that the new teacher is alleviated of the burden of inventing and structuring the pedagogy of an individual studio. The new teacher becomes acclimated and contributes in an appropriate way, assisting in the writing of problems and the delivery of lectures. Thus, the first year design studio often provides a training ground for new teachers.

The First Year Coordinator not only sets the pedagogical agenda, but manages the logistical complexity of structuring and evaluating numerous design problems with a large class and teaching team. In addition, the First Year Coordinator often also has the unacknowledged responsibility of developing the teaching abilities of new faculty. The goal of this paper is to talk about how this responsibility can be met. I want to foreground what is typically a background issue.

A. THE IMPORTANCE OF ROLE MODELS IN DEVELOPING A TEACHING STYLE

I believe that to be a good teacher, one has to have experienced good teaching. Furthermore, there are as many different types of "good teaching" as there are good teachers. Trying to define an optimal teaching style and superimposing that definition on a new teacher would be counterproductive.

New faculty arrive with a pre-formed role model of good teaching to which he/she aspires. This model is usually based on the inspiring teaching experienced as a student, combined with a self perception of one's own personality. Thus, a good teaching style is unique: more than one type of "good teaching" can coexist in a program. Indeed, the coexistence of differing models of good teaching ultimately contributes to a healthy intellectual atmosphere.

Recommendations:

The new faculty's preconceived teaching model is inherently one-dimensional, because it is based primarily on one's student memories. The senior faculty, then, must reveal those additional dimensions of good teaching not necessarily perceived by the student.

1. Senior faculty should provide a role model for good teaching behind the scenes.

2. New faculty should be included in all course planning decisions.
In formalized, weekly planning sessions new faculty can come to appreciate the complexity involved in setting the stage for meaningful learning experiences.

3. Pedagogical clarity in all aspects of course planning must be established.
This would include:
-the formulation of design problems
        (goals, length/scope of assignment, degree of freedom, requirements, type of evaluation, etc.)
-the testing of design problems before they are issued to the class
-the impact of logistic concerns on the course
        (e.g. the availability of materials for a large class often pre-determines the requirements.)

It is not enough to have a well structured course: new faculty should understand how and why the course is well structured. In the case where a fixed, pre-established program is in place, the coordinator must explain how and why all the various components of that pre-established program meet the curricular goals of the school. All suggestions made by new faculty should be welcomed and addressed in pedagogical terms.

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C. THE COEXISTENCE OF PEDAGOGICAL DIFFERENCES   (continued)
Recommendations:

1. An atmosphere of respect for the pedagogical biases of all faculty should be established

2. All decisions and their pedagogical implications should be explained.

3. Pedagogical differences should be challenged and discussed in straightforward planning sessions.

4. Consensus, rather than polarization, should be a goal.

5. Exploit, rather than purge, differences: identify and maximize individual strengths.
For example, Critic A is product fixated, believing that the primary accomplishments of a beginning student will be expressed in beautifully crafted models and drawings of which the student is proud. Critic A wants plenty of time for project execution. Conversely, Critic B is process fixated, believing that the beginning student must learn about a creative process and the end result is of little consequence. These differences could become so entrenched that neither can agree to an appropriate design problem and schedule.

The senior faculty could defuse the situation by exploiting the respective strengths of both design critics. Critic A could be asked to demonstrate good craftsmanship to the class. Critic B could be asked to develop short design exercises within the larger design problem which structure the process. The experienced faculty member must be sensitive to differences and look for ways to reinforce the personal strengths of individual faculty, in such a manner that each person makes an individual contribution.

6. Leeway in how the individual critics structure a common design problem may be appropriate.
All sections may have the same assignment and time frame, but each section may have differing requirements, or emphasis. The senior faculty must oversee such variation, so that it is perceived equitably by the students.

D. ENHANCING THE CREDIBILITY OF NEW FACULTY
New faculty must develop an identity within the school, with both the students and the established faculty. In some schools, new faculty are regarded with skepticism by the students, if not by the faculty.

Recommendations to enhance the credibility of new faculty in the eyes of the students:
1. Avoid consistently asking the new faculty to perform TA-type of tasks.
Tasks, such as setting up slide projectors, carrying projects, or distributing assignments, should be performed equivalently by all faculty involved, or consistently by the TAs.

2. Avoid publicly undermining a new faculty: engage in debate and discourse as colleagues.

3. Give the new faculty appropriate opportunities to establish an identity within the school.
        E.g: Students often enjoy seeing the design work of the faculty. You could ask the new faculty to show a project which is related to a current design assignment, either because of its design ideas or representational techniques.

Recommendations to enhance the credibility of new faculty in the eyes of fellow faculty:
1. Senior faculty should help new faculty feel comfortable and acclimated within the new school.

2. Arrange to have new faculty included on juries for other studios and thesis projects.
This is one of the fastest ways of gaining collegial exposure. Senior faculty often view "jury duty" as one more burden, but new faculty usually welcome the chance to participate in juries.

3. Explain school history and traditions regarding issues of faculty governance.
The First Year Coordinator is the "bridge" for new faculty, connecting them to the faculty as a whole, and to the university environment.

4. Recognize the autonomous contributions of individual faculty.

THE UNIVERSITY OF TENNESSEE

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SUMMARY

In his book, The University, An Owner's Manual, the former dean of the Faculty of Arts and Sciences at Harvard University, Henry Rosovsky, comes to the conclusion that the most senior faculty should be reserved for the introductory courses. He maintains that through their life work, these faculty have achieved a sufficiently humanistic vision of their respective disciplines.

In different ways, new faculty and senior faculty have a tremendous amount to offer, both to the students as teachers and to each other as colleagues. Senior faculty do have a responsibility to help new faculty reach their full potential as quickly as possible, in ways I have tried to recommend. Ultimately, a stimulating intellectual environment can result, based on collegial diversity and respect.

MENTORING

GEORGIA INSTITUTE OF TECHNOLOGY
POST TENURE REVIEW POLICY

I. PURPOSE:

The post-tenure review is designed to facilitate faculty development and to provide a means of ensuring competent levels of performance in the areas of teaching, research, and service.   The mix of those three activities and the particular forms they take may vary among academic units within Georgia Tech and among individuals within those units.

The post-tenure review examines professional activity over a relatively long span of time, thus encouraging the faculty member to undertake projects and initiatives that do not readily lend themselves to annual evaluation. The post-tenure review is prospective as well as retrospective, because it is recognized that different emphases may be appropriate at different points in a faculty member's career. In both regards, the goal of the review is to maximize the particular talents of tenured faculty members within the context of the broad array of talents needed for the effective work of the unit and of the Institute.

As faculty development, the review aims to assist the tenured faculty member in formulating a multi-year plan of professional growth and activity in teaching, research, and service based on his or her individual interests and the needs and mission of the unit and the Institute.

With regard to professional competence, the review aims to assess the tenured faculty member's effectiveness in teaching, research, and service over a multi-year period, thus complementing annual, promotion, and tenure reviews.

The Georgia Institute of Technology recognizes that the practice of tenure for university faculty is an important protection of free inquiry and open intellectual debate. This policy on post tenure review defines a system of periodic evaluation of all tenured faculty which is intended to enhance and protect the guarantees of tenure and academic freedom.

II. PROCEDURE:

II.1 Who:

All tenured faculty will be reviewed (including administrators).

II.2 Frequency:

In accordance with Board of Regents' policy, the following documentation will be included in the post-tenure review of each faculty member: a current c.v., summaries of the annual performance reviews for the years under consideration, prepared by the chair and reviewed by the individual, a statement of one to three pages prepared by the faculty member detailing his or her accomplishments and goals, and evaluations of the faculty member's teaching effectiveness.

II.6   Timing of initial review:

The initial review of all tenured faculty will take place during the first 5 years after the adoption of this policy. The timing for individuals will depend on the time of the last successful review handled by the Institute P&T committee.

Specifically, for those faculty whose last successful review was in a year ending with a 3 or an 8, initial reviews will be held in the academic year 1997-1998; for those whose last successful review was in a year ending with a 4 or 9, the initial review will take place in 1998-1999; for those whose last successful review was in a year ending with a 5 or 0, the initial review will take place in 1999-2000; for those whose last successful review was in a year ending with a 6 or 1, the initial review will take place in 2000-2001; for those whose last successful review was in a year ending with a 7 or 2, the initial review will take place in 2001-2002. (This rule is age independent but could cause an imbalance in the distribution of initial reviews especially in a small unit.) To eliminate an imbalance a unit is permitted to delay initial reviews, with priority given to those whose last review occurred most recently, and move up reviews, with priority given to those whose last review was furthest from the present time.

Exceptions to this initial ordering will be allowed when there are special circumstances, upon agreement between the faculty member and school chair. For example, a faculty member who has recently been appointed as an associate chair might prefer to postpone the review so that it can be based on performance in that position, or a faculty member who has offered a letter of resignation or retirement effective within the five year review cycle would be exempted from the review.

Early in the first year of the post-tenure review process, unit chairs, in conjunction with the unit's steering or advisory committee, will submit to his or her Dean, a 5-year schedule of initial reviews. Faculty must be informed of their position on the schedule and be given opportunity to request a different position if there are special circumstances.

II.7   Review committee:

For all faculty excluding chairpersons, deans and above, the review is done by a review committee of the unit in which the faculty member has a primary appointment. Only academic faculty members holding tenure can serve on such review committees. It is the

uncomplicated cases this plan should be brief and may simply indicate that normal criteria for research, teaching and service are applicable).

This ends the process of most post-tenure reviews. However, the extreme cases, both positive and negative, require further actions as specified in III.2 and III.3. A negative report indicates a finding of major weaknesses or deficiencies in the individual's compliance with the "understanding regarding criteria for the evaluation" as described in Section II.4 of this policy.

III. 2   In cases where the review indicates outstanding performance:

Faculty members who are performing at a high level should receive recognition for their achievements. The results of the post-tenure review for such faculty will be linked to financial rewards and development opportunities. The Institute will give serious consideration to special merit pay increases and study and research leave opportunities for faculty who receive outstanding post-tenure reviews.

III.3   In cases where the review identifies major and chronic deficiencies:

If at least three of the four levels of review, i.e., unit committee, unit chair, dean, and Institute promotion and tenure committee, believe that major and chronic deficiencies leading to unsatisfactory performance exist, the faculty member, unit committee, school chair, and dean will work together to develop a formal plan for faculty development. This plan must include clearly-defined and specific goals or outcomes, an outline of activities to be undertaken, a timetable, and an agreed-upon monitoring strategy. The plan must be approved by the President.

If after three years the faculty member has not remedied the identified major deficiencies, as determined by at least three of the four levels of review cited above, and approved by the President, the case will be referred to the Faculty Status and Grievance Committee under Section 2.5.8.5 of the statutes of the Georgia Institute of Technology.

Going for Full

Robert Greenstreet

School of Architecture and Urban Planning

While it may not seem so at the time, scaling the walls of tenure may be a little easier than

going for Full Professor. The stakes are obviously higher in tenure track — up or out adds

a certain piquancy to the process — although the criteria are pretty well established and

the process clearly laid out, with a fixed timeline and regular evaluation benchmarks. It

may not be fun, but it is defined, whereas the quest for the next level of promotion is far

more nebulous.

When is the right time to go for Full? And more importantly, what are standards you

should meet to attain that lofty, if vague, goal of a 'national reputation' that so many

criteria demand?

In many instances it is the lack of clarity on these issues that creates a psychological

barrier for many qualified Associate Professors that deters them from applying for

promotion. In the Department of Architecture in the 1980's, for example, there were two

Full Professors and seventeen Associate Professors, many of whom had been at UWM for

fifteen or more years. Were they not good enough to go further? On the contrary, once

we'd broken the log jam and created a process that positively encouraged promotion, all of

the faculty demonstrated the sufficient quality to pass through the Departmental,

Divisional and Decanal hoops to be successfully promoted by the campus and Board of

Regents to Full Professor.

Here then are a few ideas on approaching the Full Professor hurdle. They may not be

appropriate in all disciplines, but if nothing else, they may form the basis for discussion

among you and your colleagues that will help to create a better understanding, and

hopefully agreement, on the process ahead of you.

1.   Get a Policy

Proceeding through the academic ranks should be a smooth, constructive

process where achievement is naturally followed by promotion. It should

not be a lonely, personal struggle nor a divisive, internecine departmental

battle, and it works a lot better if there is collegial agreement on the

process. Remember, tenure requires asking senior colleagues to vote you

up to their level, while Full Professorship means that you are asking some

of your Executive Committee — the Associate Professors — to elevate you

above them. This requires a generosity of spirit in some instances that

should be reinforced as clearly as possible with clarified and codified

collective expectations. There are two issues that may bear discussion:

a)   What is the standard we are seeking?

In some disciplines, the concept of 'national reputation' or

'international influence' may be more or less relevant than in others. Architects that pursue enquiry by design, for example, tend to build regionally rather than internationally, so their influence is closer to home. If a group can collectively agree on some standards, they will help each other and be better equipped to make those arguments at the divisional level

b) Who's up next?

Think about a nominal schedule of applications to Full. This is by no means a case of everyone taking their turn to be automatically approved by their friends — such applications will not pass muster at the Divisional level — but a collegial way to enable faculty to come forward for a fair, objective review in an orderly, routine way. Some may feel they are not ready and decline from going on the schedule. Others may wish to be considered sooner, maybe within five years from tenure and ask to go on the list as soon as possible. Some may be encouraged by their position on the list and start working harder toward their target date (possibly 2-3 years hence). In any event, it establishes a positive, constructive approach to promotion by getting the issues on the table well ahead of time and creating a culture of encouragement rather than solely judgement.

2. Get a Plan

If you want to go for Full (with or without a departmental plan), don't keep it to yourself. Let your colleagues know you're coming a good, long time in advance so there are no surprises. Announce it at an annual or post tenure review as you outline your future plans. Don't be confrontational but seek support and give your colleagues updates on your progress regularly. When you eventually come up for review, the concept of your promotional consideration will be no surprise, will have been well discussed and will hopefully be just business as usual — if there were any problems, they could have been resolved in the previous couple of years, so that the review can focus squarely on the merits of your case.

3. Get Advice

Buy your colleagues into your case. Ask their advice on your strategy for promotion, on the substance of your work, on your progress and offer the same advice to them if they want it. Creating an internal network of colleagues is helpful scholastically, but also creates a vital network of ultimate supporters who, if they believe you have met the criteria, can effectively argue your case at the Executive Committee level. Don't go it alone.

4. Get a Network

How do you build that golden reputation that spans the globe? Well, a

Nobel Prize helps but, for us lesser mortals, knowing folks is where it starts. As part of your promotion plan, involve as many influential characters as possible. Ask technical advice from Divisional Committee members (past and present), your chair and dean, but make sure you interact with as may peers outside the institution as possible in the years leading up to review. Go to conferences, write to people, e-mail them — ask their advice, send them your stuff. How do you think that national/international reputation is established? Through the opinions of your peers, and their letters of support. This group can also be invaluable in helping you develop your academic profile, inviting you to give papers at conferences, partnering in research projects or identifying opportunities that you may not have heard about.

5. Get a Case

Just like tenure, you need a clearly argued 'legal' brief to accompany your materials. Start writing this way ahead of time, when some of the details may still be unfinished, still in flux or just not begun. The brief, your story if you like, becomes the narrative that argues your Professorial merit and, if done well and regularly updated to encompass new achievements and opportunities, becomes a lucid route map to promotion. It's also a useful document to use in discussions with your rapidly burgeoning network of colleagues and supporters.

Getting Full is not an automatic right. It merits a high standard of academic quality and not everyone is going to meet those standards. However, the process should be solely about academic merit, not misperceptions of the standards, interpersonal rivalries or psychological pressures. The first place to start dispelling these interfering factors is through communication — raise these issues with your colleagues, start discussions on difficult issues, like criteria, and work towards a collective process on moving through the academic ranks, if you don't have one. It may not always be a smooth path, but talking it through, long in advance of any decisions, is always going to be an ultimately better course.

MENTORING: SUPPORT FOR JUNIOR FACULTY WOMEN

Mary K. Madsen, University of Wisconsin-Milwaukee, Milwaukee, Wisconsin
Nadya Fouad, University of Wisconsin-Milwaukee, Milwaukee, Wisconsin
Christa A. Bertram, University of Wisconsin-Milwaukee, Milwaukee, Wisconsin

A junior faculty women's mentoring program was established at the University of Wisconsin-Milwaukee (UWM) in 1993 funded through a partial grant from the University of Wisconsin System Equal Employment Office. The impetus for this program was initiated after examining statistics on the rate of progression toward tenure for women as compared with men. Statistics demonstrated that faculty men were more likely to achieve tenure more rapidly than faculty women and were more successful overall. By examining informal mentoring relationships between same sex faculty, it appeared that tenured men were more likely to mentor untenured men than were tenured women faculty. Is this the "old boys club" in action still?

What is mentoring and how does it work in a university environment? Mentoring is defined as a relationship in which a person of greater rank or expertise teaches, guides, and develops a novice in an organization or profession. Often, the experience has an unusually beneficial effect on the protégé's personal and professional development (Alleman, E., Cochoran, J., Doverspike, J. & Newman, I., 1984).

The Journal of Counseling & Development (1994) published a series of articles on faculty development in the 1990's. Mentoring is a method for enhancing personal and professional development in others. Faculty development often translates into career development. Although there are numerous definitions of faculty development, the common theme is promoting the growth and effectiveness of faculty teaching and research (Heppner, P. & Johnston, J., 1994). The purpose of this paper is to describe the mentoring program developed at UWM, not to describe the philosophy between successful and unsuccessful mentoring programs.

The program at UWM was developed by a female faculty member in the School of Education whose career involved consulting on mentoring practices for professional organizations. The UW System budget provided a one course buyout for the program coordinator and funding for a graduate project assistant. The Provost's office and the Dean in the School of Education provided matching funds. The first step in developing the program was to establish an advisory board which would oversee the program and assist the coordinator in matching mentors with protégé's. Both tenured and untenured faculty were sent an announcement of the program as well as a form to declare their interest in serving as a mentor or protégé.

UWM
Faculty Mentoring Program
Newsletter

Faculty
Mentoring
Program
335 Johnston Hall

Bob Greenstreet
AUP
Arch & Urban Planning 241

In This Issue... See the latest mentoring program ideas, faculty experiences, and research!!

Continued: Avoiding Disaster in the Tenure

(Continued from page 6)
Committee, he overly prepared his, presentation of my case to the extent that it could have been characterized as slick (so I understand). In short, what could have been a disaster became a relatively easy tenure decision, though not without the usual tension and anxiety.

One hears horror stories from all around the country of assistant professors being denied tenure simply because no one in the department knew what was supposed to be done. One hears other stories of appeals being forced, because someone took a dislike to the candidate and tried to circumvent procedure. In my case, I saw how the very delicate balance between the elements of personality, procedure, and professionalism can work both to one's advantage and disadvantage. Know what is expected. Know how many and what kinds of publications are required. Know how much and what kind of service to your field, to the university and to the community is expected. Balance your commitments. Know what is regarded as good teaching, and how it is judged If these things are not spelled out, they should be. Vagueness does not work even if you are well liked. (You may not know that you are not well liked.) Being bureaucratic about your career and life's work isn't necessarily a bad thing, even for a free spirit.

> "One hears horror stories from all around the country of assistant professors being denied tenure. . ."

Mentor-protege pairs were assigned by the coordinator and advisory board based on the following characteristics: Contracts between the mentor-protege pair were established and signed by both parties involved. Separate training sessions were held for both programs which consisted of a brief history of the program, goals for the program, and anticipated changes at UWM. Monthly meetings were held for the mentors and proteges. Topics of the monthly meetings included detailed explanations of the tenure process, grant and research availability, and how to successfully negotiate a tenure track career and a family. After each meeting, evaluative comments were requested from all participants.

During the second semester, separate meetings were held for mentors and proteges. A social event was held for all program participants and a final monthly meeting was held at the end of the academic year. Faculty involved in the campus-wide program were not monitored as closely by the program coordinator as were the "0-3" participants. It was determined that faculty who had been at UWM for more than three years, could best determine what their mentoring needs were. For example, for some participants, the tenure review was some time away, for others it was a matter of weeks. This group of participants tended to be contacted on a less frequent basis by the program coordinator.

After one year, the program was evaluated on its usefulness and success using a five point likert scale with 5 indicating most useful and successful. Eighty percent of the participants rated a 3 or above when asked about the importance and usefulness of the program training session. All respondents marked a 3 or above in rating the general level of satisfaction of the program. Of those individuals, 86% rated a 3 or above when asked about the importance of mentoring to them. All respondents marked a 3 or above when asked to rate the success of their mentoring relationship. All but one respondent rated the usefulness and success of the scheduled monthly meetings at a 3 or above. Seventy-five percent responded that no formal mentoring program had been established in their department. Evaluations provided information on:

- determining how often mentoring pairs met;
- pre and post test on academic self-efficacy; and
- an analysis of successful partnerships based on personality compatibility.

Surveys returned indicated that pairs met an average of six times or more throughout the mentoring year. The only significant variable on academic self-efficacy was on grant writing. There was no significance for personality compatibility.

Testimonials from three of the proteges help illustrate the usefulness of the program:
"I found [the program] to be very successful. With [my mentor's] urging and guidance, I submitted and was funded for a Research Incentive Program grant...I found [the program] very helpful."

"The program was great for me. [My mentor] was a wonderful role model and motivator..I'm extremely satisfied with the program."

workshop for those individuals interested in promotion to Professor, which will be co-sponsored by the Women's Faculty caucus.

It was decided that mentoring pairs determine their own meeting schedules and times. A suggestion was made that an electronic bulletin board be established to try to maintain communication with all participants via e-mail. Mid-year and end-of-the-year evaluations will be sent to all participants. The coordinator will continue to serve as a trouble-shooter, and will report to the Board on the progress of the program and seek their advice on any concerns.

The budget for the 1994-95 Mentoring Program was estimated as follows:

Coordinator	Replacement $2,100/semester	$ 4,200
Graduate Assistant	Doctoral student (annual)	$23,750
Supplies and expenses		$ 2,000
Total support requested		$29,950

GUIDELINES FOR MENTORS

Because mentoring relations come in all shapes and sizes, the following suggestions should be taken as only a guideline. The role of etiquette in our society is to make other people feel at ease and valued. You may want to review these suggested rules with your mentee to decide which are most important in this relationship.

SUGGESTED "ETIQUETTE" FOR MENTORS*

- You are not expected to evaluate your mentees work. While your professional areas may overlap enough that you feel competent to evaluate his/her work, this not expected of you. Your role is rather one of helping your mentee to find resources to evaluate his/her work and give her feedback.
- Take the initiative in the relationship. Invite your mentee to meet your, suggest topics to discuss, ask if you can offer advice.
- Respect your mentee's time as much as you respect your own.
- Always ask if you can make a suggestion or offer advice.
- Be explicit with your mentee that you are only offering suggestions and that she should weigh your advice along with that received from other mentors.
- Make only positive or neutral comments about your mentee to others. Your mentee must trust that anything she says to you will be held in the strictest confidence.
- If you don't believe that either you or your mentee are able to keep to the terms of your mentoring agreement, don't be afraid to the end the relationship. It may be helpful for you to annually review your mentoring relationship agreement.
- Keep the door open for your mentee to return in the future. If at all possible, try not to end the relationship on bad terms.

his/her advice or consent at some point in the future. Once you are tenured, stay in touch to provide "progress" reports.

Thus, mentors have the right to expect that you will:
* meet as often as originally agreed upon,
* ask for advice,
* listen thoughtfully, and advise mentor about results,
* keep confidences and
* reevaluate the mentoring agreement annually.

You should not *expect* your mentor to:
* spend unlimited amounts of time with you.
* help extensively with personal problems.
The mentor's job is to refer you to resources.

Probably the greatest challenge faced by pairs is finding enough time and energy to meet together. Even finding an hour can be difficult. Use phone calls, e-mail, etc. as ways of staying in touch when your schedules are the busiest.

MENTOR AND MENTEE TRAINING

In addition to simply learning the ropes of academia there are many additional sources of stress that junior faculty face. A few include:

* Lack of Time
    Teaching preparation
    Course development
    Dealing with students
    Personal/professional balance

* Unrealistic Expectations
    Set unreasonable self-expectations
    Expect high levels of initial success
    Expect close collegial ties
    Expect high intellectual stimulation

* Feelings of Isolation
    Colleague indifference
    Chair's lack of support
    Unfamiliarity with institutional process and culture
    Lack of access to information

* Inadequate Feedback and Recognition
    Poor student evaluations
    Lack of clear expectations about performance

program development; discuss strategies to address instructional goals; draft long-range instructional plan; review draft of plan; meet for exchange of ideas on draft of plan; revise plan as desired; review implementation of plan.

D. Service Priorities

Understanding departmental expectations with respect to service.

Discussing how service can be wrung out of my academic interests.

Need to ascertain the priority of and attempt to become involved in various service activities such as service to the : department, university, community, academic profession. It is also useful to serve as an outside reviewer for conference papers and journals as well as a member of an editorial board.

E. Tenure Strategies

Share information regarding promotion and tenure.

Think about a time table for getting ready for tenure "even in the first year."

Going through the University's tenure application information, deciding on a preliminary tenure strategy, and starting to build in the mentee's tenure case.

[Mentee] should be sure that her dossier includes both singly and co-authored articles.

....[mentee] recommended keeping current files and an updated curriculum vita in tenure and promotion format.

[Mentee] will obtain a copy of departmental criteria for tenure and promotion; and also the University criteria for tenure and promotion and bring to the next meeting. The criteria will be reviewed to see what is specified and what might also be specified but unwritten.

F. Department Relations

Understanding the changing perceptions of colleagues [due to] transition from nontenure to tenure contract.

We realized in talking that [mentor], mainly by playing the role of sounding board, can help [mentee] analyze the various roles she plays in the department, for example her membership in the department's Strategic Task force (planners of the direction of the department) and her role as the taker of the minutes in department meeting (which sees to be the department tradition for the person hired).

Dealing with a possible sexual harassment situation with a senior male colleague.

G. Professional networking

To initiate her [mentee] to functions which may be potential opportunities to meet faculty from other disciplines and to engage in networking.

Networking. [Mentor] will introduce [mentee] to people in similar fields or with similar interests.

....to discuss progress on various activities, including campus visibility.

Informally, I [mentor] attempt to include her in professional discussions with visitors outside her own department who have common research themes. I hav⌐

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2002

Advice to Aspiring Faculty

Marvin J. Malecha

Prologue

This monograph is shared in the spirit of sincere advice with the desire to assist and even facilitate the success of individuals who wish to embark on the journey of the most noble of professions, teaching.

I am sharing thoughts collected in an academic career that has been characterized by serving in the positions of department chair and dean over a period of more than twenty years. During this period I have overseen the hiring, reappointment, tenure and promotion process for many individuals. Over this time I have witnessed success and failure. Over this time I have come to understand that as a senior administrator success is only possible for the junior faculty member if I am a participant in the process rather than a witness to it.

This piece is intended to suggest how the aspiring faculty member can proceed on a path to success. It is intended to set the conditions for a fruitful relationship among the aspiring faculty member, the senior faculty, and the responsible administrator.

I share these thoughts with the aspiring faculty member and hope that they facilitate success.

These thoughts would never have evolved without my interaction with Dean Robert Greenstreet over the last decade. Together we share a commitment to the progress of junior faculty as the true investment in the future of architectural education.

Marvin J. Malecha

To profess is founded on well-formed, but always evolving, beliefs that are clearly communicated.

Our reward for this life is the joy derived from rejoicing in the success of others, all others.

As we pursue our beloved discipline, architecture, we conduct our lives as: teachers, mentors, architects, and academic administrators.

These roles are given meaning by teaching.

Teaching centers us. It is the most noble of human gestures. Through this conscious and reflective act we reach for the light of enlightenment – the luminescence of knowledge.

We reach for what is best in us.

" I love beginnings.

I marvel at beginnings.

I think it is beginning that confirms continuing.

If it did not – nothing could be or would be. "

Louis I. Kahn, Writings, Lectures, Interviews. Edited by Alessandra Latour, p. 285. Speech given at the International Design Conference, Aspen, Colorado, 1972

One
The Importance of Beginnings

The most precious moment of opportunity is at the time of the appointment. This is the very moment when the stage is set for all that will follow. It is a moment worthy of careful deliberation and a heightened sensitivity of place and fit. Not only is this the moment to determine compensation and benefits, but it is also the time to consider teaching and committee workload, support for scholarship, equipment and facility support, and the opportunity to initiate new directions as well as meet existing course expectations. This is the moment to match skills, understandings, and interests to the dreams and expectations of an established community.

The Search Process is a Two-Way Street
The Commitment must be mutual.

Do not begin an appointment to which you are not totally committed. Do not accept an appointment at an institution that is not totally committed to you and your success.

Consider: The Institutional culture is important.

The community will shape you.

The predominant philosophies and pedagogies will structure your work.

The position and its expectations will place boundaries on you.

The faculty community and the related peer group is your primary resource base.

The history of faculty development is an important career indicator.

Be sure of your context. It is important that you are joining a community that shares the desire for the success of your appointment. Beware the split faculty.

The Initial Agreement is an Important Step

Early agreements lead to long-term expectations.

There is no more important time in an appointment than at the very beginning. This is the moment to set a working relationship into motion. This is the time to establish goals and expectations. This is the moment to determine the support for the issues that are most important to you. And, this is the moment to understand the environment you are entering.

Consider: The balance of expected teaching and service assignments will effect long term success.

Salary and benefits provisions must be related to the region's cost of living.

The support for development opportunities indicates the investment in the long-term well being of the faculty.

The expectations of the reappointment, promotion and tenure process (RTP) must be clearly understood.

Request he success rate of the RTP process.

What is the role expected of the new hire within the department?

Set the stage for success; don't be reticent to ask for what you believe is essential to your success. But don't get carried away.

There is Life Beyond the Search

One job leads to another, life goes on.

Personal and professional change and transformation define a career in the academy. While the academy is often home to individuals who have spent a lifetime in a single institution, probably because of tenure, it is more probable that the future will be characterized by greater faculty mobility. This mobility will most likely be founded on research and scholarship interests. It will be further influenced by the competitive interests of large institutions seeking to enhance faculty capabilities and institutional reputation. There is considerable reluctance to tenure track hiring caused by the newfound freedom produced by senior faculty retirements and budget restrictions. This reluctance is resulting in part-time and contract hiring forcing individuals to see beyond the first teaching position. The individual faculty member can take advantage of this reality by building a teaching portfolio and a scholarship agenda that will lead to the next position. When this is understood by the aspiring

faculty one job can lead to another, life goes on and there is a better chance of matching personal goals with the mission of an institution.

Consider: Does this appointment fit an entire life plan?

Is there administrative stability?

Does the fit "feel" right?

Increasingly, collegiality is cited as the reason for a failed hiring and tenure decision. Collegiality is best defined as the fit of an individual into the life of a community.

The Seeds Determine the Nature of the Fruit
Problems begin with the initial appointment.

It is worth repeating this advice over and over: enter an environment where there is broad support for your appointment. The group members may be politicized, or they may simply be unsure of their future. In either case it is the junior faculty member who is frequently the sacrificial lamb of peace among the senior faculty. Remember that a split vote will not lead to either tenure or promotion.

Consider: What is the department's (insert other interested parties here) agenda?

What is the support for the appointment among the senior faculty?

Be brutally honest about your own agenda for the appointment.
(A research agenda may not be supported at a comprehensive, private independent or liberal arts institution.)

Do you really believe you can out-last the senior faculty?

A split vote is a significant detriment to tenure and promotion

Can you be a synchronous swimmer?

Synchronous swimming implies that the individual swimmer understands his or her context and adjusts to its ebb and flow. This can lead to new assignments that are identified as priorities by the larger group or by the leader of the institution. Such a situation offers opportunity and pitfalls for the new faculty member. There is an implied willingness to work on goals beyond personal interests when a faculty member joins an institution in a tenure track position. This is the price of gaining status beyond the itinerant scholar. The illusive definition of collegiality is based on this very idea. Collegiality is frequently cited in the failure of candidates to attain tenure and promotion. It is a defendable position in grievance hearings.

Two
The Importance of
Establishing an Identity

An identity is a complex construction.

" To be rather than to seem."

Motto of the State of North Carolina

The path toward appointment, promotion and tenure is made more evident by a well-established identity. To profess requires a fundamental, continually evolving set of values that relate to the discipline. This well constructed and articulately described value system must also be clearly communicated through teaching and scholarship. An identity is a complex construction. It is not enough for an individual to be known only as a great classroom teacher. An individual who aspires to the faculty life must also be a recognized scholar, a good colleague, and a caring student advisor.

" The best teacher is the one who suggests rather than dogmatizes, and inspires his listener with the wish to teach himself (herself)."

Edward George Bulwer – Lytton, 1803 – 1873, English Novelist

7   Advice to Aspiring Faculty

Consider:

Is this the community that you want to be associated with?

What is your relationship and agreement with the guiding philosophy of the place?

Is this the region of the country or world where you want to make a life?

Are you comfortable with the people with whom you will associate?

Are you willing to work on the stated goals of the institution you are about to join?

Is this a team that you want to be associated with?

" I live on earth at present,
and I don't know what I am.
I know that I am not a category.
I am not a thing —a noun.
I seem to be a verb,
an evolutionary process —
an integral function of the universe."

I Seem To Be a Verb, R. Buckminster Fuller, Bantam Books, inside cover.

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A design for life is required.

The most important design problem, design challenge, is the design an individual conceives for his or her life. The aspiring faculty member should consider a design for life and, as a subset of this, a design for an academic life.

Consider: How do you want to interrelate your personal and professional life?

Think holistically about your life and place your academic aspirations inside of this vision.

Create a Balanced Personality
Identity and potential are related.

It is important that a new faculty member create a balanced identity. To be perceived as a single issue member of the faculty is to communicate an unwillingness to fully interact with the life of the institution. This balanced persona includes a mix of teaching and scholarship issues. It includes a willingness to carry the burden of committee work and to be seen as a dependable colleague. It also includes a willingness to engage the students in venues outside of the classroom and formal advising situations. However, the teaching identity remains the armature on which all else is built.

Consider: Develop a teaching persona.

Identify a specific area of scholarship.
(integration, application, discovery, teaching)

Connect service and committee assignments with the desire to build a collegial identity.

Be Known for Your Work
Your work is your sanity and your salvation.

New faculty members will be assessed by their performance in the classroom and as scholars. It is important that scholarship defines the person. This scholarship can take many forms. It can take the form of teaching, professional practice, community service, or research. In each case there is the ability to generate new knowledge. The development of new knowledge is perhaps the most significant touchstone for an individual in a research or land grant institution. Therefore, it is of paramount importance that new faculty members are known for their work, and that this association remain with them through their lives. Certainly the nature of the work and the means of inquiry will change but the commitment to this search is as important as the outcome. The faculty member who wishes to establish a career in a practicum environment such as the studio must have a base of accomplished work if they wish to gain promotion and tenure. Too often a junior faculty is consumed by this need to generate accomplished work in the early stages of his or her appointment. This effort is often a distraction to the overall need to prove the fit with the University culture. It is better to take the time in professional office settings to accomplish this work prior to setting out on a career in the academy. For those who seek a career in the related disciplines supporting the studio including history, theory, and building systems, the Ph.D. is the currency of the realm. Again the attempt to accomplish this work while holding a position is laden with pitfalls. Take the time to build fundamental credentials before entering a track appointment.

Avoid Narrow Definitions of Self

Fixed knowledge

and fixed People are burdens

As much as a new faculty member must be identified by his or her work, this person must also be prepared to change with the design professions and the academic community. Change is a sign of life. It is a certain aspect of life, even in those areas where the individual is most confident. New technologies, curricular patterns, and a continually evolving group of colleagues transforms the role of an individual within an academic community. The ability to demonstrate intellectual agility is an important characteristic of a successful faculty member.

Consider: Connect continual learning with the evolving role of a faculty position.

Diversify personal interests.

Balance the expected with the unexpected.

Balance teaching with scholarship and creative activity.

Take an interest and a pride in the accomplishments of colleagues.

A life in the academy demands that you remake yourself many times over the course of a career.

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This strategy will significantly enhance the chances for success once an appointment is offered.

Consider: Develop a connected strategy between assignments and scholarship.

Establish a body of recognized work.

Build a body of accomplished work before entering the academy.

You must be passionate about your work

" Architecture. Sex. Drink. Cigars. AND St. Thomas Aquinas.

A perfectly healthy, meaningful, well-rounded life. I cannot imagine a more proper basis from which to build humane structures.

Arms Around-

C "

A portion of a letter written by Craig Ellwood to Dean Marvin J. Malecha dated 10 April 1986

The truth is in the making.

10   Advice to Aspiring Faculty

Three

Extend Your Reach

Build Connections Between Self Identity and a Networked Identity

An essential aspect of the potential to succeed in the academic life is the ability of an individual to build and regularly maintain a network of peers and mentors who will inspire continual growth through meaningful discourse and mature criticism. Networks of relationships help individuals bring their knowledge and accomplishments to a larger stage. It is on the larger stage where abilities are amplified and the value of the individual is underscored. The major academic institutions demand faculty who are known players on the larger stage of their disciplines.

" Teachers should be held in the highest honor. They are the allies of legislators; they have agency in the prevention of crime; they aid in regulating the atmosphere, whose incessant action and pressure cause the life-blood to circulate, and to return pure and healthful to the heart of the nation."

Lydia H. Sigourney, 1791 – 1865, American Author

" Academic life is a world in motion. Some changes revolutionize fields of study; occasionally new subjects are born; some innovations are ephemeral and quickly forgotten. New ideas can make life miserable for the many who have a stake in the old ways, generating conflict between the adherents of the old and the new. Every scholar has to face these fundamental challenges during his or her lifetime. It is at once a burden, a challenge, and one of the attractions of academic life."

The University: an Owners Manual, Henrey Rosovsky, Norton, P-163

Work is accomplished in social networks

No member of the faculty is an island. The success and failure of the individual is dependent on the network of work that an individual creates around him or her. It is important that colleagues know and understand each other's work. This requires the conscious act of sharing and interacting. It requires openness to the observations of others. However, for a network to be credible it must extend well beyond the borders of campus. It must also include senior members of a related area of study and interest as well as peers. This network advances the work of any individual within it. It amplifies as well as corrects the direction of any single pursuit within it. An aspiring faculty member must begin to build and nurture this network of friends and colleagues immediately. Building a peer network should include individuals at various stages of their careers.

The first level is an individual at the same place in an academic career. Individuals at this network are most helpful as a test group for ideas. Among this group the experimentation is considerably more free.

The second level is an individual considered a senior peer. This individual can offer experience and perspective. It is wise to build a relationship with a senior peer within the same academic unit. This person can become an advisor and an advocate.

The third level is an individual considered a leader in the area of interest. Professors from the graduate school experience, recognized professionals, and academic leaders should be approached to provide this level of networking. These individuals lend considerable credibility to the work of an aspiring faculty member.

Consider:

Share work frequently with campus colleagues.

Build a network of peers and aspirational peers.

Build a constituency for your work including the campus, community, professional associations, and the alumni.

Engage peers and colleagues in teaching assignments.

Make use of conference opportunities to test ideas and build a support network.

Seek a broad constituency for your work including addressing university, professional and community interest groups.

Four

The Importance of a Personal Plan

A clear idea is the fuel for a career

A career development plan is a roadmap for the evolution of knowledge and skills that relate to teaching and scholarship while providing the direction for the markers of success in an academic career. A personal development plan that is regularly consulted helps to focus energy while recognizing the variable merits of opportunities and assignments that come along the way of a career. A career development plan balances abilities with resources and opportunities in a way that resembles the articulation of a design concept. The career development plan is a design for a life in the academy.

" The true aim of everyone who aspired to be a teacher should be not to impart his (or her) opinions, but to kindle minds."

Frederick William Robertson, 1816 – 1853, English Clergyman

Build a Case

No effort is wasted compiling the file of achievement.

The new faculty member should make every attempt to keep a thorough record of accomplishments. This file of achievement will be necessary at the time of reappointment, tenure and promotion decisions. It is wise to keep a record of presentations and letters of appreciation. Remember, the documents that lead

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Be a good colleague

" This may be a bit old fashioned in the eyes of a young person today but it is good to be in a relationship where each person knows what to expect of the other. Each person knows that they can depend on the other to watch over certain tasks. Mr. Neutra knew he could look to me to help him not as a servant but as a partner. As an engagement present he gave me a typewriter. My present in return was that I learned to type. Following that together we prepared many letters and texts. Our relationship was strengthened. Each of us benefited from the talents of the other. Each of us grew and matured because of this relationship. We were partners."

From a discussion between Mrs. Richard Neutra (Dione) and Marvin J. Malecha, April 1984.

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to career decisions are the basis for a case that others who are not directly familiar with the individual must be able to comprehend. This is a story that leads to a logical conclusion.

Consider:

Build a teaching portfolio.

Build a vitae of accomplishments connecting scholarship, creative activity and teaching responsibilities.

Maintain a file of peer response to presentations.

Build a file of course outlines.

Make best use of annual reviews.

Take the time to build a careful and convincing record of achievement.

Record and Build Upon Milestones

Evolving a Career Plan

So, how do you know you are succeeding?

It is important to identify personal milestones that act as indicators of success or failure. If you are not happy with your own progress you will not be a good colleague. And, in all likelihood you will also begin to form resentments toward the position you are expected to fill and those who oversee your activity. Personal goals, once identified, can be assessed against established institutional expectations. This is the connection between personal measures and the measures of others.

Consider:

Establish distinguishing goals and objectives (measurables) that are distinctly your own.

Regularly seek the opinions of others.

Be aware of and plan against established guidelines.

Request regular assessments (annual).

Construct regular self-assessments.

Investment and Sweat Equity

The evolution of a career is a design problem

It is important to construct a plan for an academic career that connects teaching and scholarship. In this sense it is a continuation of the design problem that relates the design for life with a professional career. Careers are largely founded on sweat equity. The aspiring academic must be prepared to invest considerable effort in course, scholarship and professional development. This individual must be prepared to initiate new directions without reward. It is the reward of a career to which sweat equity accumulates.

Consider:

Personal aspirations must be related to teaching and participation within the department.

Where are the areas of personal investment of time and energy?

What are the stepping stone activities that have led to other more significant activities?

Apply the design process to your life.

In which area of professional life do you wish to make your greatest contribution?

It is important to invest time and energy to embark in new directions. Don't assume every journey will be supported in advance.

Learn from Failure

Only God is mistake free

Every individual makes mistakes. The test of an individual is not if mistakes can be minimized or eliminated but how this person responds to shortcomings. Much can be learned from mistakes. It is a test of the new faculty member. However, it is also a test of the senior faculty and the administration. A healthy community not only makes allowances for learning but also helps the individual grow within a position. It is equally important for an individual to understand that mistakes are a part of life and to not only learn form mistakes but also to respond to the assessments of others.

Consider: State the problem as you see it, how you feel and what should be done to change the situation.

Discuss one issue at a time without being defensive.

Make sure you agree on what the problem is.

Listen carefully to what the other person is saying, thinking and feeling about the problem.

List different solutions and steps for resolving the problem – don't disregard or reject any ideas.

Discuss possible solutions, listing good points and drawbacks about each situation.

Choose a plan that satisfies both parties to address the situation.

Decide how you will implement the plan. What are the steps? Who will do what and when?

Decide on a time to discuss progress or related problems.

Take pride in working out the problem.

Mistakes and personal failures are the best learning opportunities. You will be measured by your response to failure.

Five
Make Your Case
Like your mother always told you not to.

Ultimately an individual who aspires to the life of a faculty member will also be required to make a case for a continuing contract and a some point the ultimate status, a tenured position. When such an opportunity arises it will be necessary to compose a case for such a decision. Just as the academic is prone to critically review a research project so too will this individual, in the role of a faculty personnel committee reviewer, look critically at the application for review – tenure – and promotion. The individual who seeks this stature must make a solid case defending the request for a hiring, re-hiring, or tenure decision. An applicant must make the case forcefully and with clarity. Further, the individual must make the case for the importance of the decision relative to the aspirations of the institutional, faculty, and student community. (In a design school this means a portfolio that is as beautiful as it is substantive). This case must be made without hesitation. Brag gently.

No one can make your case for you better than you can. However, don't build your case in isolation from others who can mentor you through the process.

Certain behaviors lead an individual toward failure. These characteristics can be questioned and therefore minimized.

" Temptation One
Choosing status over results

Temptation Two
Choosing popularity over accountability

Temptation Three
Choosing certainty over clarity

Temptation Four
Choosing harmony over productive conflict

Temptation Five
Choosing invulnerability over trust"

The Five Temptations of a CEO, Patrick Lencioni, Jossey – Bass, pp. 124-130

My Talents Fit the Assignments
You would really miss me

The foundation of every case for an aspiring faculty member is the importance of the role that has been defined or assumed within the community. The fit of an individual to an assignment is an essential aspect of the success of an individual within an academic community.

Consider: State your fit to the assignment and demonstrate your success within the position.

Define the nature of the position and the evolution of the position since you have assumed the responsibilities.

A good fit is often as subtle as a collegial relationship among faculty and as sophisticated as specific course and scholarship expectations.

I am a Good Teacher and Role Model
The students would really miss me

Among the most important characteristics that a new faculty must demonstrate is a connection to the students. Students look to the faculty as role models, advisors, as well as teachers and academic mentors. The individual who aspires to an academic life should demonstrate an interest in the whole life of the student.

Consider: Report student evaluations.

Report the assignments you have held as an advisor to student activities.

Discuss the role you have as a professional advisor had in the lives of students as they have entered the profession.

Make the connection between your interests and the experience of students on campus.

How accessible and visible are you at student events outside of the formal classroom situation.

I love students

This is the armature on which you build an academic career.

I Fill a Necessary Role
and
I bring something special

Every individual brings something special to a role. The individuals who aspire to a life in the academy must be able to articulate exactly what this quality is in the context of a greater community. When an individual connects special talents to the necessary roles within an academic unit the necessity of that individual to the well being of the community becomes apparent.

Consider: State the relationship you have with your colleagues regarding teaching, advising, committee assignments, and special talents related to the profession.

Discuss how you bring balance to the faculty community of the academic unit.

It is wise to connect special talents to committee assignments. However, beware substituting committee work for scholarship.

I am a Productive Colleague
Others respect my work

A body of acknowledged work is important to establishing an academic career. However, it is not enough to demonstrate the work as a series of products or artifacts. This work must be substantiated by a well articulated written body of work. An architect cannot expect that a simple showing of architectural projects, with or without awards, is adequate in an academic context. The architect or designer who aspires to be an academic must be able to articulate the underlying principles of the work that is realized. This is what identifies the importance of the role of an individual within a community.

Consider: Report the nature of your scholarship.

Provide a demonstration of your activities within the academic unit to promote the goals of the unit.

Provide a peer review of your work demonstrating the respect held for your work in a national community.

The academic network you establish for yourself will enhance or diminish your position within the academy.

Six

Expect an Active and Involved Administrator

but it may be necessary to help along even those with the wisdom of Solomon.

Every faculty member has the right to expect that the senior administrator of a department, school, or college is actively involved with establishing an environment in which the possibility for success is high. This expectation is a particularly pertinent issue for a contract or tenure track faculty member. The involvement of the senior administrator is crucial to the success of a faculty member. This individual can shield or expose the faculty member to committee work, special assignments or a range of course assignments. It is the senior administrator who brings the culture of the institution to the new faculty member while providing regular assessments of the progress of the individual. It is the senior administrator who will assign the mentor and oversee the mentoring process. However, the new faculty member must actively seek out the involvement and assistance of the senior administrator. The truth is that the typical chair, head or dean is frequently drawn away from attention to the needs of particular faculty members by the exigencies of day-to-day necessities. This requires that the new faculty member must give attention to the relationship by bringing accomplishments and successes to the attention of the immediate supervisor. And, the new faculty member must be willing to make substantive contributions to the agenda of the senior administrator.

I am a Good Investment
I am a continual learner

When an academic community confers tenure it is making the ultimate investment in an individual. It is therefore reasonable that the community should expect the individual to demonstrate that this decision is a good investment. There is no better way to address this than to demonstrate that the individual is a life-long learner who will continue the search for knowledge and remain true to the commitment to students throughout an entire career.

Consider: Demonstrate the nature of the investment of energy you have made toward the evolution of the academic unit.

Demonstrate how you have been and always will be a continual learner.

Let it never be written,
as a student once referred to Charles V,
" Charles V spent most of his reign aging."

A. Henriksson, Non Campus Mentis, Workman Publishing, New York, p. 47

It is important to establish a clear path of continuing professional development.

Clarity and Honesty
Just ask for it straight please!

An aspiring faculty should be able to count on the dean, director or chair to present the situation with openness and honesty. If all is not well, the advice and counsel of a senior administrator is valuable. Further, an open discussion demonstrates a mutual investment in resolving the issues. If a faculty member cannot solicit and receive such assistance the warning signs are flashing.

Consider: Request an open dialogue on performance.

Discuss one issue at a time without being defensive.

A successful path toward tenure and promotion is depends on an honest and clear relationship between the aspiring faculty member, the senior faculty and the academic dean, director or chair.

Fairness
No hidden agendas or obstacles

Frequently it is the unspoken expectation that leads to the obstacles faced by the individual in tenure and promotion actions. Often in the heat of hiring, faculty justify one individual over another because of a perceived area of strength. This discussion is often forgotten and not shared with the faculty candidate until it influences a teaching assignment for which the new faculty member is unprepared or at the moment of evaluating the individual for a tenure and promotion decision. In either case it is too late for the outcome not to influence the success of the new faculty member in the tenure and promotion process. This is the reason to seek out specific written expectations in the hiring process.

Consider: Request a process that fairly takes into account the nature of the position, the resources provided to meet the expectations of the position and the outcomes of your efforts.

Discuss one issue at a time without being defensive.

Seek out a written set of expectations for teaching, scholarship, and service at the time of hiring.

Investment
A little help and a little cash go a long way

A new faculty member should expect that an institution would make an investment in his or her success. This support can take many forms including but not limited to: support for scholarship including course release time, travel to related professional meetings, technology support, and teaching assignments that allow for growth and personal development.

Consider: Request support for course development and scholarship.

Seek release time for special assignments that benefit the entire academic unit.

Request understanding for course development and new course offerings in order to avoid burnout.

It is reasonable to expect that the institution you have joined will investment in your success and nurture your improvement. A lack of such support should be a warning sign.

Reward
Kill me with compliments

A new faculty member should be able to expect a supportive environment. This includes recognition of success. Just as it is critical to know when problems arise, it is equally helpful to learn of and be recognized for success. It is not unreasonable to expect an occasional pat on the back.

Consider: Seek a process that rewards hard work and success.

Keep your personnel file complete with any compliments that may have come your way over the course of your appointment.

When a compliment comes your way ask for it to be in writing. This will be helpful as the case for promotion and tenure is constructed.

Embrace Regular Assessment

No halos allowed

Regular assessment is an advantage for the new faculty member. It is an opportunity for the new faculty member to adjust behavior, to make course adjustments, and to demonstrate a willingness to be shaped by the institutional environment and the community of students and faculty. The individual who is willingly open to criticism is significantly more likely to succeed.

Informal assessment lights the road

So, how'm I do'n ?

Informal assessment by students as well as colleagues allows for mid-course correction. It is the opportunity to adjust and make change without the rigors or the record of a formal assessment. It is a simple "how'm I do'n" with the intention to listen carefully to the usual cordial response and to make changes as a result.

Consider: Insert an informal, open response to class participation assignments. This will lead to class observations.

Seek comments about student work from the class from the dean, director or department chair.

" Academic departments need to provide young scholars with a sense of community, with mentors, with seniors who take the role of colleague seriously. Although assistant and associate professors are not anyone's assistants, they can at least be treated as associates and not transients. A good academic department should resemble a family: supportive, guiding, and nurturing. At best the department can become a partner in the progress of its younger members, helping each one to attain their capabilities."

The University. An Owners Manuell. Henry Rosovsky. Norton. P-176

Eight

There are Many Paths to Success

An entrepreneurial spirit will be your best asset.

Along the course of a career, an opportunistic, entrepreneurial spirit will be your best asset. There are many successful career paths in the academic life. Some of these paths are not readily apparent and many of them will not even exist at the start of an individual career. A firm set of convictions sets the base for a teaching career. A willingness to evolve and transform this set of convictions ensures the continuing relevancy of a life in teaching. And, the ability to adapt to the situation confronting these convictions allows the individual to take advantage of opportunities where convictions may be tested in application. An individual who holds a fixed position is a burden to a community of scholars. Such intractability signals the end of a career in the academy. Beware of attitudes that would limit the exploration of new directions; embrace the unpredictable. You never know where the next opportunity may spring from, be ready to take advantage of the situation. As a junior faculty member you can send no better signal to your senior colleagues than to make soup from leftovers.

Formal Assessment provides a to-do list

Pay attention now

Don't just hear the compliments

Regular and formalized assessment is uncomfortable, but it is the ally of the aspiring academic. Regular assessment is a motivating factor in a career. It establishes an attitude that the thriving academic must be constantly in motion. It is a natural extension of academic life that an individual should be called into reflection on the outcomes of action. Formal assessment is a motivating factor. It is imperative that the aspiring academic use the insights gained from this experience to mold and shape action.

Consider: Request a regular discussion on performance.

Seek regular affirmation from a personal network.

Accept, request or seek out a mentor, be sure you have one, no mentor is no option.

Keep the Personnel file updated

It is important to know the contents of the official University personnel file and to keep it updated. Don't rely on others to maintain this file with the kind of accuracy that is beneficial to your case. Also, be aware of what others may insert into the file.

The Teaching, Scholarship and Service Trilogy

The heart, the mind, and the hand

Every faculty member experiences the dilemma of balancing teaching research and service. It is a reality of the academic community. Should you ask the average tenured member of the faculty to describe the least attractive aspect of a faculty appointment it is almost certain that committee work would be the immediate citation. How then should an aspiring faculty member address these issues and why is it important to address issues beyond teaching ability?

Teaching is a life of the heart

" Even at the most research extensive University and the most committed land-grant Institution, the most exciting moment for the faculty member must be when they step into the classroom."

Chancellor Marye Anne Fox, NC State University, Fall 1998

Much has already been written in this monograph regarding the importance of establishing a teaching persona and to understand teaching as the armature on which to build an academic career. Teaching in the most real sense can guide the aspiring faculty member in the development of scholarship and as a guide to

non nova sed nova

not new things but new ways

Avoid the words: "we tried that before and it didn't work."
Experience demonstrates that every time out is a new time when the situation has changed just enough to allow things to work that never could before. The academic life is filled with retracing the steps of others. This is the joy of reflection. It is wise to be known as the individual who seeks the way to make things work.

Consider: How can you make an idea work?

Try it and try it again.

How can you make others successful?

There is really nothing new under the sun, only your take on it all. So, what is it?

I Love My Work

Just as teaching is the armature on which an academic life is constructed, it is the pursuit of knowledge reflected in scholarship that enriches and enlivens it.

seek out relevant committee work. The life of the heart will help a faculty to identify those assignments and explorations for which they will have affection. When there is self-interest in specific teaching, scholarship or service duties there is a substantially greater inclination by an individual to perform at a significantly higher level.

Accept the full breadth of a life in the academic community. Put your heart in your work, all of your work. You must treasure the opportunity to enter the classroom.

Have you bent the vectors of students' lives?

Scholarship is a life of the mind

" How do you resolve the differences between the creative and performing arts and the traditional academic disciplines when it comes to the expectations for scholarship? Well it seems to me that it is not enough for an artist to put a finished artifact on a desk or in a portfolio and submit it with the attitude that it speaks for the motivation of the artist. This is not enough if the individual wishes to enter the classroom or mentor the students in studio. It seems to me that there must be a reflective component that can be verbalized or written about. When I am making a decision about tenure and promotion I want to get inside the person's head. I want to know what is important to them."

The demonstration of scholarship can take many forms. Earnest Boyer in his text Scholarship Reconsidered articulates forms of scholarship that includes discovery, integration, application and teaching. This provides the latitude for even the most dedicated teacher to pursue a scholarly agenda. The act of teaching itself can be an act of scholarship. The teaching diagrams of Kazimir Malevich provide a poignant example of how an individual can transform a passion for teaching into scholarship.

An individual considering a life in the academy must commit to the life of the mind. To succeed in the academic life an individual must combine teaching interests with areas for application that make a direct connection to scholarship.

Demonstrable scholarship, given value by a network of peers, is required.

Have you bent the vector of understanding related to your discipline?

Service is the life of the hand

The duties of an academic position include responsibilities outside of teaching and scholarship. These are the duties that demand a selfless quality from an individual who is normally expected to be devoted to his or her work and life in teaching and scholarship. This is the dilemma of a life in the academy. The faculty member must be willing to engage in committee duties that range from curricular discussions to student admissions. The dilemma arises with the reality that while such duties are required, a demonstrated talent for meeting these responsibilities will not form the basis for tenure or promotion. On the other hand, a demonstrated resistance to meeting service responsibilities could provide the foundation for a negative outcome to a tenure and promotion action.

The faculty member must develop a strategy to assure that service activities and responsibilities are an extension of teaching and scholarly interests as well as a personal life philosophy.

Beyond assignments and personal interests the commitment to accept service appointments is a personal investment to the quality of the whole life of the institution and departmental community. It demonstrates that the individual is committed to goals beyond self-interest. It is a willingness to lend a hand.

A commitment to service is a commitment to the whole life of the institution.

Have you bent the vector of the life of the institution for the better?

Ten
A Final Word
The process is a mutual measure of success

Success and failure is a shared phenomenon in the review, reappointment, tenure, and promotion process. You want to be a member of a community that shares in your success and takes responsibility along with you when failure occurs. In such an institution there will be an attitude that when an individual is hired to become a member of the community the likelihood of success is high. Senior members of the group will take it on themselves to mentor and shepherd new faculty members along the path of success when the responsibility for success is shared. A dean, head, or chair use new hires as bragging points demonstrating the influence and regard of the program proven by bright new faces. Successful tenure and promotion submissions demonstrate the distinction of the contributions of the faculty member to teaching and the search for knowledge. When an appointment does not reach successful conclusion it calls into question the wisdom of the hire and the commitment to the academy on the part of the faculty candidate and the ability of an administrator to bring along and support new faculty members. Understand that it is in the best interests of the administrator to foster a successful candidate through the tenure and promotion process. However, use this information wisely.

Epilogue

"For each newly appointed assistant professor, then, the path to ultimate acceptance as a full-fledged member of a community of scholars — to that award known as tenure — can be daunting. Yet, navigating it successfully is not only essential to the personal and professional well being of the individual aspirant, but to the recharging of an institution's batteries, and in a larger sense as an assurance to society as a whole that its colleges and universities are in a constant state of renewal and reinvigoration."

A. Clay Schoenfeld and R. Magnan, Mentor in a Manual, Magna Publications, Madison WI, 1993, p v.

Consider: It is in the interest of both parties to make an appointment work.

Find the areas of mutual interest.

Assess the investment of the academic community to your success; it may also be an indicator of its investment in your success.

Along the way of my progress through the promotion process I hoped to parlay an appointment to an administration position into a promotion to professor. To my great disappointment the president of the university at which I was appointed refused to make this connection. His reasoning at the time seemed to me to leave me wide open to the excessive criticism of faculty who would like nothing better than to subject a new administrator to a rigorous, perhaps even unfair review process. I expressed my concern that the bar seemed to be unfairly raised relative to the accomplishments of other senior faculty. His response was that if I wanted a life in the community I needed to make every step. If the standards seemed higher, it was only because the institution was investing itself in a new generation of faculty with the expressed desire to raise the expectations of faculty. As a result I progressed through the process on a normal schedule facing raised expectations. In the end, I have come to understand that the president was correct in his assessment. Because of his insistence I have come to appreciate the importance of respecting the time in the process as well as the specific expectations of the process.

Beware of early actions for tenure and promotion. Before you have gained tenure through recognized processes avoid the temptation to seek credit from one institution to satisfy the tenure and promotion process of another. Do not negotiate the process; earn tenure and promotion through deserved recognition. Once tenure and promotion are achieved, protect the privilege. Do not surrender this privileged position when moving from one institution to the next without significant benefit in return.

NC STATE UNIVERSITY

December 8, 2000

Memorandum

To: All College of Design Faculty

From: Marvin J. Malecha FAIA, Dean

Subject: Affinity, Joint, and Transferal of Faculty Appointments

The proposal forwarded to the Chancellor regarding school to college designation included the concept of changes in faculty appointments. The acceptance of this proposal, and the subsequent implementation of the administrative reorganization, has effected curricular changes, as well as admissions practices. Now I can present the opportunities for changes in faculty appointments articulated in the restructuring proposal as affinity designation, joint appointment, and the transferal of home department designation.

Affinity Appointment Designation

The affinity appointment designation does not change the department of tenure. It is a designation intended to indicate an interest beyond the home department in the areas of: Design Studies; Graduate Programs (with a specific designated interest in a Ph.D. concentration area); and Research, Sponsored Programs and Extension. A faculty member may also request a joint appointment in addition to the affinity appointment.

A faculty member interested in the attachment of an affinity area to his or her appointment designation should prepare a one page memorandum of request to the Dean. The Dean will confer with the designated individual in charge of each of these areas (Design Studies – John Tector, Graduate Programs – Wayne Place, Research/Sponsored Programs/Extension – Nancy White) and make the final decision regarding approval.

Faculty members designating an affinity appointment will be expected to be active participants in the conduct of the interests of the area, such as serving on a faculty advisory committee.

Joint Appointment Designation

The joint appointment designation does not change the primary department of tenure. The voting rights of a faculty member are restricted to the primary department of tenure. It is a designation intended to indicate teaching, research, or extension activities beyond the home department. For example, the School of Architecture and the Department of Landscape Architecture could at some moment decide to jointly appoint an individual to lead the Campus Design Studio. Such an individual would maintain a primary appointment to one academic unit and a continuing working responsibility with another. A faculty member may also request an affinity appointment in addition to a joint appointment.

A faculty member interested in the designation of a joint appointment designation should prepare a one page memorandum of request to the Dean. The Dean will require a vote of approval from the tenured faculty of the requested academic unit, a written memorandum of support from the academic unit chair or director, and following both indications of support make a final decision regarding approval. Prior to the Dean's approval, the designation of a joint appointment cannot take place without both consultations indicating support. Faculty members designating a joint appointment will be expected to be active participants in the conduct of the interests of the academic unit, such as serving on faculty committees.

Transferal of Tenure or Tenure-Track Appointment Status
A faculty member may request the transfer of appointment status from one academic unit to another. Such a request may also be accompanied by either or both of the options listed in the previous sections of this memorandum. This is a request for the transferal from one home academic unit to another.

A faculty member interested in the transferal of the home academic unit designation should prepare a one page memorandum of request to the Dean. The Dean will require a vote of approval from the tenured faculty of the requested new (receiving) academic unit, a written memorandum of support from the receiving academic unit chair or director. The Dean will confer with the academic unit from which the faculty member has requested transferal to assess resource implications. Following the resource review and both indications of support, the Dean will make the final decision regarding approval. The transferal of appointment will not take place without both consultations indicating support prior to the approval of the Dean.

Faculty members who change home academic unit designation will be full fledged members of the new home academic unit expected to meet all relevant RRPT standards and accepting responsibility to serve on all faculty committees related to the new home academic unit.

Submission of Request for Consideration
The Dean will begin receiving requests for affinity, joint, or transferal of academic appointments immediately. Decisions regarding these requests will be made during the spring semester in as timely a fashion as possible.

This continuing implementation of the College of Design structure provides a unique and wonderful opportunity to every member of our design community to redefine traditional relationships thereby, also stimulating new opportunities. I look forward to assisting many members of our faculty. I believe such redefined roles will nurture a new spirit in our community.

C: Academic Unit Chairs and Director
         Associate and Assistant Deans

NC State School of Design

Determining
Faculty Salaries:
A Process for Recognizing Performance and Equity

Marvin J. Malecha, FAIA, Dean

1.0 Prologue

Determining fair compensation for faculty members must be a careful balance between performance and equity. Performance must be rewarded as the life of a design community depends on a fully involved faculty. Equity is a matter of what is fair. The process that is articulated in this document is intended to provide the basis for the decisions regarding salary and compensation. This process is intended to define a decision process based on accepted measures of success within the University. The issues that surround equity are equally complex including considerations of gender, race, time in grade, and discipline. The final outcome will be affected by the subjective opinions of the relevant department head and the dean. However, it is the intent of this process to make clear the underlying rationale for the decisions affecting salary determinations.

2.0 Decision Process

The decision process for the determination of faculty salaries must be driven by a close consultative relationship between the Dean and the Department Heads as well as a good working relationship among the Department Heads. Rewarding performance as well as recognizing the need for equity is a balance of School priorities.

.1   Dean and Department Head meeting regarding the assessment of faculty performance:
The Dean will meet individually with each Department Head to assess the performance of faculty within the department. This process will be guided by the measures of performance established by the University.

.2   Dean and Department Heads meeting regarding the assessment of equity issues:
The Dean and Department Heads will meet to assess the importance of equity issues within the School. This process will be guided by the concerns articulated in the section of this document defined as measures of equity.

.3   The Development of a comprehensive ranking:
The Dean and Department Heads will agree on a ranking of performance and equity for each member of the faculty.

.4   Salary allocation:
The Dean and Department Heads will determine the appropriate levels of compensation for each faculty member following the rankings derived from the process.

3.0 Measures of Performance

The measures of performance that will determine the substance of this assessment are founded on the categories established by the University and the School for review, reappointment, promotion and tenure. Each of these criteria will be assessed as exceeds, meets, or fails to meet, expectations for the appropriate academic rank.

.1 Instructional Contributions

.2 Research and Creative Activity Contributions

.3 Extension and Public Service Contributions

.4 Other Contributions
 • Teamwork and contributions to the common good of the School and University.

.5 Peer Assessment

4.0 Measures of Equity

Equity must be factored into the compensation of faculty. However, equity is a complex issue that requires a mature review of the situation of each individual. Each category will be assessed regarding the situation of the individual as favorable or unfavorable.

.1 Gender and/or minority status, comparative salary among peers within the School.

.2 Academic Rank
 • University Comparison
 • School Comparison
 • Peer Institution

.3 Discipline Specific Comparison

.4 Professional Comparison

.5 Time in Rank

5.0 Decision Reporting

The reporting of the decision regarding faculty salaries is defined by the reporting between the Dean and Department Heads as well as the reporting between the Dean and each member of the faculty regarding specific salary decisions.

.1 Dean and Department Head communication
The Dean will inform the Department Head of the decision regarding all faculty salaries prior to the notification of individual faculty members.

.2 Dean and Individual Faculty Member communication.
The Dean will inform the faculty member, in writing, regarding the result of this process.

.3 Deliberations between Dean and Department Heads will take place immediately following Spring Semester. Faculty will be notified during the summer following senior administrative approvals.

PRACTICUM APPOINTMENT
College of Design, North Carolina State University

General Purpose and Intent

To promote the involvement of faculty from the College of Design into professional practice, thereby increasing the currency and relevancy of their instruction, the following program has been introduced.

1. Full-time tenured faculty may reduce their appointment to 0.75 FTE without a loss of health benefits.

2. Faculty may further reduce their appointment by an additional 0.25 FTE by requesting a scholarly leave without pay.

The resulting Practicum appointment determined either on a semester or academic year basis will result in a reduction in salary and teaching responsibilities equal to the reduction in FTE. As with any reduction in the FTE of an appointment a commensurate reduction in retirement contributions by NC State for the employee will result. However, the individual may receive permission to make payments toward their retirement plan to cover the 0.25 FTE scholarly leave without pay portion.

RELEASE TIME

Release time is to be bought out at the rate of the faculty member's appointment, including benefits. It is the department chair/director's discretion to negotiate an accompanying administrative release time. Such agreements are to be approved on a semester basis by the Dean.

JUNIOR FACULTY HANDBOOK
ON TENURE AND PROMOTION

Robert Greenstreet and Marvin Malecha · 1995

The Junior Faculty Handbook on

Tenure and Promotion

Bob Greenstreet
Marvin Malecha

1995

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PROLOGUE

During the 1990-91 Academic Year, Marvin Malecha served as President of the Association of Collegiate Schools of Architecture, while Bob Greenstreet was elected Secretary of the Board of Directors. As part of his platform in the election, Greenstreet introduced the concept of the Junior Faculty Initiative, an attempt to institutionalize a program of guidance and opportunity directed towards faculty working their way towards tenure and seeking to excel in teaching, research and service. With strong support by Malecha and the Board of Directors, the Initiative resulted in the New Faculty Teaching Award, the Junior Faculty Fellowships (funded by the Graham Foundation) and the Junior Faculty workshops, which have been offered for the last few years at the Annual Meeting. Malecha and Greenstreet have also offered a similar workshop at the Association of Collegiate Schools of Planning conference, and decided to develop the contents of the workshops and other material they had collected through associated activities (mentoring programs, ACSA Administrators' Orientation Workshop, etc.) in a handbook for general distribution to ACSA members.

It should be stressed that the contents of this handbook solely represent the authors' viewpoints and opinions. There are over one hundred architectural programs in the United States scattered between private and public institutions. Some are joined with other disciplines, some are administered through faculty governance and some fall under state legislation. While the concept of tenure and advancement is similar in most of the Schools, procedures, responsibilities and requirements are likely to vary. Similarly, styles of leadership are dependent upon personality, which may also affect the tenure process in individual programs. While much of the material contained in this handbook is sufficiently general to provide guidance through the tenure process, the reader is strongly advised to consult with senior colleagues and administrators to confirm that his or her approach to the procedural and substantive aspects of their tenure process are appropriate.

AUTHORS' STATEMENT

We have written this handbook based upon a shared belief that the tenure process should be a productive period of opportunity for individuals to excel in their professional pursuits of teaching, research and service. We reject the concept of tenure as a process of academic 'hazing,' whereby new faculty are either overextended as front-line teachers of left to sink or swim without direction by their senior colleagues. Instead, we believe that new faculty are an investment in the future of each program and, like any investment, should be nurtured and maintained. To do otherwise is to waste precious resources.

This should not be interpreted as a call for lower standards. On the contrary, excellence needs to be strived for at all costs to ensure the highest possible levels of academic performance in our schools, and if individuals are incapable of making the grade, they should not be retained and promoted. However, in some instances, failure to clear the tenure hurdle is due to factors not necessarily associated with mediocrity. Poor or inadequate guidance, ignorance of tenure procedures or expectations, or a lack of understanding of the 'rules of the game' can result in major problems and, we believe, leads to as many failed tenure bids as poor performance.

In our own Schools, we have tried to foster an atmosphere of support and encouragement for tenure track faculty, providing information and guidance about developing a scholastic career and creating opportunities to excel. As members of ACSA, we would like to see an institutionalization of this approach, both in the generation of new opportunities to achieve peer approval (the New Faculty Teaching Award, for example) and in the dissemination of information that can help a faculty member chart a successful route through the tenure maze. This handbook is an attempt to achieve the latter.

We should add that the concept of faculty development transcends the arbitrary seven year tenure period. We believe in the growth and development of each faculty member over a lifetime and do not see the striving for excellence waning after tenure. For this reason, we hope the contents of this handbook can be useful to *all* faculty in their professional development and can help to set the foundations for a long, fruitful and outstanding academic career.

Bob Greenstreet
Dean, School of Architecture and Urban Planning
University of Wisconsin—Milwaukee
President-Elect, ACSA

Marvin Malecha
Dean, School of Design
North Carolina State University
Past-President, ACSA

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The Association of Collegiate Schools of Architecture

1. RESPONSIBILITIES

The life of a junior faculty member is at best an uncertain affair. Generally, one step out of graduate school, this group is assigned heavier coursework, more committee tasks, expected to publish and/or present papers and conduct research or creative activity. But, that is not all. Frequently, this difficult/impossible workload is conducted along a perilous path strewn with examples of past failures, the politics of appointment and promotion and demanding academic fields, which require constant study to remain current. The compensation is personal gratification and often near poverty level salaries.

Perhaps this picture is rather exaggerated, but it bears sufficient elements of truth that we should begin to reflect upon change.

The junior faculty are a valuable resource for any program. Not only does this group generally bring freshness to an academic curriculum but as a group, they are usually more racially and culturally diverse and often provide a better balance of women and men. The junior faculty represent an investment in the future of a program. More than any other single decision, the choice of an individual sets the pattern for curricular decisions and philosophical underpinnings. Therefore, it is imperative that the choice of these individuals and the means by which they are nurtured, promoted or even sent away must be founded upon information and practices beyond departmental politics and personalities. Both the junior faculty member and the individuals representing the institution have responsibilities to fulfill in order to ensure a successful conclusion.

1a. The Academic Environment

The environment is the defining aspect of where a person works, his or her productivity and the quality of his or her experience. While facilities are an aspect of this, it is more of an operational philosophy comprised of understanding, respect for ability, inclusion and a holistic concept for the institution. This may be best characterized as a nurturing attitude.

Understanding is an important aspect of this matrix, since it allows for mistakes. We all make mistakes and often learn best when we do. So it should be with a new faculty member. Potential situations for growth should not be

manipulated into problems. In a "free and ordered" environment, individuals may hold their own opinion without fear of retribution. Such an opinion should be defensible, otherwise it cannot contribute to a mature discourse. We must not seek only those we can agree with or those who only advocate a single point of view. The university demands diversity of thought and interests—it is, therefore, a model for a rapidly evolving culture.

Respect among colleagues for ability is fundamental to the discourse of the university. Respect is the basis upon which trust will develop. Junior faculty must be given assignments and roles within the academy based upon the ability they bring to the institution.

Inclusion is a fundamental aspect of a true faculty community. Much too frequently, artificial divisions are drawn among junior and senior faculty, creating problems of trust, respect and understanding. Certainly, there are issues in the life of the academic department that will not be inclusionary by nature and are therefore inaccessible to the junior faculty. These situations should be minimized. Inclusion in the discourse upon the issues before the department, college or university is the first tangible sign that the opportunity for success is present.

A holistic concept of the department and the curriculum is necessary to provide the individual with a clear understanding of his or her place in the plan. It provides the department and the faculty the opportunity to take advantage of strength while addressing weakness. A holistic concept of place, program and people is the essential ingredient of clarity, when both institutional and individual responsibilities are clearly understood.

1b. Institutional Responsibility

The faculty recruitment, promotion and tenure process must be characterized by clarity, which is first reflected in the development of the job description and amplified in the recruitment and hiring process. If this process is successful, then almost every other subsequent decision will be much less painful for the institution and more straightforward for the individual under consideration.

This clarity should be further articulated in teaching and committee assignments. Certainly, it is upon the shoulders of the department to define what

is expected of new colleagues. Written reappointment, tenure and promotion guidelines are the rule today, but even these documents tend to equivocate. While it is impossible to construct a document that anticipates every situation, it is reasonable to consider creating a basis for action that articulates what is expected. How much teaching will be required and will it be necessary to assume a major curricular responsibility? How many administrative duties will be required to be considered a full participant in department life? What is the nature of the scholarly and creative pursuits that are expected to be a successful candidate for a more consequential position?

Clarity implies honesty and strength of convictions. Honesty requires openness, while strength implies rigor. If an open attitude can be maintained, then a new faculty member is not working against unknown factors. With such an exchange, an individual in the reappointment, tenure and promotion cycle may begin to address weaknesses that become apparent.

The process must be rigorous for it to have any meaning. Such an approach minimizes the political nature of appointments and promotions within a department. After all, the question is not whether an individual will vote in a particular way or even if everyone gets along with that person. The process should remain focused upon the individual's demonstrated ability to satisfy the needs of the position first articulated in the search process, the special knowledge and skill an individual brings to the position, the value of the individual to the institution, and specifically assessed examples of performance. Further, the process must be so disciplined as to begin the moment the new faculty member comes onto the campus. All too often, the important evaluation comes too late in the process for the individual to respond.

A variety of means have been recommended for such a process to be successful, from mentoring to faculty development programs (see Appendix A). However, ultimately such a process is the responsibility of the department chair (In some cases, this maybe the Dean. In either circumstance, the latter should demonstrate an active interest in faculty development and thus set the standard in the department.) In addition, senior faculty members constituting an Executive Committee must all consider themselves veteran advisors who have a responsibility to assist in the process, but for continuity to prevail, such energies must be directed. Continuity is an important operational word since it is often a problem in the process. The expectations required of a faculty member cannot

be modified radically each year. When such behavior occurs, it is impossible to be rigorous since a substantive response to criteria cannot be demonstrated.

So, how can the departmental chair best serve the interests of tenure track faculty? Providing direction and advice throughout the process, possibly by regular meetings at least once a semester is an enormous help. Similarly, point-ing out opportunities (conference presentations, grant possibilities, high profile committee assignments, etc.) and, whenever possible, ensuring a favorable workload that enables the individual to develop to the standards required by the department.

However, this is not a handbook for administrators; attitudes towards junior faculty vary from school to school and from person to person—the chair position may be occupied by a variety of individuals during one individual's tenure track period. How can the junior faculty member then ensure that he or she gets the best from their chair? This may prove to be a little sticky if the chair seems unwilling to help, but diplomatically engaging him or her in the individual's development is not impossible. Asking for advice, keeping the chair informed of your concerns, your achievements, your ambitions, requesting more feedback (on teaching performance, on abstracts and proposals, etc.) helps to bring them into your corner as an advocate, a mentor and, hopefully, a friend and colleague.

The same principle applies to senior faculty. Not only do they usually have a significant say in the promotion of junior faculty, they also collectively hold a great deal of knowledge concerning academic advancement—after all, they have already successfully straddled the tenure hurdle. Incidentally, while the authors maintain that it is the responsibility of senior faculty to take an ac-tive developmental role in the careers of their junior colleagues, the latter may have to take the initiative in initially seeking advice and establishing a relation-ship.

Top Ten Ways a Chair Can Help Junior Faculty

1. Make sure they don't get dumped on in the teaching schedule—no continuously heavy loads, development of lots of new courses, con-stant teaching 'in the trenches' (e.g. undergraduate core courses).

2. Make sure they get the opportunity to develop new courses that cor-respond to their scholarly interests, perhaps graduate elective courses, graduate studios, etc.

3. Whenever possible, provide release time or summer funding to help them establish a research agenda or develop a better teaching profile.

4. Nominate them for awards, high profile committee assignments and similar opportunities for recognition or advancement when appropri-ate.

5. Drop them notes on research grant opportunities and deadlines for receipt of abstracts, and encourage them to apply. Be generous with travel funds if they succeed.

6. Offer to read papers, review abstracts, etc., and provide feedback.

7. Meet with them regularly to informally chat about the tenure process and their progress.

8. Advertise their achievements through the ACSA Newsletter, to the Chancellor, the local press, campus publications, and send them notes of congratulations when appropriate.

9. Introduce them to potentially useful contacts in the city, on campus or at ACSA events.

10. Encourage senior faculty to work with them also. In some cases, a structured mentoring program or three-person development commit-tee can be helpful. Some schools require a formal "Progress Towards Tenure" advisory review at the tenure mid-point, which can be very helpful.

1c. Individual Responsibility

While it is hoped that institutional commitment will provide the frame-work for support for new faculty from their first semester, this may not always be the case, and the individual should be prepared to take the initiative in for-mulating a career strategy. The individual must realize that a probationary pe-riod in any position is used to determine whether they can fit into the whole life of a department, as well as satisfy specific course needs. This is especially true

in a small department. Proof of the value of an individual to an institution remains with the individual. Here, clarity is important. The candidate should specifically respond to the requirements of the position, citing demonstrated outcomes as a result of participation in institutional activities or of particular activities relating to instructional responsibilities. A new faculty position requires a gregarious approach. This, more than anything else, will contribute to issues of institutional fit. Again, the individual can consciously reach out to other faculty regarding course development and position responsibilities without compromising personal integrity.

The reappointment, promotion and tenure process should be methodically addressed. An articulate record of demonstrated ability should be composed into a clear response to the position requirements and as a case for advancement. A candidate may utilize a career development plan (See Appendix A) connecting personal growth and professional growth with the expectations of the position. Connections between teaching and creative activity and research are becoming increasingly important. (see Section 3). Specific references to individual responses to evaluations should be noted for future reference. The individual should formulate a specific, written response, for the record, of student evaluations and a strategy for future actions. Demonstrating the ability to respond to situations as they arise is critically important.

Generally, a candidate begins with high hopes and is regarded with enthusiasm. As time progresses, if there is no specific program to follow or rigorous assessment of performance, even the most promising individual can drift away from a successful path. Even in situations where the institution is not successfully managing the process, a candidate can focus the discussion by articulating the demonstrated performance necessary for successfully performing in the position.

The First Thing to do as a New Faculty Member

1. Get hold of the departmental and university regulations on tenure and promotion and read them.

2. Read them again. Discuss the contents with other tenure-track faculty and senior faculty, if you have questions.

3. Ask for regular meetings with the chairperson (once a semester) to discuss your progress, solicit advice, etc. Keep notes.

4. Start collecting *anything* that may be useful for your tenure document— letters of thanks, articles in newspapers about your work, letters of support for your work—and put them in a secure file, cupboard or box.

5. Keep your eyes open for conference opportunities, grant proposal possibilities, etc., that look useful. Ask your colleagues' advice on deadlines and the best opportunities to pursue.

6. Don't panic. It isn't necessary to do everything in the first year, just familiarize yourself with the territory. Planning your tenure track is a useful exercise, however, and shows long term planning and commitment.

7. Try and get to conferences if at all possible. Finances may be tight, but networking in your field and developing a contact base of colleagues beyond your home institution can be invaluable.

8. Remember why you took the job in the first place—presumably you love to teach. That's a good place to start developing a reputation for excellence.

2. OPPORTUNITIES

2a. Institutional Opportunities

Among the most important decisions that an institution can make is the selection of a new faculty member. It is very important that when such a decision is made, it not be flawed by controversy and half-heartedness. Experience demonstrates that the failure of an appointment may be caused by the conditions that exist *before* the new faculty member even arrives.

The institution, therefore, must ensure that the conditions for success exist before people are asked to make a serious commitment to it. Simply stated, the individual who accepts a position is entitled to the opportunity to succeed. For this reason, the institution must accept a *pro-active role* in the career of a new appointment. This takes on the form of proper academic assignments, support for creative and scholarly activity and reasonable assigned duties. Frequently, junior faculty are overly assigned committee duties, heavy student counseling and new course preparation, thereby leaving little time for creative and scholarly activities. Such a practice subverts the quality of in-class performance, while preventing the individual from accomplishing the body of work necessary for retention, promotion and tenure. Therefore, the leadership of the institution must see to it that junior faculty are properly assigned and their performance is fairly reviewed. Too often, senior faculty pass the ritual of junior faculty overload on to the next generation simply because these were the dues that were extracted from them. Such practices must be discouraged if an institution is to advance. Finally, it is important to assess the performance of each individual, in terms of how that person is meeting the intentions of the position he or she has been asked to fulfill. All too frequently, one junior faculty member is matched against another, creating an unhealthy competition that rapidly degenerates into either a personality contest or a kind of department politics. In either case, it is usually academic excellence that is sacrificed.

The key to success in creating academic excellence lies both in clear guidance and the creation of opportunities. It is the institution that must ensure the opportunities for success, to provide every possible assistance in enabling each individual to excel. This may take the form of institutionally—based mentoring programs, teaching workshops or incentive grants to stimulate research. It may also include awards programs for demonstrated excellence in teaching, research

or service. Such programs can be very useful to tenure-track faculty, and may be directed specifically towards them. However, it is surprising how often these opportunities are missed by faculty, either by overlooking deadlines or even by ignorance of their existence. Hopefully, senior colleagues will point out the campus-wide possibilities, but junior faculty should take the initiative to find out *everything* that is on offer *and the due dates for submissions/proposals* so that decisions as to when to apply can be balanced with other obligations and commitments.

Similar opportunities may exist in each School or Department or through the ACSA network (the New Faculty Teaching Award is a good example). However, be creative in seeking out other opportunities that correspond with your teaching and/or research interests. Are there funds or possible activities available through the city, through a local practice or through an associated field (IFMA, AIA, G.S.I., ASID, etc.)? Are there awards for which you are eligible through similar channels, maybe through another institution or a multidisciplinary field—for example, annual Popular Culture Conferences transcend many disciplines and have provided lively fora for paper presentations for many junior faculty.

In summary, institutional opportunities exist at many levels in a myriad of organizational structures. Some are well known and highly sought after (e.g. the Bruner Award), others more obscure but with promise for interesting advancement. Opportunities may take the form of grants, awards, fellowships, publication possibilities, exhibits—any number of vehicles by which the individual may advance their teaching, research or service. It may be left to the individual, however, to be open-minded enough to explore the wide spectrum of possibilities and to aggressively seek out such opportunities as they become available.

2b. Individual Opportunities

A major factor in the success of individuals within the academy is the ability to seize upon situations creating opportunity. Once the institution makes clear that success is possible, that an opportunity for a secure appointment exists, it is the individual who must live up to the trust and hope inherent in such a situation.

This is largely attitude driven. The process of gaining acceptance by more senior academic colleagues is almost always by accomplishment. This will almost certainly occur as an individual takes responsibility for curricular development and events related to the whole life of the community. While the dilemma of over-assignment is real, the other perspective of total avoidance of "dirty" assignments can be a damaging stigma. Formalized agreements, such as the Distribution of Effort Agreement used at the University of Kentucky (see Appendix E) can ease this problem.

Essentially, the individual must be perceived as someone who is maturing as an academic, gaining strength in a needed direction, as a contributor to the work and management of the department and as a creative force within the department. A self-constructed career development plan may be the best plan of action, especially when it is shared with respected senior colleagues.

The career development plan may then form the basis of an articulate tenure or promotion request by reflecting upon the relationship between teaching, creative activity and the expectations of the institution. This can be conceived as the development of a *case statement* (See Appendix D). This is an apt comparison, since the case statement is a brief that elaborates an opinion with specific citations defending the requested action. The preparation of a case statement requires diligent record maintenance, expert opinions regarding the specifics of the case and a well-written argument with illustrations. The case statement is the basis upon which a faculty member can advance and, therefore, must be the result of efforts by the faculty member begun the moment he or she joins the institution.

2c. Making the Case

So what is the case statement and how can it help? Essentially, the case statement is akin to a legal brief, a well argued, well supported document that makes the case as to why the individual meets the criteria for job tenure and promotion. However, the case statement, while a powerful tool (in association with a curriculum vitae) in focusing the attention of those in judgment, can have much greater use if developed *early* in the tenure process. By attempting to define the individual's field and niche in the department, and then demonstrating how he/she is (and will) achieve excellence, the document becomes an excellent foundation for self awareness, showing how much the individual has

achieved, and how much remains to be done prior to tenure. More importantly, it is an excellent vehicle for discussion with senior colleagues and administration—Am I on the right track? Am I correctly sensing the needs of the department? Is my progress satisfactory?

Regular, annual updating of the case statement (which needn't really be written until the second contract year) and requests for feedback from colleagues can provide useful information and suggestions, advanced warning if there is likely to be a problem with your progress, direction or ideology and can prevent nasty surprises during the sixth year when it is too late to change strategies (tenure review during the sixth year presumes a seven year tenure track, with the final year reserved for notice, if necessary). The case statement becomes a 'running contract,' constantly informing your colleagues of your progress, enabling ongoing feedback and giving you an indication of how to balance your activities and pace your rate of progress over the tenure track period.

What does the case statement contain? The first paragraph should be a concise description of your field of expertise within the broad discipline of architecture. This may be a lot more difficult than it sounds, and can require some introspection on what it is you actually do. Many have dabbled in different areas over a period of years, working with community groups in Mexican border towns, undertaking research on Chinese mosques and developing theoretical constructs applicable to the design studio. Getting to work on the case statement helps to bring together such activities (if possible) in a way that defines your niche in the department and the field. Alternatively, if started early enough in an academic career, it can highlight a scattergun approach to scholarship that may need some rethinking. Such evaluation is much better several years prior to tenure rather than during the final year.

Once the initial statement has been constructed—and it can be revised annually as you develop your career—the rest of the document becomes a statement of proof as to how you have met (or will meet, in the case of a statement developed early in the tenure track process) the criteria for excellence in the categories of teaching, research and service. It provides a collective summary of your achievements culled from the curriculum vitae and demonstrable proof of their quality—which is the difficult bit.

2d. Making the Grade

How do you judge quality in achieving tenurability? When have I done enough? How many articles do I need? Why does my left eyelid twitch uncontrollably?

These are the questions typically asked by junior faculty at the Junior Faculty Workshops, understandably searching for a clear, quantifiable standard to achieve. Unfortunately, it is rarely that easy and, in a field as diverse as architecture, probably not very desirable. Some disciplines, notably those in the natural sciences, have attempted to quantify quality—this is why they are doomed to wear pocket protectors for all eternity— and in doing so limit opportunities for their junior colleagues to excel. It is all very well specifying the only journals in the field worth publishing in, the only institutions worth getting grants from, but dreadfully limiting if, for example, the turnaround time for an article review is eighteen months (another year, if accepted, before publication) or a national granting agency decides to drastically cut back its funding in your field for an indefinite period.

Of course, individual campuses and departments will have their own means of assessing quality, but it is the experience of the authors that quality of an individual's work and contributions can be proved by a variety of indicators.

1. Peer Review

Obviously, the best way to judge an individual is on the opinions of his/her peers. If the respected names in your field approve your work, that is convincing evidence of ability. The best kind of peer review is the one that looks just at the work, not the individual, removing potential bias through friendship, previous contact, etc. Blind peer review of articles for scholarly journals, papers or abstracts for scholarly meetings, and nominations for awards carry great weight at tenure time and should be sought as a primary form of evidence.

However, do not focus *exclusively* on the best journals, the major granting institutions and international conferences. There are a myriad of other opportunities in lesser journals (professional journals, newspapers), other grant-offering organizations (your Graduate School, local in-

stitutions) or other conferences (regional ACSA) that provide outlets. They are not as prestigious, perhaps, but *collectively* a hierarchical range of peer-reviewed papers, articles, etc., nested together in a document, demonstrate a high level of activity and a *cumulative* quality of work.

2. Peer Approval

While blind peer review is undoubtedly the best form of recognition, do not eschew approbation for *yourself* rather than just your work. You may be invited to chair a seminar, to write an article, to give a lecture or attend a jury at another campus. In these cases, it is *you*, rather than an example of your work, that is being selected based, presumably, on your reputation. This is good news, as invitations, while possibly tainted by the suspicion of friendship or patronage, demonstrate your worth to the field. Again, you are looking to present a *pattern* of activity. One lecture or one workshop may not be convincing proof of quality, but if there is a cluster of such peer approval-related activities at a variety of venues, they can add a convincing dimension to the case statement.

3. Dissemination

As part of developing an argument that substantiates the excellence of an individual, the notion of worth must be included. All too often, discussions revolve around the number of articles or the quality of academic press while the real issue should be: how is this individual affecting and improving his or her field of expertize. In addition to peer opinions, the extent to which your work has been disseminated demonstrates your potential influence. Papers presented at national or international academic conferences can reach hundreds of colleagues and transfer knowledge, opinion or interpretation. Lectures at other institutions reach many students. Published work, of course, can reach even greater audiences, depending upon the circulation of a journal or the distribution of the proceedings of a conference.

Dissemination of knowledge need not be restricted to your peers. Articles published in professional magazines (*Progressive Architecture, Wisconsin Architect*, etc.) reach out to a whole other audience, as do presentations to AIA chapters or other professional meetings and conferences.

Illustrating your contact with the professional arm of architecture, in association with the academic one, can reveal a rich output of work to a variety of audiences. The public and allied fields should not be forgotten, and a useful record of all lectures, newspaper articles and presentations to civic groups, local or state governmental agencies and community associations should be kept.

4. Demonstrable Impact on the Field

While articles, grants, books and the like all attest to an individual's quality and are good indicators of success, give some thought to other, less conventional, proof of your impact on the discipline. Has the syllabus of one of your courses or one of your papers been used in some way in the curricula of other institutions? Have you been asked to consult or provide assistance on the development, say, of new state legislation or a policy paper by a local governmental official? Has a building you designed been used as a prototype for a new low-cost development in you city? In many ways, each quality person adds to the field of knowledge, changes attitudes or the way things are done and leaves a continuous mark on his or her field. ("It's A Wonderful Life" provides an extreme and rather bilious example of this concept.) Your job in pulling together the case statement is to clearly articulate your influence at a number of levels and provide convincing proof of your involvement.

Similarly, in planning an academic career, bearing this concept in mind can help a junior faculty member to prioritize in selecting the right balance of opportunities that will be presented to you during tenure track. Some tasks, be they written presentations or reports, consultations or design projects, may be very time consuming and yield little overall impact to the development of an academic profile. Others may be relatively easy and fast but have the potential of great impact on the field. Careful selection of directions and tasks can help in pulling together the best range of activities that serve both the interests of the individual and the field.

It must be stressed, however, that this four-part breakdown of indicators to demonstrate worth is a very personal one shared by the authors. Criteria for promotion vary considerably across a campus, let alone

across the country, and the criteria may be much more rigidly and narrowly defined in your school. *Don't make the mistake of following this advice without checking with your colleagues first.* However, if our model is not entirely appropriate to your situation, it can be useful at the very least in opening a dialogue with your colleagues and administration as to how it differs from their expectations, and in clarifying for you their specific expectations of your performance.

Questions Relative to Retention, Tenure and Promotion

Although such a complex matter as retention, tenure and promotion should not be over-simplified, it is often evident who will succeed or fail at an institution if basic matters are approached directly. Therefore, a series of questions follows using a loose interpretation of Bloom's taxonomy of educational objectives.

1. Knowledge
a. Does the individual exhibit a broad knowledge of the history, theory and methods of the discipline, even when the teaching area of primary responsibility is most specialized?
b. Does the individual exhibit the knowledge necessary to perform successfully in the context of the institution?

2. Comprehension
a. Does the individual exhibit the ability to explain clearly complex concepts in formal learning situations such as the classroom and in informal situations such as studio critiques?
b. Does the individual exhibit the understanding necessary to interpret and translate information into new forms of knowledge?

3. Application
a. Has the individual demonstrated the ability to apply knowledge through practice, research or creative activity?
b. Has the individual demonstrated the willingness to work in service to the university and to the community, utilizing special abilities unique to the creative mind?

4. Analysis
a. Has the individual demonstrated a commitment to inquiry?
b. Is the individual able to compare and assess alternate opinions and approaches in the creative process?

5. Synthesis
a. Has the individual been able to combine experiences and information into a personally significant opinion that may be shared and properly defended?
b. Has the individual been able to grow beyond the influence of others—beyond discipleship into professorship?

6. Evaluation
a. Is the individual able to conduct practice, research, creative activity and teaching in a reflective fashion?
b. Is the individual able to constructively accept the comments of students, faculty colleagues and professional peers?
c. Is the individual able to make constructive judgments?

In most simple terms, these questions ask: what does the individual know, how clearly can he or she articulate those ideas, what has been accomplished, is there a willingness to work with others and will he or she mature into a leader. This is what the retention, tenure and promotion process in a university is all about.

3. BALANCING TEACHING, RESEARCH AND SERVICE

3a. Making the Connection to Teaching

Perhaps the most important aspect of the reappointment, tenure and promotion process should be the results of efforts in the studio or classroom. The performance of an individual and the demonstrated learning outcomes build a case in favor or in opposition most convincingly. The results of teaching can provide the faculty member with student and peer assessments, as well as a body of student work and related course materials, such as outlines and handouts, which will demonstrate a pedagogical approach; such work complements research and creative activity. Therefore, the individual should carefully construct course outlines and course materials to properly reflect an attitude about teaching. Faculty should continually seek the connections between their own intentions and the products of academic coursework. In the most simple terms, it is reasonable to demonstrate personal opinions and attitudes both about teaching and the discipline of architecture through the work of students. However, some caution is necessary in this matter. The work of students cannot be construed so personally as to inhibit the necessary exploration and learning processes inherent in the work of a student.

There are several aspects of course materials that will be helpful in demonstrating the value of an individual in the reappointment, tenure and promotion process.

1. The value placed upon scholarship and inquiry.

Indicators of such activity include reaching across disciplinary lines, not only within allied disciplines, but across the university and into the profession and the community.

2. The value placed upon integrative strategies.

Indicators of such activity include reaching across disciplinary lines, not only within allied disciplines, but across the university and into the profession and the community.

3. The value placed upon action.

Indicators of such activity include those projects that cause students to apply concepts introduced in coursework.

4. The value placed upon diversity.

Indicators of such activity include the application of research methods, creativity, seeking broad knowledge in precedent and general encouragement for the development of opinions that may be clearly defended.

5. The value placed upon the learner.

Indicators of such activity include the ability of the instructor to adjust to varying situations and individual needs. This includes a willingness and an openness to student interaction.

Course materials that contain these elements will become valuable components of the Career Development Plan and useful in the preparation of the case statement. After all, even in the most research-oriented university, the individual who can demonstrate value in instruction is hopefully among the most viable candidates for success.

3b. Juggling the Big Three

One of the interesting challenges facing a junior faculty member is the relative emphasis he or she should place on teaching, research and service. It is fair to say that, on many campuses, research and scholarly activity are going to be the predominant criteria for gauging success, with teaching ranked second and service a distant last. This is not necessarily a fair ordering that serves the interests of the individual or the department and negates the opportunity to have a balance of great researchers, great teachers, etc., but in many instances it reflects reality and, as such, must be dealt with.

The preceding text has dealt at length with excellence in scholarly endeavors, but how best can a junior faculty member achieve the necessary accomplishments in research while becoming a valuable teacher—an activity that may have attracted them to academia in the first place? Essentially, a balance needs to be struck that enables the individual to do what she or he does best, but which ensures long term career development. There is a growing emphasis on quality in undergraduate teaching in the United States at present, but many campuses will not give tenure based solely on excellence in teaching. This is not to say that the teaching function can be abrogated; faculty who concentrate too heavily on their personal research to the detriment of teaching are likely to lose the support of their colleagues as their usefulness in the department wanes.

Consequently, a balance needs to be struck that ensures that the long-term developmental interests of the individual are met, that the needs of the department—particularly the students—are well served and that the prescribed criteria for tenure are being adhered to. This requires good planning, ongoing communication, negotiation and some ingenuity.

3c. Developing the Plan

A new faculty member, fresh to the profession, is likely to be pretty well swamped with teaching responsibilities in the first year, developing teaching skills, writing lectures and building a constituency among the students. This is wholly appropriate. There are six years ahead to achieve the necessary accomplishments for tenure, and trying to do everything in the first year is rarely successful. However, developing an overall plan for the tenure track period makes a lot of sense. All too often, an enthusiastic faculty member develops great new courses, throws him or herself at teaching and can then find three or four years have passed without a coherent academic agenda in mind.

Establishing a yearly plan is a useful exercise that works back from the tenure date and sets out personal goals that bring together teaching, research and service. Year one, for example, may be focused most on teaching, developing a new, graduate level course, picking up the load in the core studios and generally familiarizing oneself with the primary teaching role. The summer and subsequent year may add newer dimensions, planning to submit several abstracts or a grant proposal, entering a design competition, etc., and becoming more involved in University, professional or civic activities. And so on. Each year can build upon the last as a coherent package of activities that yields several benefits. Firstly, the plan provides a vehicle for discussion and negotiation with the departmental administration, helping to create a meeting of the minds as to matching individual and departmental needs, and helps to prevent unpleasant surprises or confrontations years later. A written plan, filed with the administration, can also be useful to ensure continuity of treatment if administrations change. Secondly, the plan can be evaluated each year to see if the direction, progress, annual goals and balance of teaching, research and service are still appropriate. Revision can then take place if necessary.

Thirdly, a workable plan can have the added benefit of trying to blend the activities of teaching, research and service into a coherent academic whole rather

than as three distinct activities. If one's teaching schedule can be developed to reflect research interests, if service activities can correspond to a general academic thrust, the combination of activities and achievements in the three areas will form a strong argument for quality where the whole exceeds the sum of the parts. This process can be advanced further through the concept of 'piggybacking.'

3d. Piggybacking

If a faculty member's teaching, research and service profiles can be developed coherently in a singular pattern, the indicators of success in each can be transferred between them. For example, student work from a course or studio can form the basis for an exhibition or a booklet. It can be submitted for awards (bringing reflected kudos to the faculty member and department), published in local newspapers or journals, and be the focus of an academic paper. Similarly, a service activities—working for an inner city community group—may generate small grants or local recognition and the results of the work could be expanded into a paper or article. Research findings can be folded back into the classroom in the form of coursework or be disseminated to the profession in the form of workshops, lectures or articles in professional journals.

In this way, even the lowly service component can be transformed into peer approval or peer reviewed vehicles that help to fulfill tenurability (See Appendix B).

This approach, which requires both flexibility and ingenuity, helps to elevate the important teaching and service functions of a faculty member by transforming the results of their work into more conventional means of enquiry. It enables an individual to concentrate on doing what they want to do, and probably do best, and yet still develop a coherent career profile with the criteria for continuation firmly in mind.

3e. Pitfalls in the Process

Tenure is a rigorous, nerve-wracking and occasionally arbitrary process of assessment, and we are all familiar with tales of failure. Several pitfalls can be identified which have helped to create the hazardous path to tenurability, and should be given careful consideration:

Teaching, Teaching, Teaching

The reason you came into academia was probably a predilection for teaching, possibly learned as a teaching assistant. This is highly creditable and great news for your students, who will benefit from your enthusiasm and commitment. You may volunteer (or be volunteered) for the 'grunt' courses, willingly develop a slew of new courses and spend every available hour in your studio. Your students will love you and your colleagues are happy that you are taking the brunt of teaching requirements.

However, be careful. The last thing the authors want to suggest is minimizing your teaching. Junior faculty are often the lifeblood of a department and bring freshness, new ideas and vigor to the classroom and studio. But the sobering truth remains that very few faculty ever receive tenure on teaching alone. Typically, good, solid teaching performance will be appreciated and rewarded but it needs to be backed up with a healthy scholarly profile during those first few years.

Does this, therefore, mean that a great research profile but rotten teaching performance will guarantee tenure? Probably not. Departments have to meet their teaching needs and will not appreciate poor or reluctant performance. It is likely that they will require at least adequate teaching abilities—not necessarily excellent—to continue.

As you plan your tenure track, work out and negotiate your teaching load, if possible. Sure, develop new courses that are within your sphere of interest, become a teaching backbone of the department, but keep your long-term development in perspective. No one is going to thank you for developing ten new courses five years from now. Of course, when you have tenure, a greater emphasis on teaching becomes much more feasible without the threat of ejection hanging over your head. Bear that comforting thought in mind.

Getting off the Track

Career planning is important because it provides the basis for deliberate choice. As opportunities become available, it is necessary to chose between them and select those that conform to your long-term goals. To jump at enticing activities without thought to their overall, collective value may be fun, but can lead to a rather incoherent tenure package down the line.

Strategies for Success

It should be stressed that planning should not be substituted for personal development goals. Don't take a direction or do a piece of work that takes you away from your chosen path. You'll hate doing it and probably do the work badly. The issue comes up most with professional practice—focused faculty who feel they must become researchers. They abandon their design ambitions and start turning themselves into theoreticians, number crunchers, etc., often without the training to do so. They are not happy people, and often not very successful either.

It is the authors' belief that enquiry through design is a perfectly legitimate means of achieving excellence in the field of architecture. However, it is a little more unconventional, and the onus is often on the individual to prove the comparative worth of their achievements to the more traditional vehicles. Some campuses allow for 'creative activity' as an equivalent to research and scholarship. This does not mean that conventional practice necessarily counts—six Burger Kings, three warehouses and an extension to your garage is not exactly cutting-edge stuff. It is up to the individual to demonstrate excellence through the usual channels—peer review, peer approval and dissemination. This can be achieved by winning competitions, national or state design awards, exhibitions of work and articles on your work, all demonstrating your quality and the approbation of your peers. Similarly, built work can become the focus of a scholarly paper at an ACSA meeting or an article in JAE, if they are used to substantiate and illustrate a particular line of scholarly enquiry.

In short, designers should follow their abilities and desires in pursuing excellence. They will benefit, as will their departments. To assume that a single model of a faculty member fits all circumstances is foolish, and a richness of contributions from faculty exploring different areas of design and research can only mean a stronger curriculum. However, faculty electing to take the design route must remain alert to the requirements of tenure and ensure their work conforms, or can be transformed, to the conventional mechanisms of proof necessary for tenure.

4. STRATEGIES FOR SUCCESS

Ultimately, the goal of any faculty member is to achieve excellence in his or her selected field. While the concept of excellence can be a little nebulous, the criteria are more specific and establish a framework of requirements through which the individual must pass. Here are a few guidelines to make the journey a more fruitful one.

4a. Finding a Mentor

The concept of mentoring is growing in our institutions. Some campuses have developed structured programs for junior faculty, while others rely on a less formal approach. Certainly, the advice and guidance (and protection) of a senior faculty member can be most helpful. They can steer you in the right direction and work collaboratively with you (one word of caution—make sure not *all* your work is with your mentor or your personal contribution to the work may be questioned).

If there is no structured mentoring program and none of your colleagues has taken on the role, don't be afraid to seek out appropriate help, either among your own colleagues, in another department or another campus. Chose carefully and approach the subject diplomatically. Maybe just asking for some general advice at first, rather than an all-or-nothing, *"Will you be my mentor?"* would be best, so that a mentor/mentee relationship grows gradually.

4b. Building a Network

While the concept of networking is one of the more tedious legacies of the 80's, it does in fact have enormous value to the junior faculty member striving to jumpstart an academic career. Developing a network of friends and contacts in your area of interest both in your department, university and in schools across the country can yield a multitude of benefits. These contacts may become co-researchers on jointly conceived projects. They may become sources of letters of recommendation for you or perhaps will invite you to give lectures or attend juries. The network can contain prominent figures in the field or junior faculty like yourself—collectively, the group enables you to talk about your work, to share opportunities or to seek help when appropriate.

In some fields, these networks are well established, while in others they may require some effort on your part. Attendance at appropriate meetings and

conferences is probably the most effective means of meeting like-minded individuals, although letters, phone calls and E-mail provide the means to keep in touch. Asking a colleague to read a draft of your paper, asking him or her for a copy of their latest article are all perfectly legitimate ways of priming a relationship at the outset, and many distinguished faculty are only too pleased to correspond with colleagues on other campuses. In some cases, the relationship can extend into a more defined mentoring process, but the network itself is an important component of academic career development.

4c. Pacing Yourself

One possible downfall of exploring the realities of tenure—such as reading this handbook—is an increased sense of panic in the face of the rigorous challenges ahead and too much focus on the tenure process instead of academic excellence. It is important to stress that early knowledge of the process and long-term planning should *minimize* the need to worry about the procedures and free up more focused time for teaching, research and service. In this way, there is no need to run at the process like a maniac and risk either burning out early or doing a little of everything poorly. Set your schedule (with full consultation, of course); remember there are six long years (tenure is not usually considered in the final, seventh year) and proceed calmly at a measured pace. And never look behind you (just kidding).

4d. Selling Yourself/Building Your Reputation

The faculty network can be extremely useful in the task of building a reputation and letting everyone know what you are doing, but don't be bashful about letting others closer to home know, too. In a busy, active department, it is fair to assume that your colleagues won't know everything you are engaged in, so be prepared to let them know—diplomatically, of course. Presenting your work in a faculty forum, exhibiting your (or your students') work in the building, sending them copies of articles for their information/review are all useful ways of demonstrating an active agenda. Regular meetings with your chair can also be helpful in keeping him or her abreast of your achievements.

Extending this strategy to colleagues beyond the department may also yield some results (the ACSA Newsletter, for example) although some may be uncomfortable with the notion of blowing their own trumpet. You should use this strategy, therefore, only to the degree to which you are comfortable with it.

4e. Don't Panic

Remember the National Endowment of the Arts proposal you spent the summer writing? The design competition you spent countless hours preparing? Both rejected—a complete waste of time, God, I'm a failure, where's the Mylanta, where's the brandy, where's my mommy?

Well, hold on, nothing is *ever* really wasted and the last thing you can afford is to panic or despair. Look at the work you've completed and see what can be salvaged. Can the proposal be revised and resubmitted next year? Can it be sent in a modified form to other agencies? Can it even form the genesis of an article or conference paper? Sure, nothing beats the buzz of a major grant, but the work can be transformed into alternative means of enquiry with maybe less clout but still a demonstrable impact.

Similarly, the competition entry. Can you submit copies for publication in an appropriate journal or exhibit them? Can they form the basis for a paper on design enquiry? Be creative in assessing your work and you will find that almost nothing is a complete waste of time.

4f. Keep Alert

There are countless opportunities available to academics through their departments, Universities, cities, professional or scholarly organizations or other institutions. Stay alert and open to them by reviewing *ACSA News*, *The Journal of Architectural Education*, etc., and look for creative ways to pursue your work by any means available to you. Sometimes, the obscure journal or conference in Bolivia can carry a mystique that more familiar vehicles lack.

4g. Start Early

In addition to long-term planning, start building the file for the tenure dossier as soon as possible. The construction of the tenure document is a time consuming and tedious affair, and if you leave everything to Year Six, you will spend many happy hours hunting for lost articles, calling the editors of defunct newsletters and photographing deteriorating buildings while the deadline rapidly approaches.

Set up a file, or a box, right away and start collecting *everything* that may ultimately be useful. That newspaper article on your studio work? Keep it. That letter of praise from the mayor? Put it in. Maybe you'll omit these from the

final document, but at least you'll have the option of choice, and remembering *everything* you've written, drawn, said or had said to or about you six years after the event is just about impossible.

Also, begin to qualify and define your work. If you co-author a paper or book, get a letter from the co-author specifying the extent of your contribution. If your work is selected in a competition, find out who the jurors were, how many entries were rejected and how and when the work will be disseminated and/or displayed. If you publish an article, call the editor and find out the circulation, rejection rate and names of editorial board members—all useful information which may be required in the final analysis.

Building the document from the first year is akin to preparing a student portfolio—the more work you do at the time, the less time you will have to spend at the end, and the less likely you are to lose or forget significant pieces of 'evidence' of your abilities/activities.

4h. Advice for When It Goes Wrong

During the course of a career in the university, it is inevitable that there will be a time when events will evolve to the disadvantage of a probationary faculty member. Such unfortunate circumstances may happen completely out of the control of all parties. Consider for a moment all that can go wrong in human relationships. Add to that the vagaries of fate, and mix in the probability for innocent mistakes and the occasional failure in spite of the best efforts and intentions. Given the reality of these occurrences, it would be naive to ignore the possibility of difficulty. Perhaps it is better to assume that everyone experiences a certain amount of failure and proceed to develop a strategy to learn from such situations and transform them into positive aspects of a case for tenure and advancement. Above all else, it is important to recognize difficulty when it arises. The tendency of the individual to pretend that problems either do not exist or will soon evaporate may be unfortunately optimistic in the case of faculty members under consideration for tenure, promotion, or reappointment. There are measures that can be taken when the appointment process is not progressing as it should.

How am I doing?

The best measure to follow is to develop an open and regular rapport with the leadership of the program and the senior members of the faculty.

The simple question, "How am I doing?", will give you an opportunity to solicit an informal assessment while letting senior colleagues know that you are interested in being successful.

It doesn't feel right.

Trust your instincts when the situation doesn't feel right. Assess such a situation carefully and honestly without searching for fault. The problem may be within yourself. Personality conflicts and mismatches with institutions are possible. Equally, the problem may lie outside of the individual with the misconception of colleagues. Many times the source of problems resides in the original conditions under which the appointment to the position was implemented. Frequently, recent appointees represent the new direction of a department without knowing that such identification may mean trouble with senior members of the old guard. When it doesn't feel right, the best course of action is to articulate what is causing the discomfort and to undertake steps within the career development plan that address the situation. A regular personal assessment will enhance the efforts of the individual to meet the demands of the faculty. The individual must address the difficulty in the earliest stages of its formation to properly adjust the contribution to the department and to alleviate the situation.

The rules are changing!

Perhaps the most common cause of failure is the changing expectation of the role of a junior faculty member. Junior faculty members are often drawn into the many tasks related to an academic appointment. It is not unusual to find the junior members of a department accepting varying teaching assignments, difficult committee work, and extensive student advising responsibilities. These tasks detract from the research, publication, and creative activities that are expected in tenure, reappointment, and promotion decisions. Perhaps the most important strategy for improving a situation which is evolving toward difficulty is to determine, as much as possible, the definition of the teaching and committee assignments related to the position. Given clear expectations, it is possible to work toward mutually agreed upon goals for improvement and the support required from the department for success. Documentation, such as a Distribution of Effort Agreement (see Appendix E) may be usefully employed here.

It's Tenure Time — Getting Ready

I have failed!

There is no doubt that failure will cross every path. Failure can appear in many forms: a lost competition, an unsuccessful grant application, the refusal of a proposal for publication, or poor teaching evaluations. When failure happens, it is important to remember that positive steps may be taken. Every university offers the opportunity to improve teaching, grant writing, and publication skills. Often the effort expended after failure demonstrates to senior colleagues the real value of a junior faculty member. Such activity can be recorded and noted as a direct positive response to failure. The learning curve from failure is very high. The other aspect of failure is that it may indicate that the context for the work of the individual is unsympathetic. Certain institutions expect greater productivity in the area of research, while others are primarily teaching institutions. An individual desiring a career devoted to research will not fit well in an institution with heavy teaching loads. Should this be the situation, it may be advantageous to search for another position. It is better to take the search for a new appointment in hand from the relative security of a tenure track position than to be obliged to seek alternative employment in a terminal year.

I haven't been given the opportunity to succeed!

The opportunity to succeed is implicit in every appointment. Opportunity must be seized, but it cannot be withheld. Should the individual believe that the circumstances involved in the reappointment, tenure, and promotion process have not been fair, every institution maintains procedures to insure prevention of any form of bias or unfair labor practices.

While failure can be a difficult experience for an individual within the academy, the causes for it may be derived from many sources. Every failure of the individual is also a failure of the institution. Appointments are made with great hopes for success. When success is elusive, it implies a misjudgement of the selection committee, a breakdown of department support for junior faculty, or the inability of the individual to match expectations raised during the appointment process. In any case, strategies must be derived as fresh starting points from the point of failure.

5. IT'S TENURE TIME—GETTING READY

Well, six long years have flitted by and, suddenly, it's tenure review time. If you've been working hard and planning intelligently, this shouldn't pose any major problems for you. However, putting together the documentation and working your way through all the procedures is a time-consuming and potentially hazardous occupation, so some useful attention is warranted.

Of course, the tenure process is likely to differ on each campus, and requirements very considerably. In some instances, the chair will exert an enormous influence on the outcome of each case. In others, departmental approbation will be critical, or a divisional committee (a faculty group drawn from similar professional disciplines) will present the major hurdle. Or maybe the Chancellor or Provost's word is everything. In any case, a clearly written statement supplemented with convincing evidence will be critical.

5a. Preparing the Document

* Check the requirements very carefully and discuss them with your colleagues. Do you prepare one big document/portfolio, or are smaller packages of information necessary as well for circulation to committee members? Look at examples of documentation by successful recent candidates from your department Working from yellowing tenure documentation from the Jurassic era when criteria may have been different can give you a false perspective on current requirements.

* Bear in mind that those reviewing your work will be busy. Make sure that the documentation is *extremely* clear and unambiguous and that the material is easily accessible and corresponds to the curriculum vitae. Unclear and confusing files tend to annoy people, suggesting you either didn't spend much time on preparation, aren't very professional or aren't overly concerned about wasting their valuable time. This does little to foster the reader's benevolence towards you. Make sure, therefore, that there are *no spelling errors*, that magazines/proceedings have your work clearly tabbed and that files full of material are clearly indexed and explained and referenced back to the curriculum vitae.

- Show the document to as many friends as possible for advice. If they are confused by an argument or by the inclusion of a particular item, heed their collective advice. Even ask someone outside your discipline to review your stuff. Presumably your colleagues will know what you are doing academically, but other reviewers—divisional committees, Vice Chancellor, etc.—may not, and need to be led carefully through the material.

- If you are particularly inept at this sort of thing, hire someone to help with the word processing or the document assembly. Don't risk messing up this vital process for the sake of a relatively few dollars.

- Don't be afraid to over-explain a particular project or achievement if you consider it important. Don't assume that reviewers will be able (or indeed willing) to try and interpret some particularly dense text or shuffle backwards through reams of material to find out what you're getting at. Making it really easy for the reviewer ultimately makes it easier for you.

5b. Making the Pitch

In addition to a strong, clear persuasive case statement, accompanied by an error-free curriculum vitae and well organized document, a personal presentation may be required, either to the faculty or a campus committee. This is good, as it enables you to extend your personality into the case and clear up any lingering ambiguities. However, experience has shown that the meeting also presents a golden opportunity to put your foot in your mouth. This is, after all, a very stressful time and candidates have been known to become aggressive, overly submissive or incoherent in the face of questioning. Here are a few hints to consider before any of the meetings you may have to endure.

- If you're a nervous type or famous for your self-destructive performances, hold a dry run the day before. Ask your most rigorous supporters to be the reviewers, give you hell, and ask you really challenging questions. You'll learn a lot from the experience on how to strategize your responses and the next day will be a lot easier.

- Prepare your comments clearly, don't just turn up and waffle. Use cue cards prepared in advance or even read out a prepared statement if you feel more comfortable. Use slides, visuals, etc., but practice integrating them into your presentation first. This is a crucial meeting (or series of meetings)—don't blow it by inadequate preparation.

- If it is permissible, take along A Champion. This is probably not necessary at the department level, but at campus wide meetings, the presence of one or two senior colleagues (or Hired Guns, if you like) can provide great moral support. They can give the departmental perspective, take the blame for any ambiguities in the document ("Sorry, we should have caught that before we brought him/her over.") and eulogize your achievements, thus saving you the embarrassment of blowing your own trumpet.

- If there is a delay between furnishing the document and presenting it to a committee, take along a supplemental sheet listing your latest accomplishments in teaching, research and service which are not included in your curriculum vitae. This allows you to alter the focus of the meeting at the start and can impress the reviewers by the continual thrust of your work. Remember to take enough copies for all the reviewers and yourself in case there are questions.

- Take nothing for granted. Before your document moves from the department to the next level, make sure all the articles, photographs, etc., have been returned to the right place in the next folder. Call and remind your accompanying colleagues of the time and place of the meeting the night before, just in case (Sound paranoid? One of the authors has vivid memories of making a frantic call to a senior colleague five minutes before the tenure meeting). Planning on showing slides? Fine—is there a plug point conveniently located, and a blank wall or screen? Can you achieve an adequate blackout? Best to check even the most mundane things beforehand so that they cannot become insurmountable obstacles.

6. IN CLOSING

The success or failure of a faculty member is a shared responsibility between the institution and the individual. Either can fail to make the relationship prosper, thereby causing the prospects for tenure to evaporate. The only scenario that will bring a successful conclusion to the process is if both parties understand their respective roles, fulfill their responsibilities and actively work to maintain an honest and open working relationship. There are many reasons why the relationship can fail besides a lack of performance by the tenure candidate. In some instances, it is a matter of the physical context of the school, in others there may be an honest disagreement among personalities. These instances are, for the most part, unavoidable. However, it is possible to isolate difficulties in most circumstances so that problem resolution can take place.

What is clear is that for the reappointment, tenure and promotion process to work, both the institution and the candidate must expend considerable energy. And yet, after all, there may be failure. The effort is worth it; the risk of failure is only a by-product of continuing or building program excellence.

Each institution formulates standards for reappointment, tenure and promotion. These standards will be affected by local conditions and expectations. A university seeking to gain prominence will expect faculty to aggressively pursue research and publication activities. Certain state institutions remain focused upon the primacy of the teaching mission, while institutions that wish to maintain recognized levels of national and international prominence will expect work from faculty that receives such recognition. Given this perspective, it is obvious that, in many cases, junior faculty will be held to a higher standard than the senior faculty. While such a situation may not be entirely fair, it is a reality where program maturation and improvement is a priority of the leadership.

Various means are employed in the development of reappointment, tenure and promotion documents. In certain instances, a point system or minimum standards for the number of published articles may be employed. While such an approach may satisfy concerns about productivity and exposure, it is certainly not a holistic decision-making practice. A well-documented case statement may refocus the discussion upon excellence and significance of contribution, which is where it should be anyway. Point systems over-simplify a decision that must be made holistically. Therefore, the junior faculty member may shape this discussion by constructing a holistic case statement.

Finally, it must be remembered that this effort represents the future of an academic program. The lives of students and the collegial relationship of faculty members is what is at stake in this process. It has been said that granting tenure only ensures that an individual will now not make enough money forever. Maybe not forever, but if tenure is granted in the late 30's to early 40's, as it is in many cases, it is a 25 - 30 year investment—an investment that both parties should take very seriously.

Appendix A

Elements of a Career Development Plan

by

Marvin J. Malecha, FAIA

Dean, College of Environmental Design

California State Polytechnic University, Pomona

College of Environmental Design
California State Polytechnic University, Pomona

Marvin J. Malecha, FAIA

ELEMENTS OF A CAREER DEVELOPMENT PLAN

Prologue

A career development program must remain the responsibility of the individual faculty member. A career development plan should not be construed as a bureaucratic exercise, rather it is a serious attempt to provide the faculty member with an opportunity to assert his or her own prerogatives in career planning. Further, it is an attempt to place emphasis upon reflective activity in the academy. It will serve as a guide for mentoring and a means to assess success.

1.0   Career Development Plan Perspective

The faculty member should construct a general career development plan relating creative activity and/or research to academic activity. This plan should be a comprehensive perspective of a life plan. In this fashion, a holistic understanding of the candidate's motivations and aspirations may be articulated.

The career development plan is the basis upon which a case statement for reappointment, tenure and promotion may be constructed.

2.0   Critical Self-Assessment: Building a Case Statement for Reappointment, Tenure and Promotion

.1   Demonstrating a Knowledge Base

   • The faculty member should document his/her own special area of experience.

   • The faculty member should document how his/her base of knowledge complements the department and the institution.

.2   Demonstrating Comprehension

   • The faculty member should document the ability to articulate complex concepts through teaching and writing.

   ▪ The faculty member should document attempts to explore new forms of knowledge.

.3   Demonstrating Application

   • Creative Activity, Practice and Research

      The faculty member should assess personal progress in the area of creative activity and/or research. In particular, it is necessary to understand the reflective aspects of such work. Through this work, a personal philosophy and area of strength should be evolving. This is the section where specific research, papers or creative activity should be cited.

   • Committee Assignments and Related Activity Within the University

      The faculty member should begin to chronicle the contributions made to the entire life of the institution.

   • Appointments and Activities Outside of the University

      The faculty member should chronicle contributions to important committees related to the discipline outside of the university. It is crucial that the faculty member assess

Public Service in Academia: Conflicts and Alternatives by

Bob Greenstreet,

Dean, School of Architecture & Urban Planning,

University of Wisconsin - Milwaukee

and

Carl Patton

President, Georgia State University

(paper presented at the Academic Chairperson Annual Conference,
Orlando, Florida 1989)

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the relationship to and the impact upon academic work. This section, as the creative activity and/or research section, requires a reflective component.

.4 Demonstrating Analysis

- The faculty member should document his/her own work and the work of students the ability to assess alternate opinions and approaches in the creative process.

.5 Demonstrating Synthesis

- The faculty member must document the ability to combine experiences and fundamental knowledge into a personally significant opinion which may be shared and defended.

.6 Evaluation

- Impact of Contribution

The faculty member should consider the impacts of his or her contributions upon the larger community of the discipline. Has the body of knowledge of the discipline been advanced? What impact has the work of the faculty member had upon his or her academic life as a result of these involvements?

- Student Evaluations and Teaching

The faculty member should construct a self-assessment of activity in the classroom. A critical assessment with specific reference to student evaluations is desirable.

- Faculty and Peer Evaluations

The faculty member should document attempts to respond constructively to the comments of faculty colleagues and peers.

3.0 Mentoring and Networking

The faculty member should seek out specific mentors from the within the faculty and external reviewers to act as advisors. Independent reviewers with recognized expertise are able to assess the progress of the individual. The faculty member should be entrusted with the task of seeking out mentors and maintaining a constructive relationship with them. There should be no less than three mentors and no less than one mentor from campus and at least one mentor from off campus.

The establishment of a personal network is a valuable resource for personal development. It is a device to obtain critical reflection upon the work of an individual and the means by which connections may be established to leaders in a specific area of interest. Networking enhances individual development.

Closing

Clearly throughout this document, the emphasis has been upon documenting behavior patterns and accomplishments to build a comprehensive case for reappointment, tenure and promotion. This is a process intended to empower the individual in the midst of the process rather than accepting a fundamental position of weakness.

It is important to remember that the process leading to reappointment, tenure and promotion begins the first day the individual is on campus.

Public Service in Academia: Conflicts and Alternatives

Traditionally, public service has been heralded as an integral part of the function of universities, particularly in state institutions which are supported by public funding. That the service function is important is beyond question, although certain inherent problems may mean its undertaking is little more than lip service in some institutions. This article looks at the problems and suggests an alternative, and potentially controversial, model which can expand and enrich the public service role in the universities.

Although service can be defined in a number of ways, it traditionally involves departments or university units offering their skills and knowledge in professional or community related projects and endeavors, usually on a local or regional scale. The importance of public service may be stressed institutionally at a number of levels. It may be incorporated into university mission statements, although it is likely to be most prominent at the individual faculty level, where the tripartite goals of teaching, research and public service are usually codified as the determinants of academic success. Contract renewal and ultimately tenure depend upon adequate performance in these three areas, which are used as criteria to judge individual achievement at the departmental, divisional and presidential levels. In addition, teaching, research and service accomplishments may be used to determine promotion beyond tenure, to establish pay increases in the annual construction of the academic budget, and to determine worth in the selection of new personnel.

However, having established the stated importance of service in the institution in tandem with teaching and research, their relative worth must be questioned. It is fair to say that, in many institutions, research (and publication) has risen to greater prominence than even teaching as a determinant of academic performance, while service falls into a distant third place. It is probable, for example, that a poor teacher or scholar with an excellent service record will have difficulty surviving in a major university, while an excellent scholar with no service activity has a much better chance of survival.

The importance of undertaking public service projects is therefore likely to be qualified by the perceived worth of doing such work and will be further stymied by the time, energy and resources available to both institutions and individuals. In both cases, only a certain amount of effort can be expounded on any particular project, a factor exacerbated by financial exigencies experienced by many universities and by tough promotion standards which cause faculty to make careful choices in the ways they build their curriculum vitas. In this light, public service can become viewed as either an unnecessary appendage to the other, more relevant, criteria or as a drain on resources, an unattractive choice for faculty or an unaffordable luxury for administrators, no matter how keenly either group may wish to pursue the valuable and necessary goals of public service.

How therefore can service be redefined to reestablish it as an important part of the universities' mission without causing such problems? This article proposes a model for service which offers a different view of its

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function in academia, one which introduces a value concept into its definition and which integrates it firmly with the other prime criteria of teaching and research. The approach calls for an expansion of the public service role, but attempts to make it a more attractive and, ultimately, productive endeavor both individually and institutionally. It is based on the system in place in the School of Architecture and Urban Planning at the University of Wisconsin—Milwaukee, although it has its roots in a number of other institutions. At first, it may appear pushy and entrepreneurial, an approach which even seems to go against the notion of public service. It is maintained that, if undertaken skillfully and thoughtfully, the public service mission of each institution and, ultimately, each faculty member can be expanded with obvious benefits to the recipients, while at the same time ensuring appropriate rewards to those involved.

The model attempts to create a holistic approach to service, teaching and research, introducing a 'value' concept to each project or task and necessitating an evaluation of its worth, either to the community, to the state, to the profession, to the institution or to the faculty. Some projects, for example, should be undertaken almost automatically if sufficient institutional resources are available. Service on task forces, preparation of designs or reports, consultations to community groups may all be ways to carry out the service mission by helping deserving groups who have few alternatives but to seek free assistance.

Beyond these functions, institutions should be more selective. When approached by corporations, city departments, private schools—in short, organizations with financial capability looking for some useful ideas or

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assistance, is it possible, does it violate a basic principle of public service to ask (albeit quietly) "What's in it for us?"

What's in it can include a wide range of things that, in addition to successfully undertaking the task, can have benefit to the institution and the individual, ranging from financial improvement to scholarly enrichment. In the first case, is it incongruous or even possible to link financial gain with what is usually conceived of as a charitable act? That will depend upon the skill and willingness of a party to pay, but more specifically, upon the skill of the faculty member or administrator to negotiate a fair arrangement. Payment may be generated in the form of fixed price contracts which could provide summer pay or release time for faculty and students. It could be quite modest and be framed in the form of competition prizes for student projects (such as a design contest to create a new office space or logo for a local group) or publicity costs to produce posters, exhibitions or printed booklets to display the completed work. Such products ensure maximum publicity for the institution's involvement and can become useful tools in the expansion of further service activity and in developing 'political' influence. This can take the form of generating credibility within the university where it is important for departments and colleges to impress upon their Deans and Vice Chancellors respectively the quality of their work, bringing attention to their public service activities in a tangible way. At a higher level, it is important to positively impress such organizations as professional institutes, accrediting agencies, city governments, university system administrations and state legislatures which may wield influence or decision-making power over the home institution. In summary, this model of service works on the premise that

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while the act of doing may be laudable, the expenditure of precious resources—time, energy and funds—is not fully maximized unless that effort is properly communicated to the parties likely to be affected or impressed by it.

Of course, beyond the harsh realities of finance and influence lie the day-to-day realities of academic achievement for the individual faculty member. As previously stated, the esteem in which public service is held in most institutions makes the expenditure of effort in this direction a potentially dangerous one. This is where the notion of 'piggybacking' comes in.

If projects are critically evaluated when they arise, the concept of 'value'—in this case value to the individual—can be determined, and an appropriate strategy for completion established. For example, can the project be expanded into a proposal of interest to a local, state or national funding agency? The benefits in terms of buyout, project assistants, publication and travel costs are well known, and the kudos of receiving say, a National Endowment for the Arts grant, is considerable. Can the work when completed form the basis of a scholarly paper, article or book chapter or be worked into an exhibition for display? Can the work be submitted for a service award or similar recognition? Beyond the actual undertaking of a service project lie innumerable chances to convert the results into more conventional academic achievements, and while this may be old news to experienced faculty, those new to the profession may miss useful opportunities to enhance their credentials.

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Perhaps the notion of public service can even be introduced at the teaching level, giving students the chance to work on real projects with active client groups instead of dealing solely with textbook cases and in-class simulations. Again, serious questions should be asked before the work is accepted. Does the project satisfy not only the needs of the project but the pedagogical requirements of the course? What kinds of benefits beyond the experience—prizes, project assistantships, travel—should the student reasonably expect? Can the results of the student work be published or evaluated? Can the results even be implemented, giving terrific real world experience to the students and high visibility to the institution.

If this model of public service is considered an appropriate one—and it may not fit within the structure and mission of some universities or colleges—how best can it be introduced or expanded within the institution? Although it may be handled individually by faculty, the model will be most effective if organized collectively at the department or unit level. It requires administrators to be able to negotiate effectively and diplomatically with likely 'client' groups without offending or pressuring them. It requires effectively advising the faculty, particularly junior faculty, of the potential advantages of 'piggybacking,' taking on the public service role but simultaneously satisfying the rigorous requirements of teaching and research. Above all, it requires a balanced view of public service projects and tasks, a collective assessment of the departmental output with regard to service and the overall benefits, both institutional and individual, that can be expected. If public service is viewed in this way, it becomes a productive and worthwhile opportunity rather than an unnecessary and undervalued drain on resources. It becomes more closely integrated with

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teaching and research and loses its negative charity-like status. As such, its role can be expanded significantly to the positive benefit of both institution and society, enabling us to fulfill one of the stated missions of universities more effectively.

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The Association of Collegiate Schools of Architecture

The Association of Collegiate Schools of Architecture

Appendix C

Reappointment, Tenure and Promotion Criteria

and

Candidate Review

by

Marvin Malecha,

Dean of the College of Environmental Design,

California State Polytechnic Institute,

Pomona

RTP CRITERIA AND CANDIDATE REVIEW
and Post Tenure Review

Review Criteria for the Dean of the College of Environmental Design in the Reappointment, Tenure and Promotion process for faculty in the Departments of Architecture, Environmental Studies, Landscape Architecture and Urban and Regional Planning.

Prologue:

The leadership of the Dean of the College is vital to the common interests of the students and to the overall progress of the College toward the future. This leadership responsibility extends beyond management responsibility toward curricular and personnel issues. Decisions regarding faculty appointments are the most important and most difficult in academic administration. Clearly, these decisions are made easier by excellence in the search and initial appointment of faculty. This document defines the role of the Dean in the Reappointment Promotion and Tenure process for faculty within the College of Environmental Design. (Refer to Appendix 16, Section 305.201, *University Manual*)

1.0   Criteria Review

1.1   Department Criteria and Process

1.1.1   The Dean of the College is responsible for the review of Departmental Reappointment, Tenure and Promotion criteria for two specific reasons: to ensure conformance to University policy and to nurture significant departmental differences which may be reflected in each Department's document. When this annual review is completed, the Dean will forward a specific recommendation to approve or reject the Department Reappointment, Tenure and Promotion document.

1.1.2   In the case of candidate review utilizing perspectives stated in the following Section 3.0, the Dean will assess whether the individual has met specific Department criteria approved by the University Provost. This assessment shall be specific and shall be independent of previous assessments made by the Department or College committee. The Dean will forward a specific recommendation to approve or deny the candidate application to the University Provost.

1.2   University Criteria and Process

1.2.1   The Dean must understand and be able to apply specific University Reappointment, Tenure and Promotion criteria in order to ensure that the candidate meets minimum University expectations. The Dean will forward specific comments to the Provost regarding the specific applicability of University requirements to the faculty of the College of Environmental Design. These comments shall be made in consultation with College and Department Reappointment, Tenure and Promotion Committees.

1.2.2   In the case of candidate review, the Dean will assess whether the individual has met the specific criteria which have been formulated and approved by the University community. This assessment shall be specific and shall be independent of previous assessments made by the Department or College committee. The Dean will forward a specific recommendation to approve or deny the candidate application to the University Provost and the University Reappointment, Tenure and Promotion Committee.

1.3 Dean's Judgement

1.3.1 The Dean shall assess the appropriateness both of specific criteria and the application of specific criteria in the evaluation of faculty performance regarding Reappointment, Tenure and Promotion issues. Should the Dean choose to waive specific Department criteria, written cause must be stated within the Dean's comments section of the Reappointment, Tenure and Promotion application document. This judgement shall remain a specific privilege and responsibility of the Dean.

1.4 Related Policies

These criteria have been developed to augment the policies and procedures for academic personnel actions in the collective bargaining agreement between the California Faculty Association (CFA) and the California State Universities Board of Trustees in Article 11 (Personnel Files), Article 12 (Appointment), Article 13 (Probation and Tenure), Article 14 (Promotion) and Article 15 (Evaluation); and the University Manual in Sections 305 and 306, and Appendices 10, 16 and 27; and the California State Polytechnic University, Pomona, Affirmative Action Guide.

1.4.1 Early Actions

All early actions require demonstration by the candidate of activities and credentials exceptionally beyond the stated criteria for advancement and tenure.

1.4.2 Demonstrable Evidence

It is the responsibility of the candidate to provide demonstrable evidence to support any requested RTP action.

2.0 Resource Review

2.1 Department Resource Review

Before deciding on the Reappointment, Tenure or Promotion of a faculty member, the Dean shall meet with the Chair of the Department in question to review the specific faculty needs of the Department. This review will provide the Dean with the necessary information to assess the personnel action.

2.2 Department Faculty Consultation

The Dean may hold a consultation with the tenured faculty of a Department to request specific opinions regarding a Reappointment, Tenure or Promotion action. The purpose of this consultation is to provide the Dean with additional information regarding the appropriateness of that action.

2.3 Department and College RTP Committee Findings

The recommendations of the Department and College RTP Committees must be complete. This includes a validation of the materials and credentials submitted by the candidate, a review of the candidate's Personnel Action File (PAF) and all previous RTP actions, a direct analysis of the candidate's performance and credentials against the department RTP document and a reasoned summary of the committee action.

2.4 Dean's Assessment

Based upon the Annual Report of Professional and Scholarly Activities, the Dean shall specifically note the role of the candidate in College affairs and assess the contribution of that candidate in curricular, teaching, administrative or reflective activities. This shall appear in the Dean's comments section of the Reappointment, Tenure and Promotion application document.

3.0 Dean's Perspective

The Dean shall perform the specific responsibilities for the review of Departmental documents and faculty candidate applications with three major perspectives. Specifically, the perspectives shall be utilized while applying Departmental criteria.

3.1 Dedication to the Instruction and Nurturing of the Human Mind

Teaching is a complex combination of instruction, skills development, advising and counseling. Ultimately, the individual who dedicates a life to the nurturing of the human mind must be rewarded for that contribution. Teaching in formal and informal situations in the classroom, during office hours or outside of the University must remain the primary measure of the faculty. This shall comprise the first perspective of the Dean.

3.2 Dedication to Reflective Practice and Inquiry

In a professional College, the faculty must continue to make substantive contributions to the body of knowledge of the discipline. This contribution, through design practice, professional activity, research and the development and articulation of theory, is an essential measure of a vital faculty. This shall comprise the second perspective of the Dean.

3.3 Dedication to the Establishment of a Learning Environment

The faculty perform an important role in the establishment of a learning environment through their willingness to take action in the form of committee work, self motivated projects for the Department or College, project and fund development and the support of the College activities that encourage the growth of the College community and ensure its continuation. It is anticipated that the involvement in such activities will be proportionate to the time of service and the level of appointment. This shall comprise the third perspective of the Dean.

4.0 Candidate and Document Review

4.1 College and Department Review Session

4.1.1 The Dean shall review the Department Reappointment, Tenure and Promotion criteria annually. Concerns expressed by the Dean regarding the Departmental document must be specified and distributed to the committee in writing with ample time for incorporation into the document prior to its timely submission to the Provost.

4.1.2 The Dean shall meet confidentially with the College and Department Reappointment, Tenure and Promotion Committees, as well as the appropriate Department Chair, to inform them of specific recommendations made regarding candidate applications.

4.2 The Dean shall hold a private, confidential meeting with each candidate within the College to inform the candidate of specific recommendations made in response to the application.

5.0 Post Tenure Review

The tenured members of the faculty must be measured by the most rigorous standards of performance. The leadership of the College is dependent upon their complete involvement. The Dean must ensure the regular evaluation of each tenured member to comply with the University policies and to promote continued excellence.

6.0 Faculty Consultation

This document has been reviewed by the tenured and tenure track faculty of the College of Environmental Design. Signatures reflecting this consultation are on file at the College of Environmental Design Office.

Appendix D

Two Case Statements prepared by Professor Hubbard and Wishne to support their candidacy for tenure and promotion. Both were successful and illustrate two different yet equally workable approaches to developing an academic profile.

7.0 Dean's Commitment

It is the primary responsibility of the Dean of the College to ensure the reappointment, tenure and promotion of outstanding faculty and to see to the continued excellence of the teaching, research and creative projects and participation in the life of the academic community through ongoing evaluation procedures. The following signature by the Dean of the College is an affirmation of this commitment.

Signature on file.   January 23, 1990

Marvin J. Malecha, AIA   Date

STATEMENT FOR APPLICATION FOR
PROMOTION TO ASSOCIATE PROFESSOR

NANCY J. HUBBARD, PH.D.

SUMMARY OF ACADEMIC AND PROFESSIONAL CAREER
November, 1992

INTRODUCTION

The following documentation presents my academic and professional activities and qualifications in support of my request for promotion to the rank of Associate Professor with tenure. It is organized according to the criteria provided by the Division of Professions in the categories of 1) research, scholarship, and professional activities, 2) teaching, and 3) service.

I believe that the evidence provided for consideration will demonstrate that I have successfully met the requirements and criteria established for promotion to Associate Professor with tenure in the Department of Architecture, School of Architecture & Urban Planning, University of Wisconsin-Milwaukee.

My research and professional activities, teaching, and service have been guided by my firm belief in the necessity of understanding and maintaining the historic fabric of the built environment. Historic structures and sites enrich our lives in providing continuity with the past, and enrich our physical surroundings through the variety of built forms. Knowledge of history — from styles and materials to the origins of building types or the legal structure of architectural practice — is an essential guide to decision-making for the future.

RESEARCH AND PROFESSIONAL ACTIVITIES

The integrating feature of my career has been my work in historic preservation and research. In response to student interest in historic preservation and based on my own professional work in preservation, I successfully initiated, developed, and implemented a Preservation Certificate Program in the Department of Architecture. This program is the first specialized area of study established at the M.Arch. level in the Department of Architecture, and is one of only fourteen preservation programs in schools of architecture in this country. The success of this program is evidenced by the numerous requests from communities and preservation groups in Wisconsin for assistance from faculty and students in preparing historic structures reports, feasibility studies, measured drawings, and design options. The architectural profession will be enriched by the specialized knowledge developed by students in the preservation certificate program.

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I have also undertaken academic research in architectural history. In 1990, I received the Morris Fromkin Grant and Lectureship, a highly competitive and prestigious award, for my research on the poorhouse in Wisconsin. My background in architectural practice and my education as a historian has resulted in several projects dealing with the history of architectural practice. In 1990, I presented a paper to the Society of Architectural Historians on the origins of the first licensing statute in the United States. I have been invited to develop this topic further as one of three papers on the history of practice to be presented to the 1993 annual meeting of the Association of Collegiate Schools of Architecture. In addition, I am continuing research undertaken in Paris, while directing the Department of Architecture's foreign studies program during Spring, 1989, on the development of the architectural profession in 17th-century France.

I have developed a good reputation in the state of Wisconsin for my preservation work and related service activities. I have received two major grants from the State Historical Society of Wisconsin totaling almost $60,000 for two innovative projects, one being a statewide survey of all recreation and conservation facilities, and the other a prototype computer program co-sponsored by the National Park Service. Other preservation-related research grants received in the last 18 months have dealt with Civilian Conservation Corps sites administered by the United States Forest Service, and with one of the oldest branches of the National Home for Disabled Volunteer Soldiers, now the Milwaukee medical center of the Department of Veterans Affairs. My research for the Veterans Affairs Medical Center is being used to support the nomination of the facility as a National Historic Landmark, the highest level of recognition which a building or site may receive in the United States.

My interest in the preservation of historic buildings is related to my more academic research in architectural history. As a result of my work on the restoration of a historic water tower in Western Springs, Illinois, I undertook an interpretative historical study of water towers in the Midwest. Based on presentations and articles on water towers, I have developed a reputation as a "water tower expert" and have been contacted many times by community leaders interested in preserving or demolishing such structures. I prepared a historic structures report on a water tower in Ransom, Illinois, provided strategies on saving the water tower in Sun Prairie, Wisconsin, and am currently working on a second restoration of the Western Springs water tower, damaged by fire in 1991.

TEACHING

My goal in teaching is the development on the students' part of an appreciation of the richness of meaning and form in the built environment of the past. I am particularly interested in encouraging students to look beyond the major personalities and key monuments of architecture to the needs met through architectural form and the reasons for change in design theories.

2

In teaching the introductory course on historic preservation (ARCH 381) in the Preservation Certificate Program, I have attempted to integrate my research and professional work in the material presented to my students. I have been able to involve students, as active participants, in actual projects, giving them a level of practical experience while benefitting preservation in Wisconsin by providing assistance to groups committed to preserving meaningful buildings in their communities. These projects have enabled students to integrate lecture courses and the studio through practical design work.

In the core lecture course I regularly teach (ARCH 300), I have also attempted to integrate lectures with the studio through projects which require reading of primary material, writing of analyzes, and graphic examination of designs. My pedagogical approach to such integration was selected for presentation at the 9th Annual Conference on the Beginning Design Student and received a very favorable response from the audience of faculty of other architecture and design schools.

I am becoming a well-known authority on the law and practice of architecture, and am currently under contract to write a book on the subject of professional liability for architects, co-authored by Robert Greenstreet. I have regularly taught the course on law and professional practice for architects (ARCH 581), bringing to it an awareness of legal and practical issues. I believe my ability to draw examples from actual practice situations has enriched and enlivened the course. Based on my experience in practice and on the issues taught in this course, I have undertaken several research projects which have resulted in three articles in Progressive Architecture, co-authored with Robert Greenstreet. I have presented papers to regional and national meetings of the Association of Collegiate Schools of Architecture on the pedagogy of teaching law and practice in the architectural curriculum, and on the meaning of professionalism in architectural practice.

SERVICE

My goals have been to become an active member of my academic and professional communities, and to promote the value of historic preservation to the general public. I have served in a variety of capacities on ten academic committees and task forces, the boards of directors of two major preservation organizations, and on the board of one of the sixteen pilot programs in heritage tourism in the United States. I was appointed to the Wisconsin Historic Preservation Review Board by Governor Tommy Thompson, and served for three years. I have been active in both the Chicago and Wisconsin chapters of the American Institute of Architects, having served as chair of the Historic Resources Committee for the Chicago Chapter.

I feel the greatest service a teacher may perform is to take the classroom beyond the University to the citizens of the State of Wisconsin. In that context, I have given numerous lectures to general audiences and to preservation groups on architecture and preservation.

3

S T A T E M E N T
In Support of Candidacy For Promotion and Tenure

Brian Wishne

INTRODUCTION

Architecture is unique in being both science and art; a vehicle for the assimilation of practical knowledge and for the profound questioning of social conditions. Improving our physical environment is a goal of all architectural educators. I believe that one way of doing so is by preparing professionally skilled architects who approach their discipline with the critical insight, inclusiveness and responsibility of a liberally-educated mind. I view my role in the Department of Architecture as providing an important linkage between the verbal discourses of history, theory and criticism and the formal ones of the design studio. Such linkage is embodied in my creative and scholarly work. I contribute intellectual rigor to the studio core of the curriculum; and conversely add the particular insight of an architectural designer to the teaching of courses in history and theory.

My work is unified in its exploration of the relationship between theory and design. Whether one considers the papers I have written, or the buildings and projects I have helped to realize, three themes emerge: typology as design method; formal analysis as pedagogy; and representation in architecture as the focus of theoretical inquiry. These have guided my studies and teaching throughout my career. The ability to " read" architecture astutely enables me to derive theoretical speculation directly from the design process. Design as a form of critical inquiry distinguishes my work whether in the classroom and studio, in scholarship and creative activity, or in service to professional and public communities.

SCHOLARLY AND CREATIVE ACTIVITY

Inquiry Through Design:

I have worked as a designer on over twenty professional building projects. As an employee of a renowned architect, I have been involved in projects that have been reviewed and exhibited worldwide [3.22.18-3.22.20]*. Other projects, under more modest circumstances, have been honored with seven professional awards for design excellence [3.21.1-3.21.7]. Architectural design and academic scholarship have been sympathetic forms of inquiry in my professional life. Each continues to inform the other. Formal papers presented at various academic conferences have often been the result of issues being explored in building projects, whenever the pragmatic constraints of practice have allowed. Conversely, issues of a purely academic interest derived from teaching or research have been tested in built work and projects. The three projects discussed below have followed a thematic study of theories of representation in architecture. Respectively, they apply speculation on formal typology, on perception and abstraction, and on theories of "essential being" derived from phenomenology, to the solution of an architectural problem.

(*Bracketed numbers refer to items in the Curriculum Vita and supporting materials)

Brian Wishne

CONCLUSION

I hold a unique position in the Department of Architecture, combining the skills and methodology of the historian with the practical aspects of the practice of architecture, particularly in historic preservation and legal issues of the design and construction process. I have demonstrated through research and professional activities, teaching, and service how critical, historic inquiry is a component of the theoretical and practical nature of architecture. I have effectively combined the three areas of consideration for promotion to associate professor in the Department of Architecture.

The Hudson Residence: Typology and Design Method

The project for the Hudson Residence [3.17.2, 3.17.3, 3.18.2, 3.21.5, 3.21.6, 3.22.14 and Abbreviated Portfolio Document A]* is an architectural study based on my interest in typology as a method for design. The architectural work took place at a time in which I was studying similar issues of typology as the pedagogical basis for a series of seminars conducted at the University of Cincinnati [4.A.3.5]. The Hudson House remodeling is based on an understanding of the formal basis of the "villa type", developed during the Renaissance as a composition of two juxtaposed sets of rooms, or "layers" in plan. Each layer is oriented to and dependent upon external conditions: formal entry, on the one hand, and landscape garden on the other. The Hudson Residence utilizes that formal configuration to take advantage of its siting over a wooded river valley and to accommodate the programmatic need for a large open public room.

The study of housing typology, has led to a recent seminar given at the University of Wisconsin-Milwaukee entitled "Historic Concepts in Architecture" [4.A.3.2] in which design is presented through case studies of house types. It has also informed a number of academic presentations [3.13.14, 3.13.15, and 3.13.17], and is the pedagogical basis of the article "Architecture and Landscape: The Boerner Botanical Gardens Competition" [3.3.4]. Housing typology, in the form of research into the social history of apartment building design, has been an important aspect of my ongoing work on the architecture of Herbert Tullgren [3.3.2 and 3.12.1] and will be the subject of an upcoming presentation to the Society of Architectural Historians [3.3.1].

Rags-2-Riches Clothing Store: Literal Verses Abstract Representation

The Rags-2-Riches Store [3.22.11 and Abbreviated Portfolio Document B] is an inquiry into the nature of abstract representation in architecture. The design of the store has to do with simulating an urban street experience. However, rather than make literal images of an historic street, as was the preconception, the design abstracts the idea of street, square and monument. Abstraction has two consequences for design. First, it involves people cognitively by inviting interpretation. Secondly, it places the emphasis, for both the architect and the people who experience it, on composition, material and perception.

In addition to winning three design awards [3.21.2, 3.21.3 and 3.21.4] and exposure through publication and exhibition [317.4, 3.17.5 and 3.18.1], the speculation on an urban typology of streets, squares, monuments and fabric raised in Rags-2-Riches were later more fully developed in the paper "Memory and the Importance of Monuments" [3.13.11]. Most significant are two recent papers on postmodern aesthetics, "Collage Structure" [3.12.2] and "Intentional Paradox: An Examination of the Boundary between Architecture and Sculpture" [3.3.3] which continue the speculation on spatial ideas first studied with the design of Rags-2-Riches.

The Limited Triplex Project: Representation and Phenomenology

Writings in the philosophy of phenomenology have been borrowed by architectural theorists, critics and designers in recent years to support concerns about site specificity, place-making and psychoanalytic interpretations of spatial and temporal relationships. Heidegger's identification of "Being" with "Dwelling" is intriguing as a challenge to representation in architecture. Latent in the obtuse language of phenomenology is the idea that architecture need not represent anything. Rather, it gains significance by enabling an essential activity to occur. In a sense, phenomenology leads meaning in architecture away from formal abstraction toward a grounding in the very literal qualities interpreted from the site and program.

The Limited Triplex Store Project [3.22.7 and Abbreviated Portfolio Document E] is in part a testing ground for these complex ideas. For better or worse, the essential nature of a retailer like The Limited is merchandising, not "Architecture". As a result, the emphasis of the store design is no longer on scenography, but on what we named a "display machine" [see Abbreviated Portfolio Document E]. The very specific interpretation of the character of a retail environment is thus given an equally specific architectonic embodiment. The idea of the "display machine" challenges representation in architecture altogether, whether literal or abstract, replacing it with an immediate reference to the essential condition derived from the purpose of the environment.

The approach emphasizes interpretive problem definition rather than formulaic problem solving. Though it is by no means a replacement for knowledge of formal compositional methods, it is valuable in certain educational contexts, especially for advanced students attempting to hone critical analytic and interpretive skills at the conceptual stage of design work. It was with this purpose in mind that I prepared a studio course rather ambitiously subtitled "Phenomenology" [4.A.3.4]. Reflection on the experience of that studio led to the paper "Interpretation Theory and the 'Opening' of the Design Studio" [3.13.10 and]. Design implications of similar philosophical concerns were studied in the paper entitled "The Architecture of Connection: Spatial Formation in the Public Architecture of Louis I. Kahn" [3.13.6].

Inquiry Through Writing

In the last ten years both architectural discourse and design have undergone a radical transformation. Like many disciplines, architecture has imported new ideas and explanatory methods from philosophy, literary criticism, psychoanalysis and other sources of contemporary theory. The result is a profound questioning of the assumptions that underlay architectural thinking in modern history. This has forced equally profound changes in the teaching of design. Many of the assumptions now being challenged as institutionally-constructed -- value in formal order and compositional logic, architecture as a determinant of behavior and a source of social reform, and even the ability of architecture to "mean" anything at all -- have been the foundations of purpose, judgement and evaluation in architectural education. The scholarly criticism I have written and presented has sought to understand these ideas and to examine their implications for design.

Two formal papers, "Intentional Paradox: An Examination of the Boundary Between Architecture and Sculpture" [3.3.3] and "Collage Structure" [3.12.2] exemplify the inquiry into postmodern aesthetics. The first posits the fact of deliberate paradox in certain architecture as a challenge to philosophical positivism. First presented at a joint conference of The Association of Collegiate Schools of Architecture (ACSA) and The Wexner Center for the Visual Arts at The Ohio State University, it was later selected by peer review as one of best of the papers given that year and therefore included at the Annual Meeting of the ACSA.

"Collage Structure" examines the implications of compositional strategies of fragmentation, discontinuous reference and instability in recent highly-promoted architecture. The paper proposes an important distinction between the experience of what I call "collage structure" and that of more normative "narrative structure" in architecture. Collage is non-narrative in that it intentionally denies sequence, hierarchy and reference in favor of juxtaposition, assemblage and interpretation. A goal of my work in these papers is to help students to read recent trends more deeply than the quick consumption of styles in architecture often allows.

Funded Research

Throughout 1992 I was engaged in an externally-funded research project culminating in a public exhibition on the architecture of Herbert W. Tullgren in Milwaukee [3.11.1]. The exhibition ran for five weeks last fall at the Charles Allis Art Museum. In addition to the preparation of drawings and exhibit documents, the research has resulted in two papers [3.3.1 and 3.3.2], a minor publication in the form of an exhibit brochure I designed and co-authored [3.12.1], two public lectures [3.13.3 and 3.13.4] along with a number of private group presentations at the museum, and finally, a narrated videotape that accompanied the exhibition [3.15.1] and for which I have received purchase requests.

My interest in Tullgren began as an aesthetic appreciation of certain buildings he designed in Milwaukee. It quickly became a much more significant project as research revealed Tullgren's struggle throughout the Depression years to design and market prototypical duplex apartment buildings. His purpose was to help ease the shortage in affordable housing through the coupling of architectural talent and practical economics. Thus, the project gained historical significance. It also provided an opportunity to continue my research into the social basis of formal typologies, in this case the modern apartment building. Tullgren's architecture should be understood in relation to an earlier pragmatic and typically American housing reform tradition, and to the unfortunate disappearance of such a tradition in the face of similarly difficult conditions today.

Formal Analysis.

The ability to translate ideas into architectonic principles for coherent design strategies is central to my studio instruction. The ability is dependent upon one's experience with the possibilities of formal manipulations in design, or one might say, with one's skill in "reading formal languages". Formal analysis is the pedagogical basis of all of my writings and all of my studio instruction. An illustration of the process and critical use of formal analysis is embodied the paper entitled "The Architecture of Connection: The Formation of Public Spaces as Embodiment of the 'Order of Institutions' in the Architecture of Louis I. Kahn" [3.13.6]. The argument is that certain themes in the writings of Louis Kahn can be reconciled with certain formal devices characteristic of his architecture. The paper was presented to an international audience of scholars and professional architects meeting in Philadelphia at the opening of the retrospective exhibition honoring Kahn's contribution to architecture.

TEACHING

As mentioned above I have developed a group of courses over my academic career that are directly related to ongoing interests in certain design projects. The seminars in Renaissance theory, and Neoclassicism at The University of Cincinnati were centered on questions of typology and formal language in architectural design. More recently the course entitled Historical Methods in Architecture [4.A.3.2] is based on typological case studies that inform a social history of architecture.

I have been fortunate to have been assigned to teach two courses that have allowed me to continue the process of compiling and clarifying my research into relationships between theory and design: Architecture 166-330: Design Theory [4.A.3.1] and Architecture 331: Design Methods (my work in the latter builds upon that of Professor Don Hanlon). Both

have enjoyed high enrollment demand and positive student evaluations. The content and method of Design Theory was recently presented at The First Conference on Issues in Undergraduate Education in workshop on "Critical and Creative Thinking in Education" [3.13.2]. An important goal of the course to increase undergraduate students' awareness of values, assumptions and political conditions that underlie their design ideas and those that surround them.

I have always used the classroom and lecture hall as a forum both for dissemination to students and colleagues of my scholarly and creative work, and for their always helpful and painfully honest feedback. I have given four presentations as part of the school's invited guest lecture series since joining the faculty [3.13.3, 3.13.5, 3.13.8 and 3.13.13], in addition to using examples of my own design work in a variety of classroom settings. Furthermore, a recent built project, The Butler Company [3.22.5] has won a construction industry award [3.21.1] and is used as a case study by Professor Gil Snyder in Architecture 516: Advanced Building Construction.

It should be stated that I view my teaching contribution as ultimately centered in the design studio. My work is characterized by a depth of insight into the conceptual structure of design work, and an equal ability to help students to translate initial concepts into developed architectural form. I am a resource for both historical and contemporary architectural knowledge and for criticism in many disciplines. My experience enables me to direct students in the exigencies and opportunities of construction technology, elementary structural design, code requirements and other important aspects of professional practice. The consistent quality of my students' design work, the high number of requests I receive to serve on Master's Thesis Committees [4.A.4], the awards that students under my full or partial direction have won [4.A.5], and the invitations to participate as a guest juror in design reviews [4.C.1 and 4.C.3] are all indicative of the value of my contribution to design instruction in the Department of Architecture.

SERVICE

Service to the Public and Professional Community

My design abilities and critical insight serve the architectural profession and the public. I have been invited to judge professional work in design awards programs sponsored by the American Institute of Architects [5.4.5 and 5.5.6]. This is a prestigious and serious responsibility as such awards have a direct influence on the marketing ability of architectural firms. I have also served as a judge in a professional design competition for a public facility in Milwaukee County [5.7.6 and 3.3.4].

I have given public lectures on architectural topics of interest. In 1990 I was invited, with Professor Linda Krause, to speak on postmodern architecture as part of the Artists' Forum Series sponsored by the Milwaukee Art Museum [5.7.4]. I have also contributed expertise to urban planning commissions and other agencies with direct responsibility for the public environment [5.6.4].

Recently, the exhibition project I directed on the Architecture of Herbert Tullgren was funded under the major grant program of the Wisconsin Humanities Committee with the stated purpose of reaching a wide public audience [3.11.1, 3.12.1, 3.13.4, 3.14.1, and 3.15.1]. More than five hundred people were in attendance over the one month of the

Appendix E

University of Kentucky

Distribution of Effort Agreement

exhibit and related activities, which is high relative to similar events sponsored by the Wisconsin Humanities Committee. In addition to the scholarly interests associated with the project, it achieved the goal of broadening Milwaukee's architectural heritage and has thereby been a service to the community.

Volunteered Design Services for Community Groups.

Throughout my career I have tried to utilize my design expertise to help community groups and others with projects of a particular social or political interest. Among them is a design project that helped to save a neighborhood theater from demolition [3.22.9 and Abbreviated Portfolio Document D]; consulting work on building projects for Ancona Montessori School in Chicago [5.7.3]; and architectural consultation to Metroworks, a community development association, for conversion of underutilized factory space into a "small business incubator" on Milwaukee's northwest side [5.7.5].

I am currently engaged in the design of a covered market for the Wisconsin Farmers Foundation [5.7.1 and 3.11.2]. The project unites the need of independent small farmers for urban markets with the revitalization concerns of an inner city neighborhood. Through a process of blind peer review the proposal received the School of Architecture and Urban Planning Service Scholar Award for 1992 [3.21.8]. The benefits to the community include a new market in an area that does not have easy access to food shopping, especially healthful food at low cost, the establishment of a potential center for community information and organization, the possibility of skilled job training and employment, and new business on a street in need of capital investment.

CONCLUSION

I believe that I provide a unique linkage between design and theory within the Department of Architecture. I receive particular satisfaction from the many graduate students who have expressed their appreciation of the intellectual rigor and breadth of knowledge that I have contributed to both the Graduate and Undergraduate Programs in Architecture. Though my work is as yet of modest scale, I have tried to hold my scholarship and creative activities to high academic standards.

I was appointed as an Assistant Professor in the fall of 1988 because of my reputation for excellence in studio instruction and for the combination of professional and scholarly knowledge I would bring to the curriculum. During my previous appointment at the University of Cincinnati I was fortunate to have opportunities to explore ideas in architectural practice. I sought appointment to the faculty of the University of Wisconsin-Milwaukee precisely because it offered the curricular emphasis and the reputation of support for faculty development that could further my academic interests. I desired a new opportunity to produce a body of scholarship that would augment my design experience, satisfy my intellectual curiosity and hopefully be of benefit to students, colleagues and the architectural community. I believe I have traveled a significant distance toward that goal. I look forward to the evaluation of my distinguished colleagues and to a productive future.

UNIVERSITY OF KENTUCKY
DISTRIBUTION OF EFFORT AGREEMENT

Assignment Period From _____ To _____

Payroll Distribution (To Be Completed By Department)

Social Security No	Last Name	FI	MI
College		Department	
HRS Cov. No.	Tdar/Rank		Contract Basis

Account Number Sponsored	Total % of Effort	% Effort Charged	Cost Sharing Account Number Only	% Effort Cost Sharing
Non-Sponsored		(Primary NFC Funding Account)		
Total	100 %			

SECTION 1. INSTRUCTION
Non-Sponsored Instruction
A. General Academic Instruction .... % Effort
  1. Courses
    100-299
    300-499
    500-599
    600-799
    800-899
  2. Supervision of Masters Theses
  3. Supervision of Doctoral Dissertations
  4. Supervision of Postdoctoral Students
B. Community (Continuing) Education
C. Preparatory Courses (000-099)
D. Course and Curriculum Development
E. Student Guidance-Advising Activities
    Lower Division
    Upper Division
    Graduate Level
    Professional
Non-Sponsored Instruction – Sub total

Sponsored Instruction
Acct. No. _____
Total Instruction

SECTION II. RESEARCH .... % Effort
Individual, Non-Sponsored Departmental
  Research
Organized Research
  Acct. No. _____
  Acct. No. _____
  Acct. No. _____
Organized Research – Sub-total
Total Research

SECTION III. PUBLIC SERVICE .... % Effort
Non-Sponsored
Sponsored
  Acct. No. _____
Total Public Service

SECTION IV. PERSONAL PROFESSIONAL DEVELOPMENT
Sabbatical Leave
Other Non-Sponsored
Total Personal Professional Development

SECTION V. ADMINISTRATION .... % Effort
A. Sector, College and Departmental Administration
  Types of Activities (List Committees, Departmental Assignments, etc.)
  _____
  _____
  _____
  _____

B. University-wide Administration
  Types of Activities (List Committees, Special Assignments, etc.)
  _____
  _____

Total Administration

SECTION VI. PATIENT CARE .... % Effort
Non-Sponsored

The signatures certify to an understanding that this agreement represents the employment of activities for the entire academic year, and that should a significant change occur during the academic year, the appropriate change shall be reported.

Signature (Faculty Member)	Signature (Department Chairperson)	Signature (Dean)
Date	Date	Date

White-Faculty; Canary-Controller; Blue-Department; Green-College; Canary-Chancellor; Pink-Planning & Budget; Goldenrod-Work Copy

DUE BACK TO EBB APRIL 24, 1992

COLLEGE OF ARCHITECTURE
DISTRIBUTION OF EFFORT (DOE) AGREEMENT
WORKSHEET FOR FALL 1992 AND SPRING 1993

NAME _____

Social Security No: _____

% Effort Fall 1992 and Spring 1993   % Earned

SECTION I: INSTRUCTION

A. General Academic Instruction:

Studio Course	25%	ARC
Lecture Course	15%	ARC
Seminar Course	10%	ARC
		Total

Thesis Advisor 4%/student

Total

SECTION II: RESEARCH

Variable Credit

SECTION III: PUBLIC SERVICE

Variable Credit

SECTION IV: PROFESSIONAL DEVELOPMENT

Leave for Academic Year 100%
Leave for One Semester 50%

Total

SECTION V: ADMINISTRATION

Associate Dean/Assistant Deans
Variable Credit

Service Administration
Variable Credit

Total

UNIVERSITY OF KENTUCKY - Distribution of Effort Agreement, Areas of Activity - Definitions

SECTION I. Instruction

Non-Sponsored Instruction

General Academic Instruction. This activity center includes those instructional activities that may be applicable toward a post-secondary degree or certificate in an academic program or field of study. Included are instructional activities offered for credit through a regular educational unit.

1. *Courses.* This subsection consists of effort devoted to all courses (except those covered in subsections 2 and 3, below), including course preparation.
2. *Supervision of Masters Theses.* This subsection is limited to the supervision of masters students working on masters theses, including those masters students registered in course number 768. Time devoted to both major students and students outside the department should be included. Thesis committee work should be reported in Section V under University-wide Administration.
3. *Supervision of Doctoral Dissertations.* This subsection is limited to the supervision of doctoral students working on dissertations. (All such students are required to register in course number 769.) Time devoted to both major students and students outside the department should be included. Dissertation committee work should be reported in Section V under University-wide Administration.
4. *Supervision of Post-doctoral Students.* This subsection is limited to the supervision of post-doctoral scholars in the educational unit.

Community (Continuing) Education. This activity center includes those instructional activities that are non-credit and are therefore not applicable toward a post-secondary degree or certificate. These instructional activities may be offered either on or off campus and may be taken by either matriculating students or members of the general community. Any work that produces credit toward the high school diploma should be included in the section on Preparatory Courses. This section includes those activities resulting in the award of Institutional or Individual Continuing Education Units (CEUs).

Preparatory Courses. This activity center includes those instructional activities intended to give students the basic knowledge and skills they need in preparation for formal academic course work leading to a post-secondary degree or certificate. Also included in this activity center are those instructional activities that must be taken prior to beginning work on a post-secondary degree or certificate in order to fulfill a standard requirement (such as High school completion or equivalent). These activities, supplemental to the normal academic program, generally are termed remedial, developmental or special education services.

Course and Curriculum Development. This activity center includes planning and development activities established to improve, add to, or modify the instructional offerings of the academic programs, e.g., the preparation of computer-assisted instruction and self-instruction courses. The course and curriculum development should be intended for use in future course offerings. Any improvements made to the current course offerings should be directly to the instructional program.

E. *Student Guidance-Advising Activities.* This activity center includes time spent in providing informal guidance and advising to students currently enrolled in courses which a faculty member is teaching, students who are assigned as academic advisees, and to students involved in academic non-classroom activities which a faculty member is required to supervise.
1. *Lower Division.* Guidance and advising of freshmen and sophomore level students.
2. *Upper Division.* Guidance and advising of junior and senior level students.
3. *Graduate.* Guidance and advising of graduate level students, excluding any activity relating to students working on masters theses or doctoral dissertations.
4. *Professional.* Guidance and advising of students enrolled in the J.D., and Pharm. D. programs in the Colleges of Law and Pharmacy.

Sponsored Instruction

This activity center includes all separately budgeted and accounted for instructional activities as previously defined in Section I. Include instructional activities sponsored by federal and non-federal agencies and organizations. Include effort on a discrete separately budgeted instructional project even if such effort is not charged to the project, e.g., mandatory, committed or voluntary cost sharing and matching. (NOTE: To be considered as part of a discrete separately budgeted sponsored project, the activity should actually be a part of the effort originally contemplated when the project was described or proposed for funding, or activity undertaken when the project was initiated but found to be necessary in the course of the project in order to meet project goals. Effort related in a general way to the project, but not an integral part of it and not charged to it or any other separately budgeted project, should be included under one of the instructional functions.)

SECTION II. Research

Individual Non-Sponsored Departmental Research

All research and development activities which are not Organized Research and consequently are not separately budgeted and accounted for, included are research funded from regular departmental accounts, individual scholarships, performances and exhibitions and other forms of research creativity.

Organized Research

This activity center includes all separately budgeted and accounted for research and development activities. Include research and development activities sponsored by federal and non-federal agencies and organizations, as well as activities separately budgeted by the institution through an internal allocation of institutional funds, e.g., Tobacco and Health Research projects, Research Committee Awards, and Biomedical Science Support Grant Awards. (Organized research will be included in the 3, 4 and 5 ledgers in the new accounting system.)

Include activities involved in the training of individuals in research technique (commonly called research training), where such activities utilize the same facilities as other research and development activities, and where such activities are not included in the research function. These research activities generally have a stated goal or purpose, and specific time periods as a result of a contract or specific institutional allocation of funds. Include effort on a discrete separately budgeted research project even if such effort is not charged to the project, e.g., mandatory, committed or voluntary cost sharing and matching.

SECTION III. Public Service

Non-Sponsored

This activity center includes activities established and maintained by the institution to provide services to the general community or special sectors within the community due to the professional expertise of the faculty. The primary intent of these programs is to provide services beneficial to groups and individuals outside of the institution. These programs may be of incidental benefit to the faculty, staff, or students, but the primary benefits should accrue to the general public. Instructional and research activities should be excluded from this activity center. Activities in this section do not result in the awarding of CEUs.

Sponsored

This activity center includes all sponsored public service projects. Include effort on a discrete separately budgeted project even if such effort is not charged to the project, e.g., mandatory, committed or voluntary cost sharing and matching.

SECTION IV. Administration

A. *Sector, College and Departmental Administration.*
This activity center includes those activities providing administrative support and management direction to the instruction, research and public service programs. Most activities of college deans, departmental chairmen, and professional or professional staff having administrative assignments are included within this category. Briefly describe the activity, e.g., general departmental administration, vice-chairman for research, director of graduate studies, search committees, etc.

B. *University-Wide Administration.*
Include activities such as university committee assignments, theses and dissertation committee work, special assignments benefiting broad university objectives, activities of the faculty senate, etc.

SECTION VI. Patient Care

This section consists of all patient care activities included other than those activities related to the supervision of residents or clinical interns and instruction and research activities distributed in Sections I and II.

College of Architecture
Academic Personnel Report
Calendar Year

Name _____

Return to Ebb by Nov. 16.

I. General Instruction (#)

	Credit Hours	Contact Hours Per Week			Number of Students
Course		Lecture	Studio	Lab	
Spring					
Summer					
Fall					

Remarks: Indicate new or experimental courses, reading courses, independent work.

Design Thesis Advising: List student and thesis topic.

List juries in which you have participated, with studio instructors and dates.

1.   10.
2.   11.
3.   12.
4.   13.
5.   14.
6.   15.
7.   16.
8.   17.
9.   18.

College of Architecture
Academic Personnel Report
Calendar Year

II. Research and Scholarship, Exhibition, Publication, Building (#)

For the calendar year 1990 provide a brief statement of research, scholarship and creative endeavor. Include mention of any research contract or grants in force. Indicate the results of this research, scholarship and creative endeavor. Documentation would be helpful in most instances and is essential in many.

A. Material published or accepted for publication: abstracts,

B. Reviews of proposals and unpublished books and papers; indicate approximate number and the organizations to which you provide this service.

C. Lectures, workshops, sessions chaired, etc.

D. Exhibitions, design studies, buildings, completed works.

E. Consulting activities.

College of Architecture
Academic Personnel Report
Calendar Year

III. Public Service (%)

A. Non-University committee and public service activities which can be construed to relate to your work in the College or your position in the University.

B. Activities which benefit your profession, or you as a member of your profession (professional and technical society membership, offices and activities.) Indicate whether local, national or international.

IV. Professional Development (%)

College of Architecture
Academic Personnel Report
Calendar Year

V. Administration (%)

A. College and departmental administration.

B. University-wide administration.

Changing Lanes: The Administrator's Role in Faculty Retirement

Retirement is handled in different ways on every campus and in every school or Department. Sometimes, a culture of mutual support and collegiality has structurally provided for certain benefits to kick in just prior to faculty retirement. In other cases, the issue is not dealt with at all, or has a very negative context; I was always struck by the tale of a colleague who was being interviewed at a school which shall remain nameless where his attention was less focused on the encouraging words of the chairperson than on the chart pinned on the wall behind him which graphically and prominently depicted the retirement dates of all the senior faculty. He did not take the job.

On my own campus, where I currently serve as Interim Dean of the School of the Arts, I was horrified to find that the vast majority of retirees, many of them prominent artists and performers, were living very close to campus but had no contact with the institution which they had served for many decades. Such situations suggest that there is no value to the retired person. This is shortsighted for two reasons.

Firstly, if faculty are regarded as an investment in a program's future, it is illogical to sever ties with that investment at some arbitrary date and assume they have nothing left to offer. Years of experience and wisdom can, if both sides are mutually agreeable, be channeled into a different role — selective teaching, mentoring, etc. — thus continuing the relationship and the long-term investment of an individual in a school. Of course, the individual may prefer a complete break from the institution, or it may be completely inappropriate to continue the relationship a day longer, but the concept of a continuing relationship should, as an initial strategy, at least be considered. Can a valued graduate faculty member moving out of state still continue on thesis committees by e-mail? Can that disruptive jerk who wrecks every faculty meeting but who is beloved by students for his/her expertise in a narrow field be hired back to teach that course once a year (maybe in the summer!)?

Secondly, an abrupt approach to retirement signals to faculty a total change in life which can provide a major obstacle to dealing with the psychological challenge of moving into a retirement mode. Some may resist retirement long past the time they want to or should continue just out of fear of the major shift to a non-working role. Others may resist out of sheer bloody-mindedness in the face of pressure from colleagues. And, with tenure providing long-term job security, enhanced in some states by age discrimination laws that invalidate any proscribed retirement age, they could be around for a long time to come.

While there is no universal answer for dealing with retirement for each individual faculty member, there are some strategies that can be employed by administrators to ease the stress of preparing for retirement and making the process a natural continuation of an academic career. As part of a faculty development strategy, the process of retirement should be discussed openly and constructively with all senior faculty years before the actual date so that it becomes a smooth transition to another level of service — the relationship can be continued, but at a different frequency. In the best of worlds, the

retiree can continue to do what he/she likes best without the hassles of committee meetings, unwanted courses or the pressure to produce, and still feel part of the institution. The department in turn benefits by maintaining the best attributes of that individual, including their experience and reputation, while usually having enough funding to hire a new faculty member — essentially getting two faculty for the price of one.

One of the difficulties of dealing with this subject is, of course, how to start the conversation. If you start a dialogue with a senior colleague with the words 'so when are you going to retire,' the rest of the conversation may not go terribly well. The subject needs to be raised in a more general context of individual faculty development and how the administrator/department can help the process. In some instances, it may be possible to enhance a faculty member's pay (be careful here in making a new 'policy' for all faculty, which may be inappropriate), either in base or by the provision of guaranteed summer teaching, to increase retirement benefits. In others, the provision of release time in the final year of full-time employment may be useful in allowing a person to retool or complete a piece of research to bring closure to an important project or just to start 'stepping down' to a lighter load. In all cases, a supportive attitude towards emeritus status seems to be important to many prospective retirees and should be considered as a serious component of any retirement package.

With regard to an ongoing relationship between the institution and the individual, it may not always be mutually desirable or relevant, but should be explored creatively, as has been previously discussed, and worked out in relationship to prevailing laws — some states do not allow the negotiation of ongoing contracts until after the retirement date, which does not help the creation of retirement packages or planning the curriculum. In all cases though, the administrators should take a leading, positive role in the planning process, demystifying the notion of retirement and, through regular creative, individual discussions, work out a process that meets, as closely as possible, the needs of the department and the individual to the mutual benefit of both.

Ofcwrks/Greenstreet/Changing Lanes

Students: where the action is .....

Students represent the heart and soul of each school and efforts should be made to ensure a rewarding experience for each individual beyond the simple confines of the curriculum. Administrators should try to work with student groups (AIA-S, M=magazines, bookstore, volunteers, organizational support) and help them undertake their activities. This may need financial support or political muscle. Student extracurricular activities should never be undervalued. A healthy school should a plethora of social and educational activities (field trips, lecture and film series, visits to practice, mentoring programs, exhibitions, competitions). Such activities create a great sense of spirit within each program, and actually enhance the academic environment. If students want to hang around it is both educational and enjoyable. Administrators should be mindful of the fragility of volunteerism. It is rare in a busy group and needs to be nurtured, fostered, protected, and rewarded. It also needs to be maintained beyond a single academic year, to prevent a highly successful AIAS chapter, for example, from disappearing when key characters graduate. Volunteers are, as we know, thin on the ground and every effort should be made to connect the student groups with other volunteer organizations (local AIA, alumni associations, university student union, etc.) They may be able share ideas, co-sponsor events, pool limited funds or just work together on activities that benefit all in the architectural community.
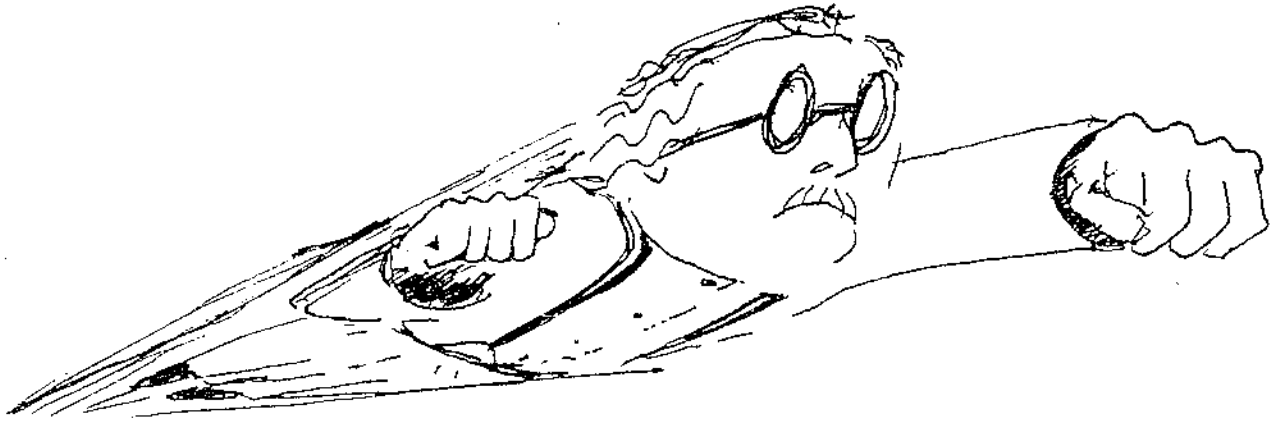Bob Greenstreet

Workshop Agenda:
Beginning where the Students are
Understanding the generating impulses and origins
Communication, Communication. Communication
Getting Things Going
Activities
Organizations
Keeping Things from Falling Apart
Understanding shared Organizational Responsibilities
Shared Governance
Honor Code

Relevant Reading:
Sharing Governance with Students
Marvin J. Malecha
Campus Life
Ernest Boyer
Honor Code
University of Wisconsin-Milwaukee
Right of Inquiry
NC State College of Design

How the Students
see the
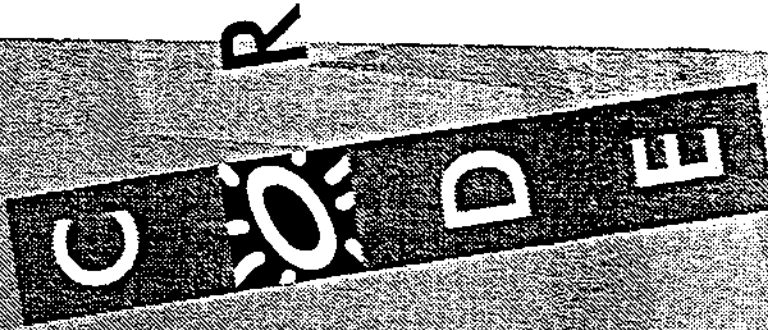Dean !

Until the first disappointment.

Sharing Governance With Students

Marvin J. Malecha

Among the accomplishments of the Bauhaus cited by Walter Gropius is the democratization of the students. This process of giving an active voice to the students in the leadership and direction of the school has become fully matured in the late twentieth century. While in the time of the Bauhaus this idea was more aspiration than reality, today the leadership of academic institutions must be prepared to fairly incorporate the concerns of students. Students have become actively concerned with issues that until recently were considered the province of faculty and senior administration. The individual as a consumer of curriculum and customer of the institution has become a common attitude. This is equally true in institutions where considerable recruitment and high tuition have prompted high expectations, and in institutions supported by an increasingly restless taxpayer. The challenge of the academic leader is to nurture a vigorous student community. This is an uncertain responsibility since the students are at times well organized and involved and at others lethargic and self-involved. Yet, the student voice must always be welcome in every aspect of the life of a design community

C R
CODE
H O R I Z O N

The School of Architecture
and Urban Planning

2000/2001

It's Time to Play
Spot That Phone!

Seven emergency-only phones (little red boxes) are strategically placed throughout the AUP building. To aid you in locating these phones, they are placed at an accessible height, visibly protrude into the hallway, and have cheery red *Emergency Phone* signs above each box. **Please note their locations and how to activate them.**

Spray Alert

Please remember that the use of aerosol sprays such as paint, fixatives, or even underarm deodorant is not allowed anywhere in the building. In addition to the considerable environmental problem associated with these materials, they mar the quality of the floors and are incredibly difficult to remove. In fact, it is about as socially responsible as tagging, twice as unhealthy, and is almost always not the best way to accomplish the job.

Speak with Uriel Cohen, Associate Dean or Jim Wasley, Associate Professor, to learn about better alternatives to sprays for achieving specific results.

FOR ASSISTANCE

Architecture and Urban Planning	Room	Phone
Robert Greenstreet, Dean	241	229-4016
Janet Tibbells, Secretary to the Dean	240	229-4016
Uriel Cohen, Associate Dean	257	229-4181
Michael Utzinger, Chair, DAR	266	229-5897
Secretary, DAR	260	229-4586
Mark Keane, Grievance Officer, DAR	295	229-4086
Linda Krause, Grievance Officer, DAR	283	229-4584
Nancy Frank, Chair/Grievance Officer, DUP	264	229-5372
Bonnie Harris, Secretary, DUP	260	229-5563
Student Advising Office	225	229-4015

UWM Campus

	Room	Phone
Office of Student Life	MEL 118	229-4632
University Legal Clinic	Union E343	229-4140
Office of Diversity/Compliance	CHA 380	229-5923

When using a regular on-campus phone to make a local, off-campus call, always dial 9 before the number. For example, to reach the emergency 911 service, dial:

9-911

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Sexual Conduct Policies

UWM prohibits sexual harassment, sexual assault and other sex offenses (forcible or non-forcible) on university property or in conjunction with university activities. For more details about each of the following policies and available victim assistance programs and procedures, consult *Student 1998-2000 Handbook*, p.33 and *UWM Student Conduct Regulations and Disciplinary Procedures*. Both are available in the first floor lobby, Mellencamp Hall.

What is Sexual Harassment?

"Sexual harassment is any sexual attention that is unwanted

Unwelcome sexual advances;

Requests for sexual favors; or

Other verbal or physical conduct of a sexual nature when:

- Submission to such conduct is made explicitly or implicitly a term or condition of an individual's employment or status in a course, program, or activity;

- Submission to or rejection of such conduct is used as a basis for an employment or education decision;

- Such conduct has the purpose or effect of substantially interfering with an individual's work or educational performance, or of creating an intimidating, hostile, or offensive environment for work or learning."

What is the Consensual Relationships Policy?

"Inasmuch as UWM is committed to fostering the development of a professionally ethical environment free of discriminatory attitudes, consenting amorous or sexual relationships between instructor and student or supervisor and employee are unacceptable." The individual with the power is held accountable.

If a problem exists, seek assistance from:

In SARUP, your instructor/employer, department chair, grievance officer, or dean.

On campus, Office of Diversity/Compliance (229-5923)

Dear Students, Faculty and Staff,

An important responsibility of a professional academic institution such as SARUP is to provide its members with the ethical foundation for appropriate behavior in the architecture and urban planning professions. Occasional lapses in behavior or exhibitions of poor judgment suggest a need for a yearly confirmation of basic principles of professionalism.

This document, which is given to all students, faculty and staff, is not a set of rules; rather, it contains guidelines derived from the expressed needs of our students, staff and faculty, who have collectively outlined proper standards of professional behavior. Situations are described that reveal the ethical dilemmas presented in following a Code of Conduct. Please note that punitive procedures are limited to those outlined in University regulations. In addition, this booklet lists related services and materials available to you on the UWM Campus and in SARUP.

As you read the Code, many of its provisions are self-evident; others may come as a surprise or might seem irrelevant. However, the contents of the Code reflect the concerns and needs of all School members and should be respected. I am confident that the desire on the part of all School members to practice mutual respect for one another will result in a better academic experience for everyone. The Code is reviewed each year for appropriateness and effectiveness in serving the needs of the SARUP community.

Welcome to the new academic year. I hope this Code will help you reflect on the needs of others and reassure you that your personal right to an environment appropriate to the pursuit of scholarly excellence is being respected.

Robert C. Greenstreet, Dean
School of Architecture & Urban Planning

SARUP HONOR CODE

In 1994, after a careful review of professional codes of conduct, other university honor codes, and the regulations of the UW System and UW-Milwaukee Campus, a committee of staff, students and faculty wrote the Code. Before the Code was finalized, it was reviewed at an all-school meeting. The Code and this pamphlet are updated each year.

Please read the contents carefully bearing in mind the importance of respecting the rights of *others* as you pursue your studies. Similarly, be aware of *your* rights as an individual and do not be afraid to voice your concerns when those rights are challenged. This section contains the Honor Code and provides examples of situations and expected behaviors. The second section summarizes the Official Rules and Regulations of the UW System, which have the effect of law and often include specific punishments.

The Code represents the collective desires of both students and faculty to create a safe and productive workplace. You also can help others do the same by doing the following:

- **School based complaints:** Speak with someone in authority who will be a helpful and confidential recipient of your complaints/concerns such as your instructor, teaching assistant, adviser, Department Grievance Officer or Chair, or the Dean.

- **Further inquiry:** Contact Office of Student Life (229-4632) or the UWM Office of Diversity/Compliance (229-5923).

- Be sure to read the booklets: *UWM Student Handbook;* and *Student Conduct Regulations and Disciplinary Procedures* located in the first floor lobby of Mellencamp.

- Bring any suggestions and comments about the Code or the process to the Dean, your student association leadership, or Susan Weistrop (229-6165).

Some actions and consequences included in these rules are:

"The crime convictions which result in denial of campus presence for two years now include lewd and lascivious behavior along with an extensive list of other crimes which represent serious danger to persons or property. These include possession of various dangerous weapons, crimes against life and bodily security, arson and burglary...

These conduct regulations affect all persons on campus, not students only. In addition to forfeitures, violations by students may also result in disciplinary action by UWM...

"UWM Police are authorized to issue citations which may be appealed to the civil court or the individual may choose not to contest the citation and simply pay the forfeiture which in 1991-92 can range from $69.00 to $213.00 depending on the seriousness of the offense."

From Summary *of the Revisions UWS Chapter 18, Conduct on University Lands* (November, 1991)

Academic Freedom and Other Individual Rights

Academic Freedom ensures every person the right to be accorded respect and dignity. The University will penalize discriminatory conduct on the basis of race, gender, age, sexual preference, ethnicity, national origin, or disability. Individual rights will be protected as defined by Wisconsin and Federal laws.

UNIVERSITY OF WISCONSIN SYSTEM
RULES & REGULATIONS

UWM®

APPLYING THE CODE

The following criteria represent the collective thoughts and desires of our community in regard to appropriate professional behavior:

Respecting Your Colleagues

Working in a high pressure, academic environment with the worthy intention of eventually joining a professional body, it is extremely important to respect the rights of those who are working towards the same goal and, of course, those who are helping you to achieve your goals. These individuals include fellow students, faculty, staff, secretaries, and maintenance personnel, who all deserve your consideration. Education, like design, is a collaborative process, and everyone in the School community should be accorded due respect. The following areas of interaction are of particular concern:

Sexual Harassment

University, Federal, and State Laws prohibit behavior which creates an uncomfortable or untenable atmosphere for women or men in the School. Since respecting the rights of others is important, any irresponsible behavior, inappropriate comments or activities which adversely affect members of the School, and any abuse of power will not be tolerated. This could include offensive posters and websites, certain types of music or humor, and any intimidating behavior.

Discrimination of Any Kind

Every member of the SARUP community has the right to pursue an education without harassment or discrimination of any kind, and as an equal to all others. The academic environment is enhanced and enriched by the mix of individuals from a variety of cultures, countries and backgrounds. Racial slurs, bad attitudes, and offensive jokes reflect poorly on the values of the School and/ or the professions and cannot be tolerated.

Recognizing the Constituencies of Leadership

Academic Misconduct

There are very concise regulations and rules set up by the University for Academic Misconduct. Instructors must follow precise procedures in bringing action against a student accused of misconduct. Sanctions may range from an oral reprimand to expulsion. Academic Misconduct is defined by the University as:

"...an action which a student seeks to claim credit for the work or efforts of another without authorization or citation, uses unauthorized materials or fabricated data in any academic exercise, forges or falsifies academic documents or records, intentionally impedes or damages the academic work of others, engages in conduct aimed at making false representation of a student's academic performance, or assists other students in any of these acts."

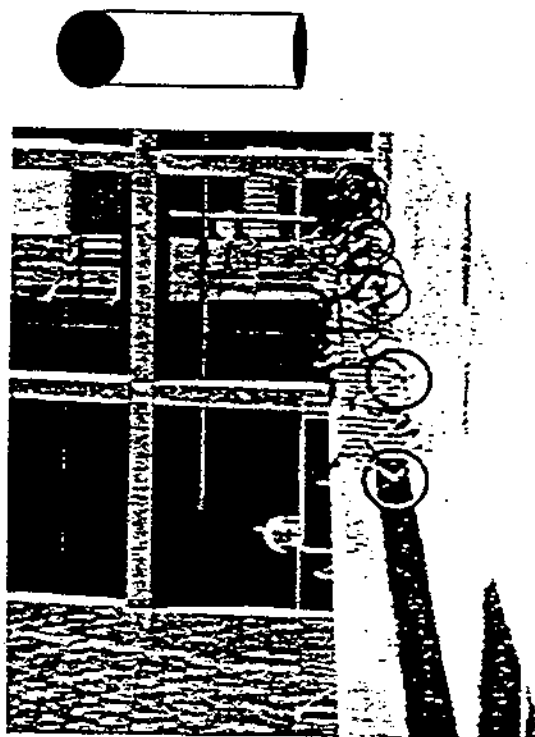*From Academic Misconduct UW-Milwaukee Guide for Instructor, December, 1992*

Conduct on University Lands

Actions on any UW campus designated as criminal and civil violations are listed in the *"Revisions of Conduct on University Lands."* Rules specific to theft, parking, vandalism, smoking, animals, keys, sound amplifying equipment, bicycles, skateboards, roller-skates, and rollerblades are clearly spelled out. Policies have also been developed for the use and maintenance of furnishings and equipment.

When in doubt about a policy, check the University Rules and Regulations (lobby, Mellencamp) or discuss it with Uriel Cohen, Associate Dean. Questions also may be directed to the Office of the Dean of Students.

ask the Dean

Q. Studio A contains a rowdy bunch who have been together for several semesters. They are all good friends, like to hang out together, and are prone to outbursts of loud music, questionable jokes, and raucous language. Is this a problem?

Possibly not. If _everyone_ in the studio is comfortable with the level of music, language, and humor, there really isn't a problem (unless the noise, jokes, etc. are so loud they filter into adjoining spaces). However, even if one person in the studio is offended or discomforted by the general behavior, there needs to be some change in behavior. Each studio member is entitled to use the allotted space quietly and comfortably.

If you find that the noise or atmosphere is affecting your work, speak out either to the group, if that is comfortable for you and possible, or confidentially with the studio instructor. If you are part of a group that has lively interaction, be aware of the feelings of others in your space. Ask them if they will be or are bothered by the noise, a topic of conversation, or language used.

Q. I am a smoker and, while I don't mind leaving studio and going outside to have a cigarette, it can be very cold out there in winter. Is it really such a problem if I stand in the airlock?

State law is specific about not allowing smoking in public buildings — smoking is only permitted outside in specific areas where ashtrays are provided. Please remember that when you smoke in airlocks, nonsmoking colleagues pass through these confined spaces. Also, the exhaled smoke may make its way back into the air conditioning and travel through the building. Please be respectful of the rights of others and the strictures of State law. And, please deposit butts in the containers placed for that purpose right outside the doors of the building.
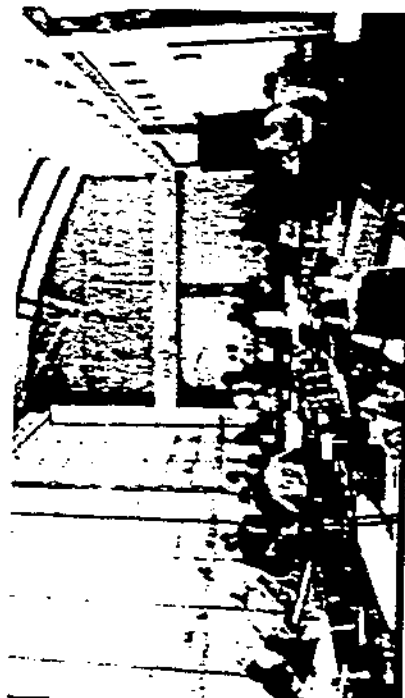
Also remember bikes belong, securely locked, in the bike racks provided outside the AUP Building and elsewhere on campus. Bikes are unwelcome guests in class or studio.

3. Antisocial Behavior

A large school community like ours has to work hard in order to live together harmoniously. This is especially true in the pressure-cooker environment of studios, where many students are housed. Collectively, each studio group has the responsibility of respecting the rights of group members, and ensuring that certain behavior (however innocent or high spirited), does not affect or offend their colleagues.

Loud music, offensive posters, inappropriate language, and antisocial behavior (e.g. chewing/spitting tobacco, late night rowdyism) are all representative of the problems which have led to complaints, arguments, and loss of concentration by offended studio members. Of course, no one wants to turn the School into a dreary, monastic workplace, but mutual consideration is necessary to ensure that it is an enjoyable and stimulating workplace for all.

Remember, if everyone wants to hear Black Sabbath tapes or engage in humorous banter, there is no problem. However, if any member of the group is offended, alienated, or disturbed, there is a problem which has to be addressed. Majority rule does not apply in these circumstances.

ask the Dean

Q. I like to go to the Friday Afternoon Live lectures, but I often leave in the middle to get to work. Last time I did this the Dean was standing at the door and gave me a really dirty look. What's his problem?

Most of the Dean's problems need not trouble you, but in this case your behavior appeared rude and inconsiderate to the lecturer who probably came a great distance to visit the School. People standing up, shuffling past students and guests, opening and slamming the door etc. is very disruptive and disconcerting for everyone. Plan to stay the full fifty minutes. If leaving early is unavoidable, sit or stand close to the back and when you sneak out, DON'T SLAM THE DOOR!

- Moving furniture within the building without Associate Dean Uriel Cohen's permission is prohibited; taking furniture out of the building is a criminal act.

- Bikes belong on the bike racks next to the south entrance of the building, not in the building.

- Your pass key to the building is for your use only. Don't share the key with anyone, including friends or relatives. Passes are provided for anyone with authorized access to the building. Loss or failure to return the key will result in a heavy fine.
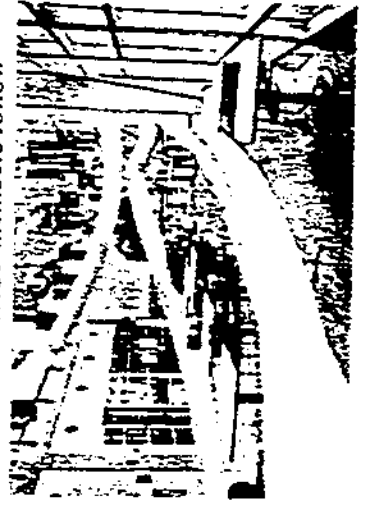
ask the Dean

Q. Do I have to leave the building immediately when the fire alarm goes off; even if I am in the middle of an important project, there have been two false alarms already that day, and it is snowing and −10 degrees outside?

Yes, whenever the alarm sounds, you should immediately turn off any computer or other electrical apparatus you are using, leave the room you are in and close the door if you are the last one out. Exit the building by the nearest usable stairwell. Once outside, move at least to the sidewalk area. Do not block access to the door. Remain there until you hear an all clear.

In the past, we have become lax about enforcing this procedure due to a number of false alarms each semester. The Flood of '99 reminded us how crucial it is that al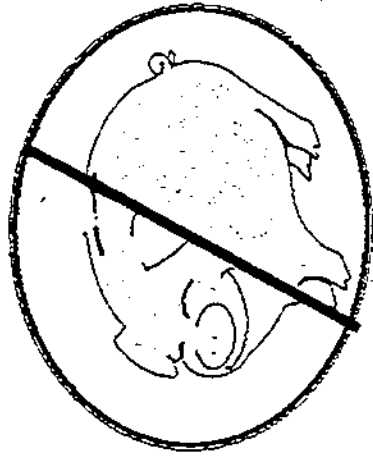l SARUP members follow safety procedures. Better safe than sorry (and your hearing with be saved from the merciless fire alarm).

Caring For Your Building

This building (your home for the next few years) provides a range and quality of facilities rarely granted to architectural programs. One beneficial example of the variety of facilities offered to us are the wood-working stations; they remove the need to cut on desk surfaces! Computer labs, which are constantly being updated with new equipment and software and accessible to most students whenever needed, are also major assets. In addition, twenty-four hour access is now available to a degree in the building.

Careless or mindless abuse of the building fabric, such as graffiti and vandalism, cannot be allowed if the high quality of this building is to be maintained. Engaging in these careless activities will create severe problems in the care and upkeep of the building and necessitate monetary deposits by all students to offset destruction of property costs in studios. With your cooperation, we can avoid this.

In order to solve the conflict of the School's responsibility for safeguarding life and property with students' need to access the building 24 hours a day, high quality pass key and security systems are in place. Your cooperation in responsible use of these systems is essential.

To ensure that this building will serve many generations of students, please follow these guidelines:

- Smoking is prohibited <u>throughout</u> the building.
- Do not use **sprays** (paint, adhesives, etc.) in the building.
- AUP's exterior doors must not be propped open; tampering with the security system diminishes everyone's safety and may also cause major damage.

Q. Students sometimes bring a keg of beer and some wine coolers to our final review session at the School. The studio faculty and teaching assistants were there [Could this be true?] and imbibed along with the students. Is this a problem? What do I do?

Yes, I am afraid it is a problem. **It is illegal to use or possess alcoholic beverages on University premises unless approved by the Chancellor's Office and supplied by the UWM catering services.** The faculty are not authorized to approve alcohol use and if students are underage, this only adds to the infraction. There <u>have</u> been arrests in the past. Possibly the best way to avoid this situation is to make sure beforehand that every member of the studio and the instructors understand the alcohol use laws. Unless you obtain authorization in advance from the Chancellor's office (which can be done), anyone bringing alcohol on the premises should understand they are risking arrest.

Q. A few friends and I occasionally take a break from our long hours of work in the computer room and check out some of the more racy items on the internet. Now I hear people are complaining. What's the problem — after all, isn't this my business?

Well, actually no, because Wisconsin State law kicks in again and forbids the use of State equipment for accessing pornography and the like. No one is telling you not to access these items on the internet but, if you want to keep your UWM access privileges, don't do it on State equipment. Preferably, don't do it while on Campus on anyone's equipment.

Playing It Straight

While the majority of the School community is honest and conscientious as befits professional aspirations, it would be foolish to ignore the aberrations that exist. The following indiscretions, which cause great disruptions to the student body, will not be tolerated:

Theft

At all times care and caution should be taken to safely secure all personal property. Remember to lock up all your valuables, including drawing equipment, tapes and personal belongings whenever you leave your desk, and always lock studio doors if the space is unattended. If any member of the school community is caught stealing, the appropriate authorities will take over and the University's nonacademic misconduct procedures will be implemented. Remember that theft also includes removing all or part of books and magazines from the Resource Center or a library.

Plagiarism and Cheating

UWM disciplinary procedures will be used against those who are caught cheating or claiming the work of others as their own This includes copying another person's homework, accessing anothers computer files, passing off others works your own and tracing over existing drawings and claiming them as original. In the age of precedent, this last point may be confusing. If in doubt, ask your instructor. Don't allow the ease with which you can copy sections or sentences from electronic articles or other materials lull you into plagiary.

ask the Dean

Q. Student A sees Student B copying the answers to a quiz from a friend before handing the sheet into the instructor. Student A is concerned about the behavior but is not keen to squeal. What should happen?

Typically, victims of cheating are the most accomplished students whose hard work is being stolen by others. Ratting on anoth‐ ‑rson is never easy, even anonymously, but is preferable to ignoring and thus abetting the deception. Remember, an individual who isn't bright enough to know not to cheat is unlikely to fool people for long. Faculty spot changes in writing style, unexpected jumps in performance, and startlingly original design work quite quickly. Celebrated SARUP plagiarists were so misguided that they even handed in purloined work that belonged to the faculty who were reviewing it! This level of cosmic stupidity is perhaps rare, but more subtle forms of cheating are also usually unmasked.
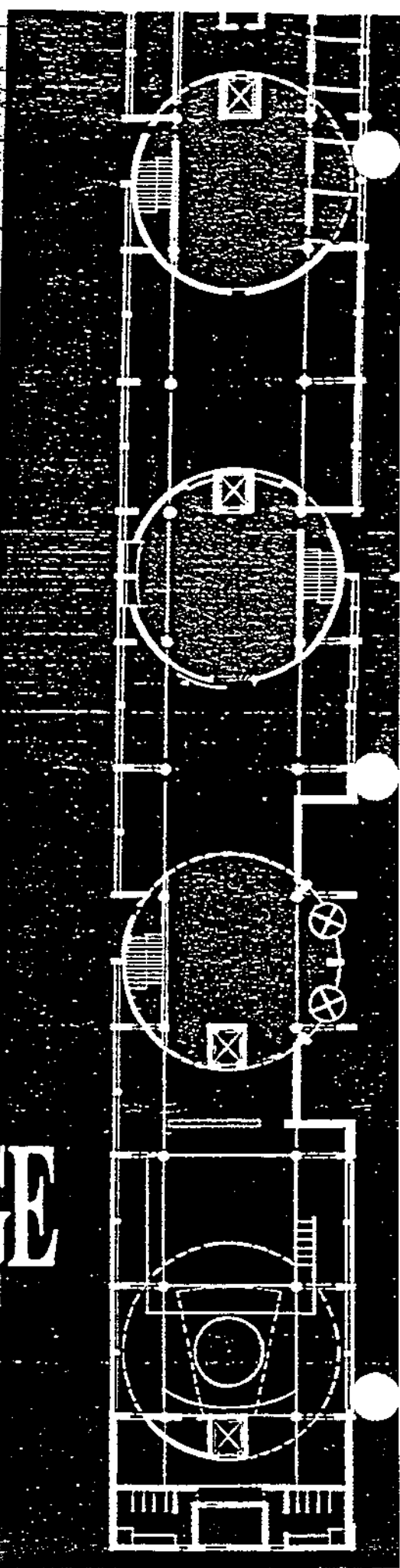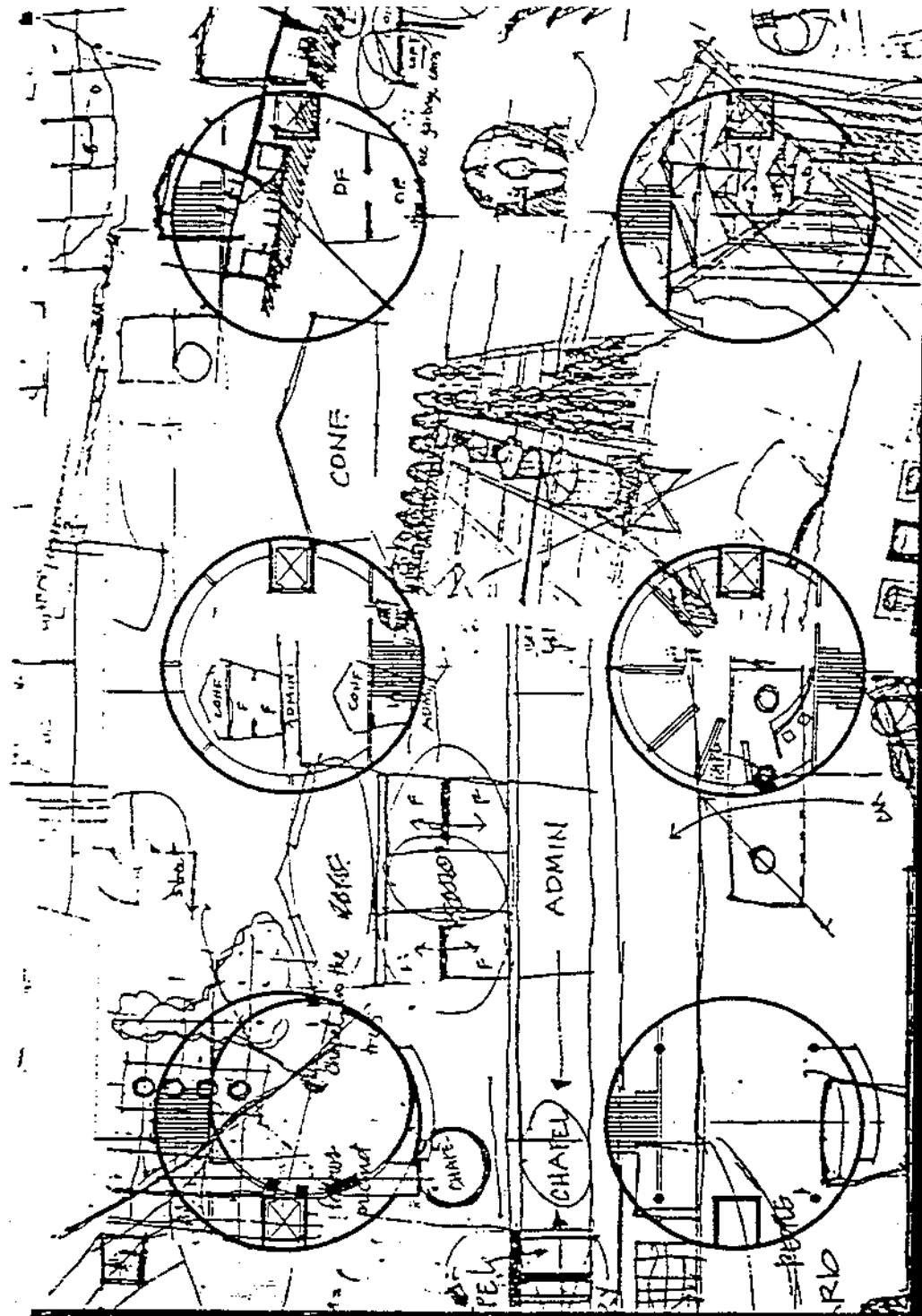
THINK STOP THINK

Q. Studio A has been drawing heavily on precedent for the design of a new library in a historically sensitive district, so much so that some students have traced parts of existing buildings into the design. Given the heavy reliance on precedent in some studios, is this actually plagiarism?

The distinction between needing to learn from existing examples of good architecture and the wholesale reuse of them in a new design often becomes blurred. Obviously, if a building needs to 'fit in' with its surroundings, certain features are likely to be similar to existing ones. However, there is a difference between responding to the context and plundering it wholesale. Anything that involves tracing or copying is an indication that originality is being sacrificed, and should be avoided.

Whenever you are unsure if you are crossing the line between learning from the past or plagiarizing, the best thing to do is to ask a faculty member, teaching assistant, or fellow student. Such discussions remove the perception of an attempt to mislead and may involve all parties concerned in resolving how best to deal with precedent in a contemporary context.

Student publications range from the humble stapled xerox copy to the professional journal. Both are equally valuable in allowing students to express themselves, show off their work and stimulate dialogue. The administrator's role is to help interested students morally and financially, if possible, and to steer clear of censorship, the sure way to kill a publication.

ARCHzMAGE

1992

UNIVERSITY OF WISCONSIN — MILWAUKEE
SCHOOL OF ARCHITECTURE & URBAN PLANNING

Recognizing the Constituencies of Leadership   150

260

Recruitment of an excellent, diverse student body has to begun as early as possible in the secondary education system, and the University of Wisconsin-Milwaukee has created a Young Architects Club to each week in a program staffed by 10 faculty volunteers.

Young Architects Club

Sponsored
by
**School of Architecture
and Urban Planning
University of Wisconsin–
Milwaukee**

Recognizing the Constituencies of Leadership

What is it?

The YOUNG ARCHITECTS CLUB is an initiative developed by the School of Architecture and Urban Planning at the University of Wisconsin—Milwaukee. It is intended to encourage sophomores, juniors and seniors of inner city high schools to find out about the profession of architecture and to help them prepare for entry into an architectural school.

Club members can:

- Find out about the day-to-day job of an architect.

- Learn about architecture and how they as architects can help to shape the inner cities of tomorrow.

- Hear what it's like to be a student of architecture, and what to expect in college.

- Meet students and practitioners to discuss architecture as a career choice, the job opportunities, the salaries and the work involved.

- Participate in design-related activities held during the year for YAC members.

What do club members do?

If you join the YOUNG ARCHITECTS CLUB, you can attend a series of monthly meetings and will be invited to events through the year hosted by the American Institute of Architects—Wisconsin (AIAW) and the School of Architecture and Urban Planning. These may include:

Field Trips

Club members will have the opportunity to attend trips to see famous buildings such as the work of Frank Lloyd Wright (Wisconsin's greatest architect) or some of the many buildings in Chicago.

Office Tours

Take an escorted tour of some of the biggest practices in Wisconsin, see where architects work, the drawings they produce, and examples of their built work.

The AIAW Convention

The event is held in May of each year and attracts architects from all over the state. The Convention includes a trade show, guest speakers, workshops and exhibitions, as well as a number of social events.

Lectures, exhibitions and receptions

The School holds lectures at 4:30 p.m. on some Fridays during the semester. Lectures are given by faculty, local practitioners, alumni and visiting architects from all over the world. They are often followed by a display of student work and a reception where the audience can meet socially to discuss architectural issues.

Mentoring Program

Meet regularly with a local architect and a UWM architecture student to discuss your career plans and how best to prepare for college.

Sandcastles Competition

Every September, the students of UWM and Milwaukee School of Engineering (MSOE) and schools through the city hold a competition on Bradford Beach to design the best sandcastle. The event attracts over 60 entries and results in some strange, but wonderful, sand sculptures.

Free Literature and Magazines on Architecture

You will receive a variety of publications to help you learn more about the world of architecture, the profession in Wisconsin, and the work of the students at the School.

Special High School Programs in Architecture

You will be told about the various opportunities that exist for high school students to help them prepare for their chosen career path including:

- Architecture Summer Camp
- Teen University Summer Program
- Computers in Architecture Program
- Minority Careers Day
- MEDAL Program
- Available scholarship opportunities

How Much Does It Cost?

THE YOUNG ARCHITECTS CLUB is entirely free—all materials, field trips, publications, etc., are provided by the School.

How Do I Join?

If you're interested in joining the YOUNG ARCHITECTS CLUB or want to find out more about it, ask your high school counselor or call (414) 229-4014 and leave a message for PHILIP ZWETTLER (Coordinator) or write to him or BOB GREENSTREET (Dean) at the School of Architecture and Urban Planning, UWM, P.O. Box 413, Milwaukee, WI 53201-0413.

the right ●f inquiry

① THE RIGHT TO INDIVIDUAL IDENTITY

Each person is unique, with the right to individual expression. This expression is the hallmark of the creative process.

② THE RIGHT TO FREEDOM FROM PREJUDICE

It is the right of an individual to experience a diversity of philosophical and cultural lessons. Each individual has the right to learn without fear of character depreciation or retribution for personal opinions. No individual should ever suffer in the learning experience because of race, religion, gender, ethnicity or national origin.

③ THE RIGHT TO ACCESS INFORMATION

Within the educational environment, knowledge cannot be withheld, because of the judgment of another individual, on the basis that such information represents improper political, religious or social positions.

④ THE RIGHT TO HUMAN SUPREMACY OVER TECHNOLOGY

Education is directed at the well being of the individual. Technology, in whatever form is to serve this mission. People must always come first.

⑤ THE RIGHT TO A NURTURING LEARNING ENVIRONMENT

There is a demonstrable connection between the quality of the learning place and the memorable learning experience. Such an experience must be

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state
university**

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THE RIGHT TO CHOOSE
SPECIFIC LEARNING PATHS ⑥

The determination of specific disciplinary learning paths, and the ability to apply such information, is a fundamental intellectual right. No path of inquiry or opportunity to apply knowledge should ever be denied to an individual prepared and willing for such an undertaking.

THE RIGHT TO DETERMINE ⑦
NEW LEARNING PATHS

Each individual must have the opportunity to determine new paths of learning outside established disciplines. The future demands new knowledge derived from fresh perspectives free of discipline boundaries determined by past exigencies.

THE RIGHT TO MATURE WHILE IN
PURSUIT OF KNOWLEDGE AND SKILL ⑧

Each opportunity to learn enhances the ability to address the next challenge. The individual must be permitted failure as well as success in a learning context. A path of continuing growth must be acknowledged and rewarded.

THE RIGHT TO EXPECT A MUTUALLY ⑨
SUPPORTIVE COMMUNITY

Creative activity is nurtured in an environment of trust. Students, faculty and staff interact to inform the creative process.

11

LIFE OUTSIDE THE CLASSROOM

The undergraduate college should be held together by something more than plumbing, a common grievance over parking, or football rallies in the fall. What students do in dining halls, on the playing fields, and in the rathskeller late at night all combine to influence the outcome of the college education, and the challenge, in the building of community, is to extend the resources for learning on the campus and to see academic and nonacademic life as interlocked.

The early American college did not doubt its responsibility to educate the whole person—body, mind, and spirit; head, heart, and hands. Faculty members were recruited from men who believed that in serving the cause of truth they were also serving the cause of faith. Student life was tightly regulated. Classroom, chapel, dormitory, playing field—all these areas of college life were thought of as connected.

Not that the relationship between college rules and student conduct was worked out easily or maintained without a struggle. Teenagers then, as now, were inclined to test the limits of tolerance. Throughout the colonial period, and continuing until after the Civil War, there were periodic uprisings in response to oppressive rules and the chronic complaint of "atrocious food." According to Fred and Grace Hechinger, in their important book *Growing Up in America*, Henry Thoreau's grandfather, when a student, confronted a tutor with this demand: "Behold our Butter stinketh and we

cannot eat thereof. Now give us we pray thee Butter that stinketh not.'" In American higher education some things never change.

Religion was a centerpiece of the early college. The historian Dixon Ryan Fox describes how piety marked the beginning of each day at Union College in New York:

[The] ringing of the Chapel bell called sleepy boys to "repair in a decent and orderly manner" without running violently in the entries or down the stairs, to prayers that were to open the day. We can see the college butler on a cold pitch-black winter morning at his post beside the pulpit stairs, when the officers file in, holding his candle high so that the president may safely mount to read the scripture lesson from the sacred desk, to petition the Almighty on behalf of the little academic group.[2]

Some professors were not happy with the rigidity of nineteenth-century campus life and, most especially, with their proctor and detective duties. James McCosh at Princeton confessed: "I abhor the plan of secretly watching students by peeping through windows at night, and listening through keyholes."[3] Still, most academic spokesmen retained faith in the moral uplift generated by the college. "It was a faith undergirded by the notion that mental discipline was provided by a complex of theological, moral, psychological, and behavioral factors whose vagueness was more than offset by the power of popular convictions."[4]

In this climate, chapel was used, not just for morning prayers, but also as the place where reprimands were meted out and confessions made. *During the 1870s, little Mount Union College in Alliance, Ohio, had trouble containing student rebelliousness against the rules. The majority of the infractions were drinking, cursing, gambling, card playing, and leaving campus without a signed excuse.* Mount Union's campus historian reports as follows: "Unless the infractions were of an unusually serious nature, most of the major offenders, after a severe reprimand from the faculty, were required to appear publicly in chapel and reaffirm their loyalty to the college and pledge to obey all the rules (taking no mental reservations)."[5]

During the nineteenth century, American higher education grew. The grip of religion was weakened, and scholarship among the professoriate took precedence over piety. In 1869, Harvard decided to break the link between academic status and student conduct. The classroom was the place of learning and social life was viewed as less consequential to the goals of education. Ranking, henceforth, would be based on course grades alone. The parallel use of delinquency demerits based on behavior was struck down. Here is how Frederick Rudolph commented on the significance of this development:

What now mattered was intellectual performance in the classroom, not model behavior in the dormitory or the village tavern. A commitment to the needs of scholarship meant that the universities expressed their purposes no longer in chapel, no longer in the senior year with the president on moral and intellectual philosophy.[6]

Still, the American college did not fully free itself of the vision of educating the whole person. Until well into the twentieth century, chapel attendance was required at many institutions, both public and private. Residence hall living was still monitored by the college. Women, in particular, received heavy doses of regulation. There was ambivalence, to be sure, but in enrolling a student the college clung to the tradition that its responsibility went beyond the classroom. However, since faculty oversight was now limited to scholarly concerns, a cadre of specialists—registrars, chaplains, advisers, house mothers—emerged to guide student life.

The 1960s brought dramatic changes to the American campus. Rules were weakened. Residence halls became coed and often were almost off limits for administrators at the college. Required attendance at chapel services and campus-wide convocations were abolished on most campuses. Students, it was argued, should be treated as adults.

Today, we found on many campuses an uneasy truce. Students still have almost unlimited freedom in personal and social matters.

Conduct is generally unguided. And yet, administrators are troubled by the limits of their authority, and there is a growing feeling among students that more structure is required.

There are 168 hours in a week. If the student takes 16 credit hours, and spends 2 hours in study for each credit hour of instruction (a generous estimate!), that means 48 hours of the week are devoted to academics. If 50 hours are assigned to sleep, that leaves 70 hours in the student's life unaccounted for, a block of time greater than either sleep or academics.

How do students spend their time outside the classroom? Here is a partial answer. Our survey of undergraduates revealed that almost all students work. Although researchers have reported that some work can, in fact, be beneficial to the academic and social progress of the student, work can also be excessive. We found, for example, that almost 30 percent of all full-time students and 84 percent of all part-timers work 21 or more hours a week while attending college. And as tuition costs go up, the number of hours students work is likely to increase (Table 31).

Table 31 Hours Spent Working by Employed Undergraduates in a Normal Week by Enrollment Status (percentage agreeing)

	Total	Public	Private	Research University	Doctorate-Granting University	Compre-hensive College	Liberal Arts College
Full-Time Undergraduates							
10 hours or less	29	25	42	31	22	26	47
11–15 hours	20	21	17	26	21	18	12
16–20 hours	22	23	18	21	28	21	15
21–35 hours	21	23	14	16	19	26	14
36+ hours	8	8	9	6	10	9	12
Part-Time Undergraduates							
10 hours or less	2	2	2	3	4	2	2
11–15 hours	4	5	2	6	2	4	1
16–20 hours	10	10	9	11	7	11	6
21–35 hours	14	16	7	8	18	17	3
36+ hours	70	67	80	72	69	66	88

Source: The Carnegie Foundation for the Advancement of Teaching, National Survey of Undergraduates, 1984.

What else engages them? Thirty-one percent of the students report devoting more than ten hours a week to informal conversation with other students. Fourteen percent spend more than ten hours a week in front of the television set. (In the student union of one university we visited, the big-screen television set attracts the largest crowd during the noon hour for "All My Children.") The typical student does leisure reading between one and two hours a week. About one fourth say they spend no time studying in the library each week. Organized sports consume the least amount of student time. Almost half devote no time to cultural events, and the same proportion do not participate in any organized student activity (Table 32).

Table 32 Number of Hours Students Spend Each Week on Selected Activities (by percent responding)

Activity	None	1–2	3–4	5–6	7–8	9–10	11 or more
Talking informally to other students	3	19	16	13	9	9	31
Watching television	13	22	18	14	11	8	14
Leisure reading	23	35	17	11	6	4	4
Talking to faculty members	26	56	11	4	1	1	1
Studying in the library	27	24	14	9	5	6	15
Attending campus cultural events	46	36	11	4	1	1	1
Participating in organized student activities (other than athletics)	50	26	10	6	3	2	3
Participating in intramural sports	70	16	8	3	1	1	1
Participating in intercollegiate athletics	93	1	*	*	1	1	4

* = less than 1 percent

Source: The Carnegie Foundation for the Advancement of Teaching, National Survey of Undergraduates, 1984.

Few students, we found, participate in intercollegiate athletics. Still, they love to cheer. On many campuses sports are the big event, and football and basketball games often sell out well in advance.

One large university we visited has an 82,000-seat, multilevel stadium that is visible from virtually all parts of the campus. It was defined by one observer as the "emotional core" of the university.

Adjoining this huge edifice are a twenty-five-court tennis center and a student recreation center, complete with basketball courts, volleyball courts, handball courts, weight rooms, and a swimming pool. A coliseum serves as the home of the basketball team as well as the site of other campus activities, including concerts and lectures. Farther west are track, football practice fields, baseball and rugby fields, and a golf driving range and practice greens.[7]

The athletic center completes the picture. The lobby of this modern shrine is filled with trophy cases for the seventeen intercollegiate sports that are played here. The cases overflow with symbols of success. The walls are lined with photos of star athletes and memorable moments in the university's athletic history. To say that the institution is proud of its athletic teams is an understatement.

On this campus, students don't just get excited about the games, one observer told us, they "go crazy" about their sports programs. Many travel hundreds of miles each Saturday to watch the game and attend pep rallies in massive numbers. They wear university sweat shirts, hats, and shoes and wave pennants and place bumper stickers on their cars and decorate other parts of their autos with memorabilia.[8] Spectator sports seem to be the best way to build a sense of community on most campuses today.

Intercollegiate athletics have been called a "deified monster" on American campuses, going far beyond considerations of health or physical fitness, or just plain fun. Often such programs are the means by which a school acquires a reputation, discretionary funds, and even endowment. "It takes athletics to sell a university" is how one president describes his school's approach to sports. At another university—one that "fields the best teams money can buy," as students and faculty express it—the president expects to raise $6.8 million a year from football alone.[9]

In 1929, The Carnegie Foundation prepared a report entitled *American College Athletics*. It revealed that higher education, almost sixty years ago, was being poisoned by a corrupt and corrupting system. In speaking about the destructive influence of big-time ath-

letics the report said: "More than any other force, [athletics have] tended to distort the values of college life and to increase its emphasis upon the material and the monetary. Indeed, at no point in the educational process has commercialism in college athletics wrought more mischief than in its effect upon the American undergraduate. And the distressing fact is that the college, the Fostering Mother, has permitted and even encouraged it to do these things in the name of education."[10]

The words of this report are as apt today as in 1929. If the situation has changed, it has been for the worse. Several universities we visited have had athletic scandals. At one, the football program went through a major crisis in the late 1970s. Seventy violations of the National Collegiate Athletic Association rules, including the creation of a $35,000 "slush fund" for recruiting, resulted in N.C.A.A. probation and a two-year ban on television appearances and bowl games.[11]

Scandals may be the exception, but even on campuses that live by the rules we found that sports frequently dominate the schedule. Class time, term papers, research in the library—all of these are sacrificed for practice, for travel, and for games. On too many campuses the issue is money, not school spirit. Undergraduate athletes are used as fodder for a competitive machine that pleases the alumni and corporate boosters but violates the integrity of the college and has little, if anything, to do with education.

In the light of the shocking abuses that surround intercollegiate athletics we should reflect on the sentiments of the former president of Stanford, David Starr Jordan, who spoke on the subject over eighty years ago. Jordan said:

Let the football team become frankly professional. Cast off all the deception. Get the best professional coach. Pay him well and let him have the best men the town and the alumni will pay for.

Let the teams struggle in perfectly honest warfare, known for what it is and with no masquerade of amateurism or academic ideas. The evil in current football rests not in the hired men, but in

academic lying and in the falsification of our own standards as associations of scholars and men of honor.[12]

The tragedy is that the cynicism that stems from the abuses in athletics infects the rest of student life, from promoting academic dishonesty to the loss of individual ideals. We find it disturbing that students who admit to cheating often excuse their conduct as being set by college example, such as athletic dishonesty. Again, the 1929 Carnegie report states the issue clearly: "It is the undergraduates who have suffered most and will continue most to suffer from commercialism and its results. . . . Commercialism motivates the recruiting and subsidizing of players, and the commercial attitude has enabled many young men to acquire college educations at the cost of honesty and sincerity."[13]

Integrity cannot be divided. If high standards of conduct are expected of students, colleges must have impeccable integrity themselves. Otherwise the lessons of the "hidden curriculum" will shape the undergraduate experience.

Colleges teach values to students by the standards they set for themselves. But we believe real reform will come only when a wave of moral indignation sweeps the campuses. Perhaps the time has come for faculty and students at universities engaged in big-time athletics to organize a day of protest, setting aside a time to examine how the purposes of the universities are being subverted and how integrity is lost.

Further, we strongly urge that intercollegiate sports be organized and operated to serve the student athletes, not the institution. Success in class must be the most important objective. At the same time, respect for one's opponents and rules of sportsmanship and fair play must dominate the program.

We also propose that when serious athletic violations are discovered, the accreditation status of the institution should be revoked—along with eligibility status for the National Collegiate Athletic Association. It is ironic that one hears that a university has lost its

athletic eligibility but never hears that a college has been on accreditation probation or suspended because of unethical behavior in athletic procedures or in its abuse of students.

We suggest further that presidents of universities and colleges begin to say publicly what they acknowledge privately: that big-time sports are out of control. Campus leaders can meet with each other and agree to a process of cutting back expenditures for recruitment and training, and they can continue to get involved in National Collegiate Athletic Association deliberations. By reaching agreements within various conferences, we can begin scaling back on the commitment to big-time athletics, without individual schools' jeopardizing their public standing.

Further, boards of trustees have an absolutely critical role to play. When a president who wants to fire a coach is told by trustees that his own job is jeopardized if he acts, it seems apparent that the integrity of the institution has been lost.

Against the backdrop of scandals in intercollegiate athletics, intramural sports and recreation are emerging as an encouraging option. Already, 30 percent of the undergraduates participate in such sports and the number appears to be growing. Many students are also keeping fit through jogging, aerobics, lap swimming, weight training, and the like.

At one university we visited, the department of intramurals has a budget of $350,000, drawn from the institution's general fund. Sixty-five percent of the students participate in some program. Over 176,000 students, many of them repeat visitors, were counted in the recreation building during a single academic year. The intramural department offers some forty sports programs, including softball, basketball, volleyball, track, wrestling, and water polo.[14]

According to one student who has played on three intramural teams, "If somebody wanted to, he could play intramurals every afternoon for the whole semester because there are so many teams. Regular exercise is now a way of life for many."[15] We urge every college to develop a comprehensive, well-supported program of

intramural sports, one that serves all students, not the select few. We further urge that the intramural program be given top priority when budget decisions about athletics are made and the recreational facility space is assigned.

Most encouraging is the emerging emphasis on wellness. More and more colleges see health and body care as an important educational objective. This, in our opinion, should be a high priority on every campus. The chairman of the intramurals department at one college said the emphasis on wellness is no fad: "Our students are in better shape than they were in the seventies, and there is a new awareness of the importance of caring for the body."[16]

At a large public university on our tour, over two thirds of the students participate in a university-sponsored "wellness program," which includes health education and fitness training. The project also prepares a group of students to be "health promoters" and sends them back to their residences to help others. These "health promoters" study everything from birth control and sexually transmitted diseases to nutrition and how to cope with stress. They not only counsel fellow students, but maintain a first-aid kit and post health information on bulletin boards to keep students abreast of current medical news. We urge that every college consider educating a core of senior students who, in turn, would educate their fellow students through informal seminars about health, nutrition, and first aid.

Health concerns have moved into the cafeteria, too. Menus are now being more closely supervised by dieticians and scrutinized by the students. Health food and vegetarian sections are now standard fare at almost every well-run college in the country. And students are actively involved. Haverford College has a "napkin bulletin board"—a place where students scrawl their reactions to the food on a napkin and tack it up before they leave the cafeteria. Before the day is over, the dietician has posted a reply.[17]

We urge that all students be helped to understand that wellness is a prerequisite to all else. They should be taught about good food, about exercise, and should begin to understand that caring for one's

body is a special trust. Further, a professional nutritionist should advise the campus food service and also be available for students as a part of the campus health service. A procedure for students to evaluate the food service also should be available on the campus.

Finally, we suggest that leaders of students' health centers work directly with their counterparts in food service, intramural athletics, residence hall supervision, student government, and even the academic administration to assure that the institution's "wellness" program has the resources and endorsement of the whole campus.

Athletics, health education, and food service are all of direct concern in a college community seriously committed to a quality undergraduate experience.

College life is clearly more than lectures, classes, convocations, and sports events. Wedged in between large group events there must be open spaces—moments when students can spend time alone or relax with one or two close friends. Students need solitude and intimacy as well as togetherness; and they should be able to choose their privacy and their companions without institutional constraint. Open space is needed for recreation, free expression, and student-initiated activities. Indeed, the most exciting activities we found on campus were informal ones, projects organized by students, whether religious, social, political—center, left, or right. On one mid-sized campus, for example, we found women's rights organizations, a gay and lesbian student group, the Liberty Lobby, the Young Americans for Freedom, Save the Whales, and animal rights advocates. None of these was very large, but they had been organized by loyal advocates who were sufficiently vocal and cohesive to make their mark.[18]

Religious groups are among the fastest-growing organizations on many campuses. At one Midwest state-sponsored college there are religious meetings—revivals, study groups, or songfests sponsored by Christian organizations—almost every night at the student union. These assemblies are very diverse theologically and socially. The Maranathas, Campus Crusade, and the Navigators are evangeli-

Table 34 Political Orientation of College Students, Their Parents, and Faculty: 1976 and 1984

	Left	Liberal	Middle of the Road	Moderately Conservative	Strongly Conservative
Students: How would you characterize yourself politically?					
1984:	2	23	39	31	5
1976:	4	34	39	21	2
Students: How would you characterize your parents?					
1984:	1	10	34	43	12
1976:	*	11	31	46	11
Faculty: How would you characterize yourselves?					
1984:	6	36	27	27	4
1976:	6	38	28	25	3

* = less than 1 percent

Source: The Carnegie Foundation for the Advancement of Teaching, National Survey of Undergraduates and Faculty, 1976 and 1984.

We found that on most campuses the conservative viewpoint is getting a better hearing these days. Over the past four years, more than fifty right-wing "alternative" publications have emerged on college campuses. Funded largely by the Institute for Educational Affairs, these publications attack what their supporters see as the "entrenched liberal bias" on the campus. A striking example is the *Dartmouth Review*, which comments, "We've noticed that women who claim sexual harassment often tend to be low on the pulchritude index," and refers to study programs on women, blacks, and Native Americans as "victims' studies."[20]

The Young Conservative Foundation, Inc., a Washington-based organization, is encouraging students on at least one hundred campuses to protest their schools' investments in companies that do business with the Soviet Union and are, according to the foundation president, "for a few pennies marketing the value of the free world."

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cal. A middle-of-the-road organization called Ichthus tries to "serve all Christians on the campus." There is the Hillel House for Jewish students and the Newman Club for Catholics. The Ecumenical Campus Ministries, sponsored by the mainstream Protestant denominations, has a rather small following among undergraduates ("If it weren't for their building, you wouldn't know they were here," says one active Christian).[19] Student involvement in religion, which seems to be experiencing a renewal, cuts across all denominations and religious faiths.

In our student survey, we found ambivalence regarding religion and church attendance. It revealed that about three out of four college students believe there is a God who judges people, but only 42 percent say that most students on their campus are religious. And only 30 percent say that they, personally, are more religious now than when they first came to college.

By comparison, 14 percent of the faculty we surveyed consider themselves "deeply religious" and 45 percent view themselves as "moderately religious." Nearly one third say they are "largely indifferent to religion," and only 7 percent say they are "basically opposed to religion" (Table 33).

Table 33 Faculty and Undergraduate Appraisal of Their Religious Conviction: 1976 and 1984 (percent agreeing)

		1976	1984
I consider myself "deeply religious."	faculty	15	14
	students	15	15
I consider myself "moderately religious."	faculty	45	45
	students	54	63
I am largely "indifferent to religion."	faculty	33	34
	students	26	19
I am basically "opposed to religion."	faculty	7	7
	students	5	3

Source: The Carnegie Foundation for the Advancement of Teaching, National Survey of Undergraduates, 1976 and 1984.

As for politics, most students characterize themselves as middle of the road or moderately conservative. They are less likely to characterize themselves as liberals but they consider themselves more liberal than their parents. In contrast, 42 percent of the faculty

The group stresses that its effort is not a response to recent anti-apartheid protests, the extent and organization of which they say indicates that the KGB was "without question" involved.[21] A junior at George Washington University who joined the Progressive Student Union and helped form Women's Space, a peace group, says she's been labeled a "radical." The membership of the group is fifteen. "I know that more than fifteen people agree with us," she says, "but because of apathy or fear, they don't show up at meetings."[22]

Despite the drift toward conservatism, today's students still hold a wide spectrum of beliefs. Although only one in three agrees that capital punishment should be abolished, nine out of ten believe more effort should be made to improve relations between the United States and the Soviet Union. There is also strong support for nuclear disarmament, hand-gun control, environmental protection, and abortion (Table 35).

Thus, the student activities picture in the American college, like the rest of the undergraduate experience, is mixed. On the one hand, the formal structures of student life—student government, convocations, and the like—do not seem to be working very well. Only a handful of students are involved, and those who are often seem driven by their own special interests. On the other hand, a lot of informal, less structured activities are flourishing. Students are getting together as private campus citizens, to push their own separate causes.

Self-generated activity adds vitality to the campus, and we could argue that informal student organizations are sufficient. After all, students are adults. They are understandably more committed to organizations that are flexible, responsive, and "cause related," as one student put it.

But even though open time and private space are crucial, a college, we believe, must be something more than a holding company of isolated enclaves. We found it significant that even with athletics and all of the student-sponsored projects, almost two out of five of today's undergraduates still say they do *not* feel a sense of community at their institution. At liberal arts colleges it is only one out of five (Table 36).

We conclude that the effectiveness of the undergraduate experience relates to the quality of campus life. It is directly linked to the time students spend on campus and to the quality of their involvement in activities. In summarizing the research, Alexander Astin reports that participating in almost any type of extracurricular activity, involvement in honors programs, and undergraduate research projects are factors significantly affecting the students' persistence in college. It is not an exaggeration to say that students who get involved stay enrolled.[23]

The campus cannot be satisfied if students separate themselves from one another or, worse, reinforce stereotypes and prejudices. Therefore, even at large complex institutions, with their autonomous units, the goal should be to build alliances between the class-

Table 35 Attitudes of College Students on Selected Political and Social Issues (percent agreeing)

	1976	1984
More effort should be made to improve relations between the United States and the Soviet Union.	NA	93
Nuclear disarmament should be given high priority by our government.	NA	76
A woman should have the freedom to choose whether or not to have an abortion.	NA	76
I would support stronger environmental legislation even at the expense of economic growth.	84	76
Laws should be enacted to control hand guns.	NA	72
The United States is spending too much on national defense.	56	57
Current unrest in Central America is caused by internal poverty and injustice rather than external political interaction.	NA	54
Our leaders are doing all they can to prevent nuclear war.	NA	52
Capital punishment should be abolished.	40	24

NA: Question not asked in 1976.

Source: The Carnegie Foundation for the Advancement of Teaching, National Survey of Undergraduates, 1976 and 1984.

room and campus life, to find group activities, traditions, and common values to be shared. What we seek is a climate in which loyalties can be strengthened. The college cannot be a parent; but neither can faculty and administrators turn their backs on life outside the classroom, where there is so much learning that either enhances or diminishes the quality of the undergraduate experience.

At an East Coast college we visited, dorms have "living rooms," a fact that pleases students. Students like to sit near the fireplace and socialize. Last December, the director of resident life organized "fireside forums" in the dorms. Forum topics reflected the pressure students feel before exams: "overcoming test anxiety," for example. Forums were also held on social themes. Recently, someone came from Amnesty International to talk about political prisoners and human rights.[24]

Other colleges have suspended classes for a day in order for the entire campus community to discuss a topic of campus-wide concern. Other meetings, of smaller groups, take place in the evenings in various campus settings. At an East Coast public university we visited, students on a December evening could choose among a lecture, "Apartheid in South Africa," sponsored by the women's studies department; a series of one-act plays directed by members of a theater class; and an Egyptian film with English subtitles sponsored by the government department.[25]

Such cultural activities add greatly to the intellectual life of a college community. They have potential for enlarging much of what students are learning in their formal courses. Yet, it was disappointing to observe on most campuses that these kinds of programs receive little support from the faculty. Students are rarely reminded of them, and few efforts are made to connect these out-of-class educational events to ongoing classroom teaching. In a college of quality, the faculty will understand the importance of encouraging student participation in campus cultural events. They, too, will be active participants, and will attempt to tie their teaching to them

Table 36 How Undergraduates Evaluate Community at Their College (percent agreeing)

	By Type of Institution					
	All Institutions	Public	Private University	Research University	Doctorate-Granting University	Comprehensive College	Liberal Arts College
I feel a sense of community at this institution.	61	58	74	63	58	57	80

Source: The Carnegie Foundation for the Advancement of Teaching, National Survey of Undergraduates, 1984.

whenever possible. In this way, they can contribute to the kind of learning community we wish to support.

Beyond these modest examples, the bringing together of the entire campus community remains the larger vision. Is it possible for the modern campus, with all of its separations and divisions, to find points of common interest? Can students feel both the excitement and responsibility that come from being an active member of a community of learning?

There are all-college convocations. Careful planning can provide such a series on campus that will be a vital force, stirring discussion and controversy, reflection and commitment. For example, Washington University in Saint Louis has such an assembly series every Wednesday morning, featuring poets, artists, political leaders, and others who draw large audiences and help to revitalize the community.

Commencements and alumni weekends can have an equal influence, as can concerts on the campus. And occasionally a college can be brought together to support a worthy cause. Several years ago the State University of New York at Brockport hosted the National Special Olympics. The whole campus came together in a project that stirred inspiration and lifted the vision of both faculty and students.

Carl Schorske, in a brilliant study of creative communities, describes Basel, Switzerland, in the nineteenth century as a place where civic and university creative activities were inextricably interlocked. Professor Schorske said, "The primary function of the university was to foster a civic culture ... and the city state accordingly assumed, as one of its primary political obligations, the advancement of learning."[26]

If a city can stir a creative, intellectual climate, if merchant families can foster civic culture, what about the intentional community we call a college? While leaving space for privacy and individual interests, we believe there can be celebrations and traditions that tie the institution together and that, through shared experiences,

intellectual and social integration on the campus can occur. At such a college all parts of campus life are brought together into what we have called a community of learners.

The college of quality remains a place where the curricular and cocurricular are viewed as having a relationship to each other. At a time when social bonds are tenuous, students, during their collegiate years, should discover the reality of their dependency on each other. They must understand what it means to share and sustain traditions. Community must be built.

Table 37 Undergraduates' Living Arrangements, 1984 (percent responding)

	1984
Live on campus	40
Commute	60
Live off campus without parents	38
Live with parents	22

Source: The Carnegie Foundation for the Advancement of Teaching, National Survey of Undergraduates, 1984.

12

A HOME AWAY FROM HOME

Late in the summer of 1986, housing officials at the University of Wisconsin–Milwaukee stopped taking requests for dorm rooms after six hundred names were on the waiting list.[1] Two years ago, at the University of Oregon, the waiting list for housing was considered a novelty; this fall hundreds of students who registered for campus housing were turned away.[2] At the University of North Dakota in 1983, one hundred students were housed in a local motel, despite the fact that the previous year the school had just opened a new dormitory.[3]

The popularity of residential living has sparked a crisis. Students are heading back to campus housing, and doubling up (sometimes tripling up) in rooms.[4] At one liberal arts college we visited, students were being shuttled back and forth from a Comfort Inn on the main highway while renovations on the oldest residence hall on campus were rushed to completion.[5]

For 40 percent of the undergraduates we surveyed, college is, quite literally, a home away from home; for freshmen, the rate is much higher (Table 37). Over two thirds of the students enrolling at public four-year colleges live in dormitories during their freshman year. And at private universities, 86 percent of the freshmen are residents, while at the private colleges the campus residency rate among freshmen is approximately 80 percent.[6]

The new enthusiasm for campus living is a paradoxical turn- about. Just fifteen years ago, most requirements that students had to live on campus were abolished. The courts have since ruled that students cannot be forced to live in campus housing simply because colleges need the money.[7] Freedom of choice notwithstanding, today's students are showing a strong preference for college-owned housing. They prefer the convenience and social interaction and the comparative economy of such arrangements.

Despite some grumbling about overcrowding, noise, heat, and hot water, most of the undergraduates we talked with said dorm life is "just great." The typical residence hall is now coed. "Special interest" and "quiet" floors are available, and the freedom to decorate common areas and refurbish the rooms are options enthusiastically supported by students. Add to this the fact that most of the restrictions on residential living have been lifted.

Still, it seems remarkable that students, many of whom had their own rooms at home, can live amiably in close quarters with someone who, until recently, had been a total stranger, but most seem to do so.

There are, of course, exceptions. One junior told us, "My worst experience in college involved walking in on my roommate when he and his girlfriend were, to put it politely, passionate on my couch. He had the nerve to get mad at me for being so inconsiderate, when 'I knew he had a guest.'" And a sophomore complained, "I almost left this place one night when my roommate, after a binge on Oreos and beer, threw up all over the bathroom floor and left it there for six hours before he cleaned up."[8]

Crude and careless behavior notwithstanding, most students not only adapt but also make some of their best friends in campus housing. A senior about to graduate commented, "I have lived in the tin cans for four years. They are noisy, they are old, the showers are a mess, and it's hard to study there, but I wouldn't want to move for anything in the world. The social life is absolutely great."[9]

In most of the residence halls we visited, rules prohibit disorderly conduct and the use of illicit drugs (which isn't to say they don't occur), but otherwise students may do pretty much as they please.

If there is one regulation that raises the ire of students everywhere, it is visitation restrictions, though these rules, if there are such, are often unenforced. In the men's dorms, according to one male resident, "women come and go at all hours of the day and night." And one woman student told us, "My boyfriend stays all night in my room all the time. My roommate and I just work something out, and she doesn't mind. ... This college needs to get out of the Dark Ages."[10]

On one fairly typical campus, "quiet hours" are in effect from 7 P.M. until 8 A.M. However, loud noise from stereos and parties can be heard at all hours. The director of housing at another college told us that some rooms are "unbelievably filthy," with enough old food, papers, and miscellaneous garbage to be health and fire hazards. Her office has announced that it will begin monthly inspections of dorm rooms. This college also seeks to restrict visits from members of the opposite sex between the hours of midnight and 11 A.M. on weekdays and between 2 A.M. and 10 A.M. on weekends.[11]

College students today take for granted life-styles that twenty years ago might have gotten their parents, when in college, admonished or expelled. Sexual freedom is just assumed. Says a woman dormitory resident at a small college in the Southwest: "Oh sure, they have regulations, but nobody follows them. My freshman year, we had a fire drill in here on the weekend because somebody set a trash can on fire. It was about three in the morning. And from every

single room in the fourth-floor women's wing, a guy came out. Every single room—I'll never forget that!"[12]

Several colleges in our study have rigid rules about student conduct in general and sex in particular. But even at one tiny religious college in the Southeast that explicitly forbids "fornication" as well as "wearing shorts outside of the gym," sexual activity doesn't surprise campus authorities. Says the school's psychologist: "As for sex, there is enough of it. One of our students did a survey that showed there wasn't that much difference in sexual activity between here and the university four miles away. If someone is interested in sex, he can probably find it here."[13]

We found during campus visits that residential living is, in fact, one of the least well-guided aspects of the undergraduate experience. Students are given a room on campus, but frequently they are not prepared for what is too often a casual and sometimes chaotic part of campus life. Personal freedoms are generally unrestricted, and thoughtless actions create difficulty for others. Responsibility for residence hall living has been delegated so far down the administrative ladder that leaders on the campus have little idea about what goes on in these facilities—unless there is a big crisis.

On most campuses residence hall responsibility is "turned over" to student personnel officials and then is delegated again to a Resident Assistant, typically a college student who lives in the dorm and serves as a supervisor and counselor to other students. These "R.A.s" confront daily the realities of dormitory life. Beyond the ordinary, day-to-day hassles, they must deal with accidents, abuse of alcohol, depression, and questions about birth control and abortion. It is a twenty-four-hour job, one that involves not just "keeping order" and finding light bulbs, but becoming deeply involved in shaping the lives of students and helping the college accomplish its most fundamental goals. And yet, on most campuses the president of the college would be hard pressed to name one resident assistant.

Eileen Stewart, an R.A. at a church-related college we visited, said, "I don't seem to get anything done, but I'm busy all the time."

For someone who doesn't get anything done, she has a demanding job: "This is a Christian school and every sort of problem that exists in the world exists here, and most have to do with identity—growing up, and male-female relationships. Because of the size of the school, it's like a family. If I hear one roommate bad-mouthing another, I will call her in for a talk. And if there is a student with a real socialization problem—a loner—I'll help her reach out to others."[14]

Stewart's apartment is right behind the main desk in the lobby of her dorm. Often she has a student talking with her or resting in her living room. "The most important aspect of living in the dorm," she says, "is learning how to give, and how to give up a certain amount of privacy. When I see a student who is upset, or maybe too tired from studying, I tell her to go take a nap on my couch for a few hours. I tell her she'll feel better."[15]

Another college we visited houses R.A.s on each floor. An R.A. whose floor is made up largely of freshman males told us that he sees himself partially as a "lookout" for students who are having trouble fitting in. "The more introverted you are, the harder it can be here. If I see someone like that, I try to approach them, mention things that are going on, maybe invite them to some frat parties."[16]

Not every dormitory has R.A.s as willing to get so involved, nor does every student want that sort of attention. But counseling and guidance pressures often are intense as R.A.s are asked to play parent, big brother or sister, counselor, disciplinarian, and a myriad of other roles—all for room and board.

We find it troubling that college students are given such a weighty assignment when key college administrators, and especially members of the faculty, frequently are far removed from the day-to-day lives of students. We strongly urge that colleges and universities provide intensive workshops for students who agree to serve as resident assistants. We recommend further that R.A.s have mentors who meet with them regularly and supervise their work. We also urge that every campus have appropriate health and psychological

support services available to which students can be referred. Finally, we recommend that resident assistants be reimbursed adequately for their important work.

During campus visits we found that at almost all colleges and universities alcohol is overwhelmingly the drug of choice and the drug of greatest damage. In 1977, half of the college students polled favored decriminalization of marijuana; today the figure is 23 percent.[17] Although the use of marijuana and hallucinogens has decreased significantly in the last decade, the national survey of drug abuse reported that at least 75 percent of the nation's college students drink.[18] According to our survey of undergraduates, 42 percent of the respondents say that alcohol is a problem on the campus (Table 38).

Table 38   Student Assessment of Campus Alcohol Abuse (percent responding)

	All Institutions	Research University	Doctorate-Granting Institution	Comprehensive College	Liberal Arts College
Alcohol abuse is a serious problem on this campus.	42	48	45	38	36

Source: The Carnegie Foundation for the Advancement of Teaching, National Survey of Undergraduates, 1984.

While faculty members and administrators do not mention cocaine in discussing drug use, students do: Several undergraduates described one fraternity whose affluent members routinely spend several hundred dollars a weekend on cocaine and who inflate ticket prices of the spring formal in order to factor in a $15,000 drug budget.[19] Thirty percent of all college students have tried cocaine by the time they have been graduated, according to a study conducted by The University of Michigan for the National Institute on Drug Abuse. The report explained that cocaine use is popular on college campuses because of the drug's availability and the students' underestimation of the drug's danger.[20]

At a prestigious university in the deep South, we were told that

drinking is probably the most popular "unofficial student activity" on campus. A student services dean estimated that between 6 and 10 percent of its undergraduates are alcoholics and in need of serious treatment; another 30 to 40 percent are serious weekend abusers of alcohol.[21]

On another campus, we learned that though the state drinking-age law (nineteen for beer and wine, twenty-one for liquor) is strictly enforced both at campus events and in bars, students say that eighteen-year-olds drink too, usually in their dorm rooms. Federal legislation has resulted in a new state law, raising the drinking age to twenty-one, yet college officials have agreed with students that the change in minimum age has not stopped student drinking, only displaced it.[22]

We found that what to do for those who drink too much has become an urgently discussed issue on most campuses in our study. At one small college in the East, the dean of students and the chaplain said that much of their counseling time is spent with students who have alcohol-related problems. Pushed to the wall by a number of legal and social factors, colleges are being forced to rethink one of college folklore's legends—the boozing, boisterous undergraduate. According to the chaplain, alcohol abuse had been "hushed up" in the past, but last year the college had an "alcohol awareness" week to bring the problem out in the open.[23]

Campus counseling centers have become a vital part of the response to alcohol abuse. The counseling center on one of our site campuses recently hired a Substance Abuse Coordinator, who set up a peer counseling program to deal with both drinking and drug problems. At another institution, the head of the counseling center reports that students with drinking problems are usually sent to him by faculty and staff members or even friends who had spotted the problem. Sometimes, however, students come in on their own when it becomes clear to them that drinking is interfering with their studies.[24]

On other campuses, administrators have decided that the alcohol issue should be ignored or quietly condoned. Says one administrator: "Students are going to drink regardless. We'd rather control and supervise it here than have them drive off campus and maybe end up hurting someone."[25]

A college in a northern state where the legal drinking age is twenty-one still has no regulations about underage drinking in the dorms. When the legal counsel for the college advised the board of trustees of their vulnerability in case of accident, the majority view of the trustees was: "Even if we took a stand, they'd just keep drinking." The president at another college, which had failed even to declare itself on the alcohol question, took this position: "We'd be less liable in the courts than if we were on record with a rule we didn't enforce."[26]

What we found particularly disturbing is the ambivalence college administrators feel about their overall responsibility for student behavior. Most of the college leaders with whom we spoke had an unmistakable sense of unease—or was it anxiety? Many were not sure what standards to expect or require. Where does the responsibility of the college begin and end? Where is the balance to be struck between students' personal "rights" and institutional concerns?

In just thirty years, colleges have gone from being parent to clinician. No one would argue that they can or should return to the days when young women were locked in, when lights were out at 11:00 P.M., and when to be caught with a bottle of beer was to risk suspension or expulsion. But does this mean that there are no standards by which conduct can be measured—or that colleges have no obligations to their students? Unclear about what standards to maintain and the principles by which student life should be judged, many administrators seek to ignore rather than confront the issues.

We found students less confused. In our national survey, about half of today's undergraduates said they support a code of conduct on the campus; at liberal arts colleges it was 60 percent. A slightly higher percentage of undergraduates said that known drug offend-

Table 39 Undergraduate Attitudes Toward Moral Issues on Campus

	All Institutions		Public	Private	Research University	Doctorate-Granting University	Comprehensive College	Liberal Arts College
	1976	1984						
Colleges should provide a code of conduct for students.	NA	48	46	57	44	47	49	60
Undergraduates known to use illegal drugs should be suspended or dismissed.	16	54	53	60	51	52	55	62
Drinking age should be 21 in all states.	NA	59	59	60	51	58	64	64

NA: Not asked.

Source: The Carnegie Foundation for the Advancement of Teaching, National Survey of Undergraduates, 1976 and 1984.

ers should be suspended or dismissed. This is a dramatic increase since 1976. About 60 percent of the students also agreed that the drinking age in all states should be raised to twenty-one (Table 39).

We also heard students say that they would like the college administration to exert more control over boisterous fraternity parties. And several faculty members we talked with have reservations about how well dormitory life supports such important values as civility and academic achievement.

This is not to suggest that students are calling for tight control. The awkward compromise they seek was best captured in an interview that John Millett, former president of Miami University, Oxford, Ohio, had with a young woman at De Paul University, who told him, "We'd like you to understand one thing. We don't want the university to interfere in our lives, but we want someone in the university to be concerned with our lives."27

Lloyd Averill, in his book *Learning to Be Human*, perceptively notes a permanent truth about the human condition: A community is not just a collection of individuals. He cites Edward Shils and Michael Young, who say a community "is, more fundamentally, a group of persons acquiring their significance by their conformity with standards and rules from which they derive their dignity." Within such a community, "there is a recurrent need in men to reaffirm the rightness of the moral rules by which they live or feel they ought to live."28

It is our position that a college needs standards not just in academic matters, but in nonacademic matters, too. Such standards should clarify the expectations of the institution and make rules understandable. More importantly, they also can help to define the character of the college as a learning community.

Standards regarding simple courtesy and the rights of others are good examples. Private space should be respected and honored by peers. Loud noise should not be allowed. Sexism, racism, and religious bigotry are offenses to the dignity of other human beings. They violate everything a college stands for. They are wrong.

Proper conduct also means caring for one's health and being concerned about the well-being of others.

If state laws say alcohol use is illegal for those under twenty-one, colleges should make this fact clearly known to students and affirm that it will support the law rather than ignore it. Such a stand is not only a legal mandate for the college, it is in the interest of the students, too. They need models of courage, not equivocation. In a community of learning, as in any community, we need a sense of order to protect the requirements of all, while still respecting the dignity and rights of individuals.

The goal is not to have a list of unenforceable commandments. Rather, it is to assure that all parts of college life, academic and social, are governed by high standards. The search for values needs to have an open quality, of course. But an educated person, while always searching, is also guided by civility and integrity, by commitments and convictions.

The residence hall cannot stand apart from this challenge. We urge that college presidents become directly involved in the planning and oversight of residential life. The president should receive regular reports on both problems and creative programs inside the residence halls. He or she should meet with R.A.s, visit the residence halls, and make sure the staff is well trained for its heavy responsibilities.

Using residence halls as learning centers has been in practice for many years—at Michigan State, at the University of the Pacific, at Connecticut College, and many others.[29] At the University of Vermont, a Living-Learning Center—a college within a college—houses 580 students, who live and study together. The Center also has faculty apartments, classrooms, and a dining room. Students go on field trips and have special seminars, in addition to their regular course work. An Integrated Humanities Program, run by three faculty members, meets weekly or biweekly in the residence hall.[30]

At Princeton University, a major effort has been made within the last five years to extend the undergraduate program into residence halls and social lounges. To this end, Princeton created five

undergraduate "colleges," whose freshmen and sophomores eat together in units of manageable size, enjoy play and study areas, plan social and academic events, have counseling and guidance services, profit from the presence of selected upperclassmen, invite university professors to meals, and have a distinguished professor as Master, with an office in the college.[31]

The important research of Arthur Chickering has shown that living in residence on campus improves prospects for retention, as well as social and intellectual growth. Resident students have more contact with faculty members, are more involved in student government, and show greater gain in artistic interests, liberalism, and interpersonal esteem than do commuters.[32] At the same time, residents are more likely to become more involved in drug and sexual activity.[33] Educational programs should be developed in the residence halls not only to foster a sense of community, but also to provide an enriching influence.

But not all students live in college housing. Some find private arrangements on their own, whereas others join private clubs, usually fraternities and sororities. The "Greeks" have been viewed as social havens, halfway between the restrictions of the dorm and the anonymity of the rented room. Only 3 percent of the undergraduates live in fraternity or sorority houses[34] and yet they often have a powerful influence on the campus while, paradoxically, creating a separate society that occasionally can result in social and economic and racial and religious barriers.

At one small college in our study, more than half the students are attached to its three fraternities and two sororities. At another, nearly 40 percent of the male students and nearly 50 percent of the women belong to the Greek societies. Admission is highly competitive. Freshman and sophomore women are said to take sorority rush so seriously that resident advisers are prepared to take those who don't receive a bid out to dinner in order to ease their despondency.[35]

At a midwestern state university's urban campus, fourteen groups, divided along racial lines, make up the Greek system: three white and four black sororities, and four white and three black fraternities. There is little interaction between the houses: Black and white groups have no common events, and even a white fraternity and white sorority will join forces only rarely for a party. Panhellenic Council members we talked to agreed that loneliness and alienation as freshmen or transfer students prompted them to join a sorority. One of them described her presorority life by saying, "After class, I'd get in my car and go to work or go home and see my high school friends."[36]

Others suggested that there were additional reasons beyond friendship for joining up. "The dean of education told me it would look good on my résumé," said one. Another suggested that belonging to a sorority or fraternity is academically beneficial because big sisters and brothers are willing to help with tutoring. And the Greek Life adviser admonished members to attend seriously to rush procedures, among other reasons, because "everything you learn here you'll use in the real world. Rush is basically selling yourself, and that's what you'll do when you go out to get a job." Finally, we were told that the national push to raise the drinking age to twenty-one has encouraged some students to join Greek-letter societies to have easier access to alcohol.[37]

At a liberal arts college that prides itself on "community," one student argued that the reason fraternities and sororities have grown in number from eight to fifteen in the past decade is that the college doesn't offer students enough to do on campus. "The biggest blotch this school has is its lack of social life. There are movies, but that's only two hours one night a week. The whole social life centers on frat parties. You find out what the frats are doing this weekend, and you do it."[38]

Occasionally, enlightened projects such as the March of Dimes walkathon and blood drives aid inter-Greek communication and promote campus cooperation. Through sorority and fraternity

membership, students often feel a sense of belonging on an impersonal campus and members often feel responsibility for each other, helping them academically and socially as well. Overall, however, complaints about the divisive effect of the societies on student life persist. One student said to us that his old high school buddies had become "smug and standoffish" since they joined the frats.[39] The life of an independent can be hard.

Fraternities and sororities epitomize a paradox of student life. Some prejudices have been broken down, of course; but others fester. Fraternities and sororities will continue, but college administrators have a special obligation to draw them into the larger community on campus. Recent court rulings make it more difficult for administrators to escape responsibility for the actions of private clubs. An institution committed to liberal learning and human dignity cannot permit arrangements on campus that even indirectly perpetuate prejudice.

Williams College set an example in the 1960s when it abolished fraternities and moved to a residential house system. In 1983, a Commission on Campus Life at Colby College proposed to strengthen the spirit of community on campus. Residential life at Colby had consisted of a centrally operated dormitory system, supplemented by the fraternities. Dormitory life there, as elsewhere, was characterized by a certain rootlessness. Too often, the dorms were not part of a communal setting in which students could plan and share in joint activities, and it was the fraternities that offered an alternative to this anonymity on campus.[40]

The commission concluded that "our current system of anonymous dormitories and insular fraternities falls short of the residential life we would like for Colby. It fails to promote a community which can both reinforce students' sense of themselves and also welcome and incorporate diversity and individuality. It fails to grant all students both the responsibility and the satisfaction of collective control over their environment. We believe the time has come to reor-

One campus in our study has become so sharply divided between residential and commuter students that there is no evidence of activity that brings the two groups together. The vice-president said he is "disturbed" by the image of the institution as a commuter college. "For me that conjures up images of someone coming to campus, using the services here, and then leaving." The situation troubles the president, too, who told a meeting of student leaders: "We've got to get rid of the divided image we have." No solutions were forthcoming.[45]

Student leaders also puzzled over ways to get commuters, many of whom are older, more involved. "Most of the off-campus group couldn't care less about campus life," we were told. But we saw no evidence that efforts to reach them had been made. And on this campus there wasn't even a convenient place for commuters to assemble between classes.[46]

Bringing commuter students into the life of the college is an important and growing obligation. Arthur Chickering reports that students who live at home fall short of the kinds of learning and personal development typically desired by the institutions they attend.[47] But what can institutions do to make commuting students part of a larger community of learning, especially when they are often caught up in complicated schedules?

The most obvious step is to make certain that someone on campus is responsible for assisting nonresidential students. There should be an office where commuters can go to get help, file complaints, and learn about the special programs and services available to them. Beyond counseling, a whole range of possibilities is open. The National Clearinghouse for Commuter Programs, located in Washington, D.C., has identified thirty-seven specific activities for commuters, including information centers, off-campus housing referral, car-pooling assistance, shower facilities, lounges, and special bus service. Other services include child care, specialized meal plans, preferred parking, and overnight facilities.[48]

A college, concerned about community, cannot be unmindful of deep divisions on the campus. And it is in the residence hall arrange-

ganize the structure of residential life so as to approach the ideals of a collegial community."[41]

Colby regrouped its living units, including the former fraternity houses, into four distinct communities, which are called Residential Commons. Each common houses between three hundred and five hundred students, and varies in makeup from four dormitory units to eight. Each common also has: a dining room, adequate social space, at least one Faculty-in-Residence apartment, a group of eight to fifteen Faculty Affiliates, who commit themselves to working with student leaders to develop activities for the common, and new programming monies for social events as well as for speakers, forums, and the like.[42]

The commission concluded: "We are convinced that the Commons system proposed here will provide for all students the kind of residential experience that will most directly reinforce the College's educational mission and will lead to the kinds of growth—intellectual, social and personal—we seek to foster."[43] This is a goal that should guide the residential arrangements on every campus.

There is one final cause of concern: We found during our study a deep division between commuting and residential students. All too often students who commute are in the shadows. Most recreational, social, and cultural activities are geared to serve residential students. An observer at one college in our sample said, "Even more than race or class distinctions, commuter-resident distinctions are evident on this campus." A student newspaper exaggerated the differences only slightly in this caricature:

Commuters talk about their kids. Dorm students talk about how much beer they drank the night before. Commuters dress as if they were going to the office. A dorm student's wardrobe consists of bluejeans, sweatpants and T-shirts. Commuter students have trouble finding a parking space every morning. Dorm students have trouble finding matching socks. When class is over, dorm students attend club meetings, act as campus hosts and hostesses, make posters for special events, play intramural sports and pursue a variety of other activities. Commuters go home. . . .[44]

ments, in the private clubs, and in the way commuters and part-time students are treated that some of the most fundamental values of the college are confronted—or avoided. Separateness in the name of individuality and personal preference may be another name for ignorance and prejudice.

In the context of student living, the challenge of creating an enthusiastic community of learning must be carefully considered. Are living arrangements simply a convenience or do they contribute to collegiate goals? Are commuters simply tolerated because they help pay the bills or are they full partners on the campus? Can a college with dormitory students, commuter students, and fraternity and sorority students find ways to make connections more vital than the separate parts?
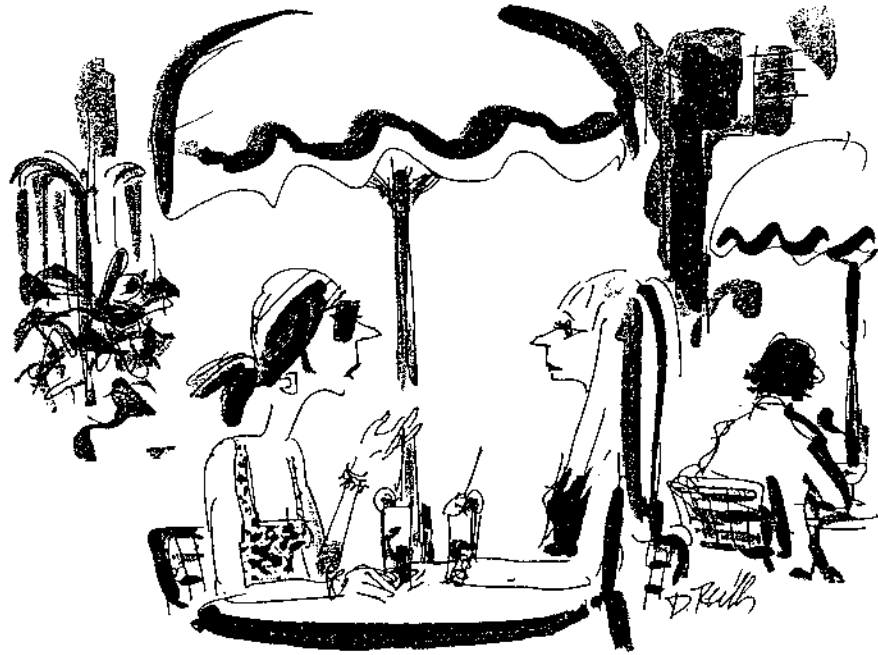
The demonstration of value is an essential aspect of building support among the constituencies of the senior administration of the institution and the external constituencies that include alumni, friends and the community. Assessment practices are among the most intensely developing responsibilities of the academic administrator and leader. An effective program of engagement with societal and professional need is the basis for the cultivation of external sources of support. Demonstrating value leads to being valued.

Demonstrating Value and Cultivating Dreams

Assessment: proving value and demonstrating success.....

Engagement: looking for love in the right places.....

Cultivation: where the dreams are.....

"The jury's still out on Marvin, but I'm running out of alternates."

Assessment: proving value and demonstrating success...

The accountability of an academic program to the University community, the professional community, and to the students continues to increase. This accountability is further extended by the expectations of state legislatures and families that believe in the timeliness and relevancy of a course of study from a consumer's perspective. Because of such intense scrutiny assessment has become a matter of daily attention.

Workshop Agenda:
Developing Measures
Peer Review
Accreditation

Relevant Articles:
Performance-Based Assessment in the Disciplines of Design
NC State University
The Undergraduate Assessment Office
NC State University
The Use of Technology in Managing the Assessment Process
NC State University
Documenting Excellence in Teaching
The Teaching Professor

Source: Drawing by Anthony; © 1988 *The New Yorker Magazine, Inc.* Reprinted with permission.

Engagement: looking for love in the right places.....

The determination of an academic leader to bring continuing relevancy to academic programs is fueled by the ability of the academic community to reach beyond itself into the related professional community and society. This extension of the program begins by the encouragement of good citizenship in the University and in society. It is explored by addressing the issues before the profession and tested by the performance and continued communication with the alumni. It is enriched by outreach into an international context. While the typical design program can not match the funding of a research based academic program it can bring considerable recognition to the University by community based service related learning projects.

Workshop Agenda:
Communication and Good Press
Engaging the Professions, Corporate Partnerships, the Community and Alumni
Building an Alumni Network
The International Program Opportunity

Relevant Articles:
Media Relations
NC State University
Making Outreach Visible
Amy Driscoll and Ernest A. Lynton
The Engaged University
Graham Spanier, President, Penn State University
Renewing the Covenant
Kellogg Commission
The Power of Service Learning
NC State University
Public Service in Academia: Conflicts and Alternatives
Carl Patten
SARUP MENTARCH Program
University of Wisconsin-Milwaukee
Architect / Contractor Roundtable
University of Wisconsin-Milwaukee
Faculty / Practitioner Relations
Bob Greenstreet
Architects of Change
Milwaukee Journal Sentinal
Professional Relations
NC State University
The Design Guild
NC State University
Considering International Programs
Marvin J. Malecha, NC State University
Points for Consideration when Setting-up Offshore Teaching Programs
Laurie Hegvold

Cultivation: where the dreams are.....

Fundraising has become an important part of a Dean's job. Coming from academic backgrounds, the skills necessary to create a development program are necessarily learned on the job and at first may seem onerous – after all, asking people for money is not the most enjoyable task in the world. However, if the emphasis is right – that is, the focus is on the future program/building/scholarships and it is the actual dollars that make it happen – the development of an exciting proposal and its matching to an appropriate donor can be a very rewarding experience. (Bob Greenstreet)

Workshop Agenda:

Friendraising and Fundraising
Developing the Plan
Telling the Story
Making the Ask
Role Play
Donor Maintenance
The Importance of Appreciation
Connecting Planning to Fund Development

Relevant Articles:

Fundraising 101
Jerold Panas, Linzy & Partners

The Tango of Solicitation
Donald Craig

Philanthropy, Self-Fulfillment, and the Leadership of Community Foundations
Joe Lumarda

Fundraising
Roger Schluntz

Prospect Management Guidelines
NC State University

Putting on the Ask
James Conaway

Working with Your Development Office
Ann Sundberg

Ten Questions Every Dean Should Ask
Bronson C. Davis

Popping the Question
Phillip R. Walters

No Chutzpah No Glory
Henry Rosovsky

Tricks of the Trade
Currents Magazine

The Six Essential Steps of a Capital Campaign
David Heetland
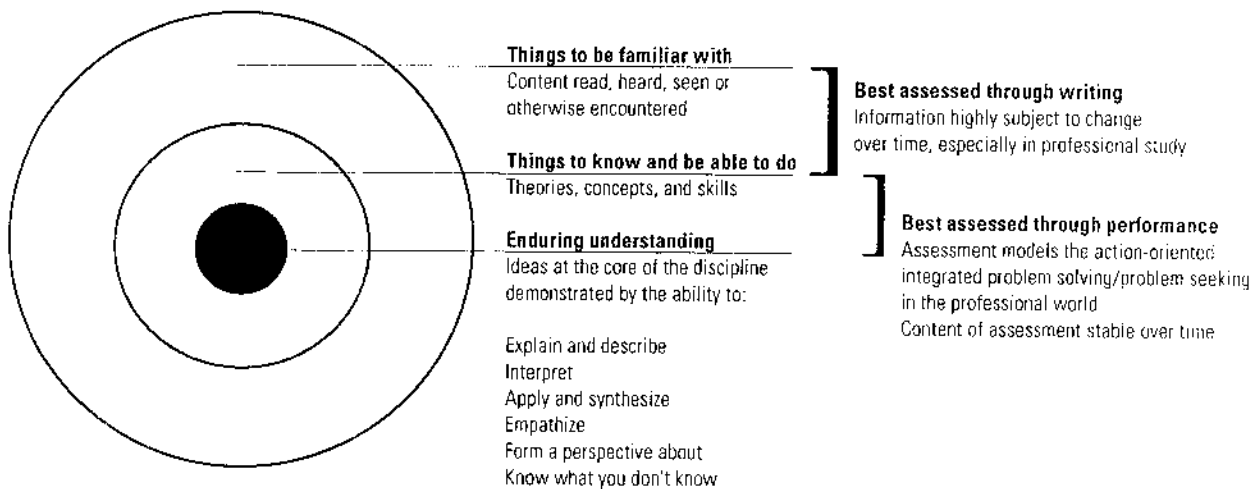
No Chutzpah No Glory
Henry Rosovsky

Final Report
University of Wisconsin-Milwaukee

Performance-based assessment in the disciplines of design

Curriculum and instruction in the design disciplines address three types of content: things we want students to be familiar with; things we want students to know and be able to do; and enduring understanding of the issues that are fundamental to our disciplines. The first two types of content are subject to rapid change in professional practice disciplines. Any curriculum built largely from these types of content could become professionally irrelevant within the span of any assessment cycle. Creative disciplines that respond to constantly changing audiences/users and contexts (physical, intellectural, social, cultural, techno-logical, and economic) must focus their outcomes primarily on enduring understanding, on issues that are at the core of the discipline. These issues are best assessed through *performance* and *artifacts* that are direct evidence of that performance.

Things to be familiar with
Content read, heard, seen or
otherwise encountered

Things to know and be able to do
Theories, concepts, and skills

Best assessed through writing
Information highly subject to change
over time, especially in professional study

Enduring understanding
Ideas at the core of the discipline
demonstrated by the ability to:

Best assessed through performance
Assessment models the action-oriented
integrated problem solving/problem seeking
in the professional world
Content of assessment stable over time

Explain and describe
Interpret
Apply and synthesize
Empathize
Form a perspective about
Know what you don't know

The pedagogy of design education responds to these curriculum and assessment priorities. The educational objectives of the College of Design are delivered through *active, project-based learning* aimed at achieving enduring understanding; students *make things* through an analytical and synthetic process that values many right answers to the same problem and accounts for the subjective contribution of the makers. While some of our courses use selected (multiple choice) and constructed written response (essays) as assessment strategies, it would be inaccurate to say that these courses exemplify curriculum and instruction in design. And to determine student accomplishments resulting from *action-oriented performance to highly-situated problems* primarily through reflective written assessment would not accurately capture the outcomes of this unique education.

If the College of Design is to appropriately measure the outcomes of its curricula, it must do so through *authentic* strategies and instruments that arise from the *performative* nature of our pedagogy and content to be learned.

There are several studies, the most notable being the *Assessment of Design and Technology* (Kimball et al), in which statisti-cally significant correlations have been demonstrated among the assessments of up to eight reviewers of portfolios composed of physical design artifacts. Faculty have experience in this form of assessment and practice it daily. The substantive task for design faculty and administration is to make explicit the rubrics that define basic, proficient, and advanced levels of perfor-mance and to explain adjustments in curriculum and instruction that respond to student outcomes. Workshops and reporting formats, to be useful to the College of Design, must be focused on this task within the context of performance-based assess-ment that does not require the filter of student writing to yield evidence.

MEASURES AND ASSESSMENT IN THE COLLEGE OF DESIGN

MEASURING STUDENT ACHIEVEMENT:

Student performance, instruction, and curriculum in the College of Design present unique challenges for assessment. In disciplines where there are no right or wrong answers and participants are encouraged to explore paths that depart significantly from those proven to be effective, measuring achievement in teaching and learning often seems antithetical to the very nature of the disciplines themselves.

This is not to say that evaluation does not exist in design education. On the contrary, the design process is one of constant assessment. However, the issues inherent in this assessment are direct expressions of the design process and of application of design knowledge in the world outside of the university.

The artifact: A defining characteristic of design is the artifact; the visual, spatial, tactile, temporal, and/or auditory object(s) through which makers think about, define, manipulate, and express a set of relationships among audiences/users, contexts, and form. Users and audiences exhibit meaningful differences that must be accommodated by the artifact. The context has physical, cognitive, cultural, social, economic, and technological dimensions that can be addressed to greater or lesser degrees by the maker's choices about the design of the artifact. Students' recognition of the goodness of fit among these competing priorities is visible in the artifacts they make and such understanding can be evaluated by faculty who have been trained to distinguish among basic, proficient, and advanced performances.

The portfolio: Student performance in design demands assessment over time. Failure is considered a normal part of the learning process. Good students learn from unsuccessful as well as successful solutions to problems and adjust behavior in response to subsequent challenges. Faculty in the College of Design are less concerned with any single moment of excellence than with a progressive record of performance that shows mastery of concepts in more than one context and in a variety of forms. Design students are encouraged to rework solutions, to refine previously critiqued form, and to explore concepts from many perspectives. The portfolio is work accumulated across time, a progresive record of performance and the acquisition of skills and knowledge.

The critique: Students learn to make critical judgments about their work and the work of others through open, peer evaluations in response to well-articulated criteria. Typically, students make oral and visual presentations of their own work that are then evaluated by other students and faculty. Dr. Jack Noonan, former director of the *Center for Teaching Effectiveness* at Virginia Commonwealth University, studied various forms of assessment used in university classrooms. Among all strategies, he found that the design critique was the most effective in shaping student behavior for success; among all students in the university, design students were best able to articulate their "next move" following failure and took responsibility for their own future success.

Each department establishes learning outcomes for each course, each level of the curriculum, and as exit skills expected of graduates. The methods for assessing and informing students of individual performance assessments varies by department.

As an example of measures of student performance, the following framework is used by faculty in the Department of Graphic Design. Students are assigned a number of projects in the typical studio class. Outcomes on individual projects are reflected in in-class critiques and through personal feedback from faculty (written and oral.) However, in midterm and end-of-the-semester evaluations faculty look at the body of work produced over time (portfolio) and provide a more comprehensive evaluation of student performance. This form identifies key skills, knowledge, and attitudes upon which grades are based. ⋅

There are a variety of curriculum assessment forms active in the College of Design. They include:

Faculty portfolio reviews and curriculum retreats - Students assemble portfolios of work in each studio course. These portfolios show process and outcomes of individual assignments (artifacts) undertaken during the semester. Typically, the work of a single class is hung in a gallery or displayed in the classroom. Many of these class displays are reviewed in public, end-of-the-semester reviews by faculty. In some departments, faculty are required to review the work at each level and to discuss their findings in group meetings and curriculum retreats. These assessments address the success of relationships among course components at each level and between levels in the curriculum.

External professional portfolio reviews and juries - On occasion, outside design professionals are invited to critique student work. Usually, a panel of experts address the success and failure of individual student responses and the effectiveness of the particular assignment. Faculty attend these juries and are encouraged to initiate questions. It is not unusual for a discussion between faculty and jury to occur following the review in which strengths and weaknesses of overall class performance are identified.

In some departments, special student conferences and end-of-the-semester events provide opportunities for students to show work to design professionals. As in in-class juries, reviewers attempt to identify overall strengths and weaknesses in respect to professional practice. Feedback from these professionals also takes the form of job offers and requests for recruitment visits to campus.

Student evaluations of instruction - The College of Design assesses courses and instruction in each class, each semester, using a form developed specifically for its courses. The results of this evaluation inform administrative decisions about scheduling and curriculum as well as faculty evaluation.

Senior exit interviews and surveys - The College of Design uses the senior exit surveys and, in some departments, interviews conducted by faculty with graduating seniors to determine student perceptions of courses and curriculum. These are reviewed annually and guide curriculum decisions.

Awards, publications, and competitive scholarships - Departments in the college are active within their respective professional associations and in design competitions and publications. The frequency with which students in the program earn recognition in these venues is one measure of curriculum effectiveness and congruency between educational offerings and the demands of practice. Regionally and nationally competitive awards provide an indicator of how the program ranks among other schools.

Success of students in gaining internships and full-time employment - The frequency and stature of internships and hirings for full-time employment is another measure of program success. In each discipline at any given time, there are design firms and projects that are clearly recognized by the profession as high-level opportunities. While such offices may be unknown to people outside the discipline, there is general consensus among practitioners and educators about the level of work produced in these offices and the competition for employment among students. Academic programs in the College of Design track the employment offers to graduates as one indicator that curriculum is accomplishing what it set out to do.

Success of students in gaining admission to graduate programs - The success of graduates in gaining admission to graduate programs and the stature of programs to which they are admitted are others indicator of program success. Unlike fields where GPA and GRE scores define thresholds for admission, the portfolio is the primary evidence upon which design graduate schools make decisions. When graduates of NC State are successful in this process, it is an indication of curriculum and instructional effectiveness.

Expressions of alumni and employer satisfaction/achievement - The College of Design maintains an active communication network with employers of its graduates and with alumni. While this evidence is anecdotal, comments from alumni regarding confidence in their professional preparation and from employers regarding the usefulness of NC State graduates in achieving the goals of their organization are strong indicators of curriculum effectiveness. In many cases, these comments result in curriculum changes to make instruction more responsive to the professional demands on designers.

Interest from faculty at other institutions - Through professional associations, publications, and contact with alumni, other schools learn about strong programs. In many cases, faculty from other institutions request information about curriculum strategy, to observe classroom instruction, and to provide pedagogical advice from College of Design faculty and administration. In some cases, there are requests to publish curricula as models for other institutions. College of Design faculty also serve on accreditation and curriculum review teams at other institutions, evidence that the leaders of design education value their curricular experiences at NC State.

MEASURING FACULTY PERFORMANCE

The College of Design reviews faculty annually for performance achievements in teaching, scholarship, and service. Each department/school has developed reappointment, promotion, and tenure guidelines that describe appropriate measures of faculty achievement and thresholds of performance by rank. These measures also apply to the annual review of faculty and guide the career development plans that faculty negotiate with administration.

PERFORMANCE MEASURES TRACKED BY UNC GENERAL ADMINISTRATION

Program access -

1. % of NC high school graduates who attend in the fall after graduation
2. % of community college associate degree graduates who enroll after completing their community college degree
3. Annual fundable student credit hours at undergraduate and graduate levels
4. Annual number of degrees conferred -
   Baccalaureate
   Master's
   Doctoral
   First Professional

Instruction -

1. % of sophomores who evaluate overall quality of instruction as either excellent or good
2. *% of graduating seniors who evaluate overall quality of instruction as either excellent or good*
3. *% of alumni who evaluate overall quality of instruction as either excellent or good*
4. *% of graduating seniors who evaluate the quality of instruction in their major as either excellent or good*
5. *% of alumni who evaluate the quality of instruction in their major as either excellent or good*
6. *% of alumni employed full-time who report that they were well prepared by their undergraduate program*
7. % of surveyed graduating seniors who report that they very much or somewhat increased their:
   Writing skills
   Comprehension skills
   Analytical skills
   Computer skills
   Skills in using mathematics
8. *Graduation rates of:*
   First-time full-time freshmen who graduate within 6 years from their original UNC institution
   First-time full-time master's students who graduate within 3 years from their original UNC institution
   First-time full-time doctoral and first professional degree students who graduate within 5 years from their original UNC institution

Academic support and student services -

1. % of graduating seniors who evaluate library services as either excellent or good
2. *% of graduating seniors who evaluate access and service of information technology resources as excellent or good*
3. *% of sophomores who evaluate orientation as either excellent or good*
4. *% of sophomores who evaluate services of the registrar as either excellent or good*
5. *% of graduating seniors who evaluate services of the registrar as either excellent or good*
6. Number of participants in library teaching sessions
7. Number of reference and research questions answered by library and information technology offices
8. Number of contact hours in teaching sessions offered by library and information technology offices

Research -

1. *Number of books, articles, public exhibits, and performances produced by faculty*
2. *Number of proposals for sponsored programs submitted*
3. *Dollar value of proposals submitted*
4. *Number of awards*
5. *Dollar value of awards*
6. *Number of proposals submitted to NC sponsors or that focus benefits on NC residents*
7. *Dollar value of proposals submitted to NC sponsors or that focus benefits on NC residents*
8. *Number of proposals submitted that involve collaboration*
9. *Dollar value of proposals submitted that involve collaboration*
10. *Annual research expenditures*

Public service -

1   *Enrollments in non degree-credit activities offered*
2   *Ratio of non-state to state funds generated by public service institutes and centers*
3   *Number of participants in campus cultural events*
4   *Number of citizens served by labs and clinics*

Other measures -

1   *Average recentered combined SAT scores of entering freshmen*
2   *% of freshmen in top 20% of their high school class*

Summer term instruction -

1   Number of students served
2   Average credit hours per student

General institutional support -

1   Expenditures for remedial instruction
2   Completed applications from freshmen and transfer students

Instruction Assessment

Department:

Assessment strategy	Frequency	Use of results
Student evaluations of instruction	S / Y / A / O	
Department peer evaluations of instruction	S / Y / A / O	
Review of course syllabi and project briefs	S / Y / A / O	
Department chair classroom observations	S / Y / A / O	
Contributions to curriculum planning/evaluation	S / Y / A / O	
Curricular/course innovation	S / Y / A / O	
Testimony from alumni	S / Y / A / O	
Authored publications on teaching	S / Y / A / O	
Non-credit teaching	S / Y / A / O	
Funded proposals for instructional innovation	S / Y / A / O	
Unfunded proposals for instructional innovation	S / Y / A / O	

Frequency of data collection
S - assessment conducted each semester
Y - assessment conducted each year
A - assessment conducted on accreditation/tenure-promotion cycle
O - other

Assessment evidence
Faculty career development plans
Faculty annual reports
Department chair annual written evaluations of faculty
Department chair classroom observation notes
Summaries of student evaluations of instruction
Sophomore, graduating student, and alumni surveys ·

Curriculum Assessment

Program:

Assessment strategy	Frequency	Use of results
Attrition/retention rates	S / Y / A / O	
Graduation rate	S / Y / A / O	
Student performance on projects and in portfolios	S / Y / A / O	
Student performance on written tests	S / Y / A / O	
Student performance in oral presentations/critiques	S / Y / A / O	
Faculty discussions at curriculum retreats	S / Y / A / O	
External professional review of student work	S / Y / A / O	
Student evaluations of instruction	S / Y / A / O	
Senior exit interviews/surveys	S / Y / A / O	
Student achievement in earning awards, publications, and competitive scholarships	S / Y / A / O	
Student success in gaining internships and full-time employment upon graduation	S / Y / A / O	
Expression of alumni and employer satisfaction	S / Y / A / O	
National interest in departmental programs	S / Y / A / O	

Year of last accreditation review:

Frequency of data collection:
S - assessment conducted each semester
Y - assessment conducted each year
A - assessment conducted on accreditation cycle
O - other

Assessment evidence

Faculty career development plans
Faculty annual reports
Department chair annual written evaluations of faculty
Summaries of student evaluations of courses
Notes from curriculum retreats

Notes from portfolio reviews
Notes from conversations with alumni and employers
Notes from exit interviews
Student and alumni surveys (sophomore, graduating senior, alumni)
Documentation of awards, publications, hirings, etc.

Research Assessment

Department: _____

Assessment strategy	Frequency	Number	Level	# People impacted
Public exhibition of faculty work	S / Y / A / O		L / R / N / I	
Reproduction of faculty work	S / Y / A / O		L / R / N / I	
Commissioned/collected works	S / Y / A / O		L / R / N / I	
Professional competitions won	S / Y / A / O		L / R / N / I	
Service on panels or juries	S / Y / A / O		L / R / N / I	
Lectures/invitations to present	S / Y / A / O		L / R / N / I	
Authored publications/juried	S / Y / A / O		L / R / N / I	
Authored publications/not juried	S / Y / A / O		L / R / N / I	
Editorial boards/proposal reviews	S / Y / A / O		L / R / N / I	
Citations	S / Y / A / O		L / R / N / I	
Client testimony	S / Y / A / O		L / R / N / I	
Funded proposals	S / Y / A / O		L / R / N / I	
Unfunded proposals	S / Y / A / O		L / R / N / I	

Dollar value of funded proposals: _____

Number of NC State University students involved: _____

Patents or technology transfer: _____

New programs established outside the university: _____

Frequency of data collection
S - assessment conducted each semester
Y - assessment conducted each year
A - assessment conducted on accreditation cycle
O - other

Level of impact
L - Local
R - Regional
N - National
I - International

Assessment evidence
Faculty career development plans
Faculty annual reports
Department chair annual written evaluations of faculty
Faculty documentation of achievement (ex. exhibition or publication reviews)
Summary narratives of faculty/departmental research proposals (funded and unfunded)
Research expenditures

Engagement Assessment

Department: _____

Assessment strategy	Frequency	Number	Level	# People impacted
Outside requests for faculty/student participation	S / Y / A / O		L / R / N / I	
Community assistance				
K-12 education				
Design services				
Visualization services				
Other (describe)				
Lectures/invitations to present on engagement	S / Y / A / O		L / R / N / I	
Authored publications on engagement/juried	S / Y / A / O		L / R / N / I	
Authored publications on engagement/ not juried	S / Y / A / O		L / R / N / I	
Engagement work featured in publications	S / Y / A / O		L / R / N / I	
Engagement recipient testimony	S / Y / A / O		L / R / N / I	
Collaboration with other departments/institutions	S / Y / A / O		L / R / N / I	
Funded proposals	S / Y / A / O		L / R / N / I	
Unfunded proposals	S / Y / A / O		L / R / N / I	

Total dollar value of funded proposals: _____

Total number of NC State University students involved: _____

Total number of participants: _____

New programs established outside the university: _____

Frequency of data collection
S - assessment conducted each semester
Y - assessment conducted each year
A - assessment conducted on accreditation cycle
O - other

Level of impact
L - Local
R - Regional
N - National
I - International

Assessment evidence
Faculty career development plans
Faculty annual reports
Department chair annual written evaluations of faculty
Faculty documentation of achievement

Summary narratives of faculty/departmental engagement
proposals (funded and unfunded)
Attendance records/publicity for non-degree programs and events

Department assessment map

Demonstrating Value and Cultivating Dreams   11

2000-2001	2001-2002	2002-2003	2003-2004	2004-2005	2005-2006

DRAFT

Assessment Map / School of Architecture
(Touchpoints for planning and data collection)

● University/college level curriculum evaluation activities

Accreditation – Review of undergraduate and graduate programs (six-year cycle).

Administrative retreats – Planning and evaluation that focuses on coordination of curriculum and standard issues across the college (May).

Admissions – College engages in departmentally-controlled admissions process at the undergraduate and graduate levels. Includes academic essays, reviews and portfolio to admit the best-qualified students. An admissions committee conducts the review process.

▲ Department-level curriculum evaluation activities

Annual report of faculty – Faculty file annual reports detailing instructional and curricular contributions as well as career development plan, self-assessment, and statement of annual expectations (May).

Retreats – School conducts fall and winter retreats to assess its progress and for future planning (May).

Faculty council – Full-time faculty meet weekly throughout the academic year.

▼ Department-level instructional evaluation activities

RRPT/post-tenure reviews – Required evaluation of faculty.

Annual report of department – School identifies changes in strategic emphasis, new curriculum objectives and focus, and focus for curricular attention in coming year (May).

Course planning – School identifies curricular challenges and integrates them in college planning process.

General administrative surveys – School participates as sophomore and senior surveys. Spring senior survey response rate is 90%+ and is achieved through regular encouragement to respond through capstone courses.

Undergraduate curriculum review – School curriculum is continuously assessed by curriculum review committee.

Annual NAAB (National Architectural Accreditation Board) report.

● Ongoing evaluation activities conducted during any given semester

Demonstrating Value and Cultivating Means

Alumni feedback.

Professional feedback – "Friends of the School of Architecture."

Exhibits of student work in college and outside activities.

Requests to engage students in sponsored projects, commissions, extension activities, and instructional responsibilities.

Responses from visiting presenters and critics.

Student awards.

Student evaluations of instruction –
Students complete individual evaluations on each class, which are reviewed by the director and discussed with faculty. Issues identified through course evaluations are brought to faculty meetings for discussion/action (December and May).

Final project presentations –
Final presentations by students who have elected to do a final project (May).

Student critiques –
Ongoing evaluation of student performance through public presentations.

	2000-2001	2001-2002	2002-2003	2003-2004	2004-2005	2005-2006
	● GA Surveys	● GA Surveys	● GA Surveys	● GA Surveys	● GA Surveys	● GA Surveys
	● Administrative retreat	● Administrative retreat	● Administrative retreat	● Administrative retreat	● Administrative retreat	● NAAB accreditation visit
	● School retreat	● School retreat	● School retreat	● School retreat	● Administrative retreat	● Administrative retreat
	● Admissions	● Admissions	● Admissions	● Admissions	● Admissions	● School retreat
	● Annual report (School)	● Annual report (School)	● Annual report (School)	● Annual report (School)	● Annual report (School)	● Admissions
	● Compact planning	● Compact planning	● Compact planning	● Compact planning	● Compact planning	● Annual report (School)
	● GA Surveys	● GA Surveys	● GA Surveys	● GA Surveys	● GA Surveys	● Compact planning
	● NAAB annual report	● NAAB annual report	● NAAB annual report	● NAAB annual report	● NAAB annual report	● GA Surveys
						● NAAB annual report
	▲ Graduate final project reviews	▲ Annual report by faculty	▲ Annual report by faculty	▲ Annual report by faculty	▲ Graduate final project reviews	▲ Annual report by faculty
	▲ Graduate presentations	▲ Graduate final project reviews	▲ Graduate final project reviews	▲ Graduate final project reviews	▲ Graduate presentations	▲ Graduate final project reviews
	▲ Grad final project proposals	▲ Graduate presentations	▲ Graduate presentations	▲ Graduate presentations	▲ Grad final project proposals	▲ Graduate presentations
	▲ Studio final critiques	▲ Grad final project proposals	▲ Student final critiques	▲ Student final critiques	▲ Studio final critiques	▲ Grad final project proposals
		▲ Student final critiques				▲ Studio final critiques
	▼ Course planning	▼ Course planning	▼ RRPT	▼ RRPT	▼ RRPT	▼ Course planning
	▼ Student evaluations of instruction	▼ Student evaluations of instruction	▼ CRTF	▼ CRTF	▼ CRTF	▼ Student evaluations of instruction
	▼ Student critiques	▼ Student critiques	▼ Course planning	▼ Course planning	▼ Course planning	▼ Student critiques
			▼ Student evaluations of instruction	▼ Student evaluations of instruction	▼ Student evaluations of instruction	
			▼ Student critiques	▼ Student critiques	▼ Student critiques	

9/3/03

Curriculum Assessment

Program: ARCHITECTURE

Assessment strategy	Frequency	Use of results
Attrition/retention rates	S / Y / A / O	
Graduation rate	S / Y / A / O	
Student performance on projects and in portfolios	S / Y / A / O	
Student performance on written tests	S / Y / A / O	
Student performance in oral presentations/critiques	S / Y / A / O	
Faculty discussions at curriculum retreats	S / Y / A / O	
External professional review of student work	S / Y / A / O	
Student evaluations of instruction	S / Y / A / O	
Senior exit interviews/surveys	S / Y / A / O	
Student achievement in earning awards, publications, and competitive scholarships	S / Y / A / O	
Student success in gaining internships and full-time employment upon graduation	S / Y / A / O	
Expression of alumni and employer satisfaction	S / Y / A / O	
National interest in departmental programs	S / Y / A / O	

Year of last accreditation review: ⸺

Frequency of data collection:

S - assessment conducted each semester
Y - assessment conducted each year
A - assessment conducted on accreditation cycle
O - other

Assessment evidence

Faculty career development plans
Faculty annual reports
Department chair annual written evaluations of faculty
Summaries of student evaluations of courses
Notes from curriculum retreats

Notes from portfolio reviews
Notes from conversations with alumni and employers
Notes from exit interviews
Student and alumni surveys (sophomore, graduating senior, alumni)
Documentation of awards, publications, hirings, etc.

Bachelor of Environmental Design in Architecture
School of Architecture

Educational objectives/performance standards:

Levels of accomplishment -

Awareness - familiarity with specific information, including facts, definitions, concepts, rules, methods, processes, or settings. Students can correctly recall information without necessarily being able to paraphrase or summarize it.
Understanding - assimilation and comprehension of information. Students can correctly paraphrase or summarize information without being able to relate it to other materials or see its fullest implications.
Ability - skill in relating specific information to the accomplishment of tasks. Students can correctly select the information that is appropriate to a situation and apply it to the solution of specific problems.

1   Verbal and writing skills - *ability* to speak and write effectively on subject matter contained in the professional curriculum

2   Graphic skills - *ability* to employ appropriate representational media, including computer technology, to convey essential formal elements at each stage of the programming and design process.

3   Research skills - *ability* to employ basic methods of data collection and analysis to inform all aspects of the programming and design process.

4   Critical thinking skills - *ability* to make a comprehensive analysis and evaluation of a building, building complex, or urban space.

5   Fundamental design skills - *ability* to apply basic organizational, spatial, structural, and constructional principles to the conception and development of interior and exterior spaces, building elements, and components.

6   Collaborative skills - *ability* to identify and assume divergent roles that maximize individual talents, and to cooperate with other students when working as members of a design team and in other settings.

7   Human behavior - *awareness* of the theories and methods of inquiry that seek to clarify the relationships between human behavior and the physical environment.

8   Human diversity - *awareness* of the diversity of needs, values, behavioral norms, and social and spatial patterns that characterize different cultures, and the implications of this diversity for the societal roles and responsibilities of architects.

9   Use of precedents - *ability* to provide a coherent rationale for the programmatic and formal precedents employed in the conceptualization and development of architecture and urban design projects.

10   Western traditions - *understanding* of the western architectural canons and traditions in architecture, landscape, and urban design, as well as the climatic, technological, socioeconomic, and other cultural factors that shave shaped and sustained them.

11   Non-western traditions - *awareness* of the parallel and divergent canons and traditions of architecture and urban design in the non-western world.

12   National and regional traditions - *understanding* of the national traditions and the local regional heritage in architecture, landscape, and urban design, including vernacular traditions.

13   Environmental conservation - *understanding* of the basic principles of ecology and architects' responsibilities with respect to environmental and resource conservation in architecture and urban design.

14   Accessibility - *ability* to design both site and building to accommodate individuals with varying physical abilities.

15   Site conditions - *ability* to respond to natural and built site characteristics in the development of a program and design of a project.

16   Formal ordering systems - *understanding* of the fundamentals of visual perception and the principles and systems of order that inform two- and three-dimensional design, architectural composition, and urban design.

17   Structural systems - *understanding* of the principles of structural behavior in withstanding gravity and lateral forces, and the evolution, range, and appropriate applications of contemporary structural systems.

18   Environmental systems - *understanding* of the basic principles that inform the design of environmental systems, including acoustics, lighting and climate modification systems, and energy use.

19   Life-safety systems - *understanding* of the basic principles that inform the design and selection of life-safety systems in buildings and their subsystems.

20   Building envelope systems - *understanding* of the basic principles that inform the design of building envelope systems.

21   Building service systems - *understanding* of the basic principles that inform the design of building service systems, including plumbing, electrical, vertical transportation, communication, security, and fire protection systems.

22   Building systems integration - *ability* to assess, select, and integrate structural systems, environmental systems, life-safety systems, building envelope systems, and building service systems into building design.

23   Legal responsibilities - *understanding* of architects' legal responsibilities with respect to public health, safety, and welfare; property rights; zoning and subdivision ordinances; building codes; accessibility and other factors affecting building design, construction, and architecture practice.

24   Building code compliance - *understanding* of the codes, regulations, and standards applicable to a given site and building design, including occupancy classifications, allowable building heights and areas, allowable construction types, separation requirements, occupancy requirements, means of egress, fire protection, and structure.

25   Building materials and assemblies - *understanding* of the principles, conventions, standards, applications, and restrictions pertaining to the manufacture and use of construction materials, components, and assemblies.

26   Building economics and cost control - *awareness* of the fundamentals of development financing, building economics, and construction cost control within the framework of a design project.

27   Detailed design development - *ability* to assess, select, configure, and detail as an integral part of the design appropriate combinations of building materials, components, and assemblies to satisfy the requirements of building programs.

28   Technical documentation - *ability* to make technically precise descriptions and documentation of a proposed design for purposes of review and construction.

29   Comprehensive design - *ability* to produce an architectural project informed by a comprehensive program, from schematic design through the detailed development of programmatic spaces, structural and environmental systems, life-safety provisions, wall sections, and building assemblies, as may be appropriate; and to assess the completed project with respect to the program's design criteria.

30   Program preparation - *ability* to assemble a comprehensive program for an architecture project, including an assessment of client and user needs, a critical review of appropriate precedents, an inventory of space and equipment requirements, an analysis of site conditions, a review of the relevant laws and standards and an assessment of their implications for the project, and a definition of site selection and design assessment criteria.

31   The legal context of architecture practice - *awareness* of the evolving legal context within which architects practice, and other the laws pertaining to professional registration, professional service contracts, and the formation of design firms and related legal entities.

32   Practice organization and management - *awareness* of the basic principles of office organization, business planning, marketing, negotiations, financial management, and leadership, as they apply to the practice of architecture.

33   Contracts and documentation - *awareness* of the different methods of project delivery, the corresponding forms of service contracts, and the types of documentation required to render competent and responsible professional service.

34   Professional internship - *understanding* of the role of internship in professional development, and the reciprocal rights and responsibilities of interns and employers.

35   Architects' leadership roles - *awareness* of architects' leadership roles from project inception, design, and design development to contract administration, including the selection and coordination of allied disciplines, post-occupancy evaluation, and facility management.

36   The context of architecture - *understanding* of the shifts which occur - and have occurred - in the social, political, technological, ecological, and economic factors that shape the practice of architecture.
37   Ethics and professional judgment - *awareness* of the ethical issues involved in the formation of professional judgments in architecture design and practice.

Research Assessment

Department: ARCHITECTURE

Assessment strategy	Frequency	Number	Level	# People impacted
Public exhibition of faculty work	S / Y / A / O		L / R / N / I	
Reproduction of faculty work	S / Y / A / O		L / R / N / I	
Commissioned/collected works	S / Y / A / O		L / R / N / I	
Professional competitions won	S / Y / A / O		L / R / N / I	
Service on panels or juries	S / Y / A / O		L / R / N / I	
Lectures/invitations to present	S / Y / A / O		L / R / N / I	
Authored publications/juried	S / Y / A / O		L / R / N / I	
Authored publications/not juried	S / Y / A / O		L / R / N / I	
Editorial boards/proposal reviews	S / Y / A / O		L / R / N / I	
Citations	S / Y / A / O		L / R / N / I	
Client testimony	S / Y / A / O		L / R / N / I	
Funded proposals	S / Y / A / O		L / R / N / I	
Unfunded proposals	S / Y / A / O		L / R / N / I	

Dollar value of funded proposals:

Number of NC State University students involved:

Patents or technology transfer:

New programs established outside the university:

Frequency of data collection
S - assessment conducted each semester
Y - assessment conducted each year
A - assessment conducted on accreditation cycle
O - other

Level of impact
L - Local
R - Regional
N - National
I - International

Assessment evidence
Faculty career development plans
Faculty annual reports
Department chair annual written evaluations of faculty
Faculty documentation of achievement (ex. exhibition or publication reviews)
Summary narratives of faculty/departmental research proposals (funded and unfunded)
Research expenditures

Engagement Assessment

Department: ARCHITECTURE

Assessment strategy	Frequency	Number	Level	# People impacted
Outside requests for faculty/student participation	S / Y / A / O		L / R / N / I	
Community assistance				
K-12 education				
Design services				
Visualization services				
Other (describe)				
Lectures/invitations to present on engagement	S / Y / A / O		L / R / N / I	
Authored publications on engagement/juried	S / Y / A / O		L / R / N / I	
Authored publications on engagement/ not juried	S / Y / A / O		L / R / N / I	
Engagement work featured in publications	S / Y / A / O		L / R / N / I	
Engagement recipient testimony	S / Y / A / O		L / R / N / I	
Collaboration with other departments/institutions	S / Y / A / O		L / R / N / I	
Funded proposals	S / Y / A / O		L / R / N / I	
Unfunded proposals	S / Y / A / O		L / R / N / I	

Total dollar value of funded proposals: _____

Total number of NC State University students involved: _____

Total number of participants: _____

New programs established outside the university: _____

Frequency of data collection
S - assessment conducted each semester
Y - assessment conducted each year
A - assessment conducted on accreditation cycle
O - other

Level of impact
L - Local
R - Regional
N - National
I - International

Assessment evidence
Faculty career development plans
Faculty annual reports
Department chair annual written evaluations of faculty
Faculty documentation of achievement

Summary narratives of faculty/departmental engagement
proposals (funded and unfunded)
Attendance records/publicity for non-degree programs and events

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DRAFT

BEDA / B.Arch. Program Review / School of Architecture

LEARNING OBJECTIVES

Develop basic design, 2-D communication skills, and 3-D physical and computer modeling skills through a series of design studios of increasing complexity.

LEARNING OUTCOMES	MEASURE/DATA TOUCHPOINTS	TIMING FOR ASSESSMENT
ARC 102 **Architectural Design: Fundamentals** – An introduction to architectural design. Analysis of exemplary works of architecture through studies of their functional, material, and perceptual characteristics in drawings and models. Field trips to local buildings and architecture firms.	Drawings and models of completed project(s).	Every Spring in required freshman class.
ARC 201 **Architectural Design: Environment** – Investigation of the relationships between environment and built form. Solar orientation, topography, vegetation, and constructed context in relation to user needs as parameters for justifying design proposals. Particular emphasis on architectural conventions of communication.	Drawings and models of completed project(s).	Every Fall in required design studio.
ARC 202 **Architectural Design: Form** – Investigation of relationships between idea and form. Composition and precedent as parameters for generating, developing, and justifying architectural form. Particular emphasis on electronic media in drawing and modeling.	Drawings and models of completed project(s).	Every Spring in required design studio.
ARC 302 **Architectural Design: Technology** – An investigation of technical systems of building — structure, environmental control/energy, materials, enclosure, and circulation, their fabrication and assembly, and their capacity to affect form and tectonic expression — as fundamental elements of the design process. Particular emphasis on physical models.	Drawings and models of completed project(s).	Every Spring in required design studio.
ARC 400 **Architectural Design** – Studies in architectural design. Projects of many types and scales are employed to investigate issues in architecture. Emphasis on independent exploration of design values and their implications.	Drawings and models of completed project(s).	Every Fall in required design studio.

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LEARNING OBJECTIVES

Employ a range of approaches to develop a final building design project that demonstrates a mature understanding and application of theory, technology and design.

LEARNING OUTCOMES	MEASURE/DATA TOUCHPOINTS	TIMING FOR ASSESSMENT
ARC 402 **Architectural Design: Integration** – The execution of a project in sufficient depth to understand the opportunities and discipline resulting from the inclusion of building technologies, the elaboration of interior space, and the development, representation, and communication of details at a large scale.	Drawings and models of completed project(s).	Every Spring in required design studio.
ARC 500 **Comprehensive Architecture Studio** – A comprehensive and integrative architectural design studio for M.Arch. students involving the execution of a project in sufficient depth to understand the opportunities and discipline resulting from the inclusion of building technologies, the elaboration of interior space, and the development, representation, and communication of details at a larger scale.	Drawings and models of completed project(s).	Every semester in required design studio
ARC 501 **Professional Architecture Studio I** – Design studio investigations aimed at the development of an understanding of the major issues confronting the contemporary architect, and at the expanding of problem solving abilities in architectural design.	Drawings and models of completed project(s).	Every Fall in required design studio.
ARC 502 **Professional Architecture Studio II** – Design investigations aimed at the development of an understanding of the major issues confronting the contemporary architect, and at the expanding of problem solving abilities in architectural design. This is an individualized, final project studio.	Drawings and models of completed project(s).	Every Spring in required design studio.

9/4/03

BEDA / B.Arch. Program Review / School of Architecture

LEARNING OBJECTIVES	LEARNING OUTCOMES	MEASURE/DATA TOUCHPOINTS	TIMING FOR ASSESSMENT
Understand a full range of issues in architectural history and theory. Research and analyze critical examples, issues and/or periods and communicate acquired knowledge in written and visual form.	**ARC 241 History of Architecture –** Introduction to the discipline of architectural history through a study of examples of the built environment (urban planning, buildings, and associated decorative arts) in western and non-western cultures from antiquity to the present day.	Tests and papers	Every Fall in required architecture course
	ARC 242 Topics in American Architectural History – CAF TBD	Tests and papers	Every Spring in required architecture course
	ARC 441 History of Contemporary Architecture – A survey and critical examination of modern architecture from its origins in 19th-century philosophy and technology to the most recent developments in world architecture.	Tests and papers	Every Fall in required architecture course.
Understand a full range of issues in building architecture, technology and performance. Demonstrate competence through design projects, research exercises, and tests.	**ARC 211 Natural Systems and Architecture –** The relationship between natural and architectural systems. Strategies for advantageous use and manipulation of environmental forces and energies. Energy-conscious architectural design and site planning strategies to fulfill thermal comfort parameters	TBD	Every Fall in required architecture course.
	ARC 232 Structures and Materials – Construction materials related to structural applications. Theory of structures and introduction to qualitative analysis. Implications for design. Historical examples and current practices. Laboratory and field trips required.	TBD	Every Spring in required architecture course.

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LEARNING OBJECTIVES

LEARNING OUTCOMES	MEASURE/DATA TOUCHPOINTS	TIMING FOR ASSESSMENT
ARC 331 **Architectural Structures I** – Structural Design Process. Combined role of imposed loads and architectural function in shaping the form of the building. Interaction of elements in structural systems containing beams, columns, trusses, space frames, slabs, arches, vaults, domes, cables, cable networks, fabrics, and diaphragms. Case studies emphasized.	TBD	Every Fall in required architecture course.
ARC 332 **Architectural Structures II** – Structural systems explored through case studies and design projects. Emphasis on interaction of structural elements. Tracing of loads in structural systems. Sizing of tensile elements, columns, trusses, and flexural elements. Design and sizing of joints.	TBD	Every Spring in required architecture course.
ARC 414 **Environmental Control Systems** – Studies in light, heat, moisture, air motion, and sound in architectural environments. Mechanical, electrical and/or electronic equipment for illumination, heating, cooling, ventilation, vertical transportation and communication in buildings. Water and waste, fire protection and safety, and acoustic systems in architecture.	TBD	Every Spring in required architecture course.
ARC 432 **Architectural Construction Systems** – Building construction systems related to architectural design. Historical and current building practices. Implication for design and systems selection. Case studies. Field trips required.	TBD	Every Fall in required architecture course.

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BEDA / B.Arch. Program Review / School of Architecture

LEARNING OBJECTIVES	LEARNING OUTCOMES	MEASURE/DATA TOUCHPOINTS	TIMING FOR ASSESSMENT
Employ a range of visual communication techniques utilizing traditional and digital media.	**ARC 251 Methods of Architectural Representation** – Historical, theoretical, and methodological investigation of architectural representation including: two- and three-dimensional, traditional media and digital media. Technical projects will introduce the traditional methods of architectural representation and emerging digital technologies and the correlating perceptual and emotive effects.	Digital drawings and models of completed project(s).	Every Fall in required architecture course.
Create innovative design solutions to increasingly complex architectural problems that demonstrate the ability to integrate theoretical and technical issues.	**By the end of the sophomore year:** All sophomores will evidence an understanding of formal design strategies and the ability to integrate site and context issues and apply digital media through a series of projects.	End-of-semester reviews of student work.	Fall and Spring semesters. Outcomes discussed at faculty retreat.
	By the end of the junior year: All juniors will evidence the ability to integrate structures, building systems and materials, and environmental control systems through a series of increasingly complex building design projects.	End-of-semester reviews of student work.	Fall and Spring semesters. Outcomes discussed at faculty retreat.
	By the end of the senior year: All seniors will demonstrate the ability to develop mature design solutions to complex architectural design projects that integrate visual communications, digital media, theory and technologies.	End-of-semester reviews of student work. All seniors must apply for admission to the 5th year B.Arch. professional program which includes an extensive portfolio, essays, academic records, and an (optional) interview.	Fall and Spring semesters. Outcomes discussed at faculty retreat.
	By the end of the 5th year: All graduating professional degree students will demonstrate the ability to work independently to develop mature and comprehensive design solutions to complex architectural design projects.	End-of-semester reviews of student work that include participation of professional critics.	Fall and Spring semesters. Outcomes discussed at faculty retreat.

9/4/03

Reappointment, Promotion and Tenure (RPT)

REG05.67.02

Design - Promotion And Tenure Collegiate and Departmental Criteria And Procedures

Authority: Provost and Vice Chancellor for Academic Affairs

History: First Issued, September 12, 1996

Related Policies: Academic Tenure Policy , Promotion and Tenure Departmental Criteria and Procedures

Contact Info:

The following are the policies, procedures, and criteria for review, reappointment, promotion, and tenure of faculty in the College of Design. They are based upon the similar document that was approved by the faculty in 1996, but have been updated to reflect changes instituted at the university level and the academic organization of the College at the beginning of the 2000-2001 academic year *and the beginning of the 2003-2004 academic year.* Based upon the approval of the faculty in the Spring of 2000, the Associate Dean of Academic Affairs will act as the liaison with the Provost's office and the clearinghouse for information regarding these policies, procedures, and criteria. The Associate Dean will also update this document on an as needed basis as changes are instituted at the University, College, School, or Department level.

POLICIES, PROCEDURES, AND CRITERIA FOR REVIEW, REAPPOINTMENT, PROMOTION, AND TENURE

1.0   PROLOGUE

The primary objective of faculty evaluation must be the professional development and fulfillment of each individual faculty member. Decisions regarding faculty reappointment, promotion, and tenure, therefore, are among the most important in the life of an academic community. These decisions are determined on the basis of the performance and record of the faculty member and are considered in an ordered and deliberate review process. The process and its specific criteria are the province of the faculty. The equitable and consistent application of the criteria is the responsibility and duty of the tenured faculty. The dean, school director, department chairs, and other university administrators have a perspective on the process from the standpoint of clarity and adherence of each review to the process, available resources, and contribution of the individual to the college and the university. The character of the institution will emerge from the consistency, fairness, and equity of the review process. Individual faculty performance will vary in content and focus. Each candidate is entitled to clearly articulated expectations and procedures. Tenured faculty are equally entitled to knowledge about the candidate, information about performance, and other pertinent disclosures that a comprehensive process brings forth.

The guidelines that follow describe the process for reviewing faculty within the College of Design. The roles and responsibilities of the candidate, the reviewing faculty, and appropriate administrators are set forth along with sequence of events which articulate the process.

2.0   POLICIES

2.1   University Policies

The basic procedures, policies, and criteria governing review, reappointment, promotion, and tenure decisions have been established by the University and are contained in the "North Carolina State University Tenure Regulations" which have been approved by the *NCState* NCSU Board of Trustees and the UNC Board of Governors. The essential elements of these regulations are set forth in chapters 5 and 6 of the Faculty Handbook (*http://www.ncsu.edu/provost/faculty_handbook/1996).* (As these are periodically updated, reference should be made to the current edition.)

Within *this handbook* these chapters are broad policy statements regarding matters such as non-discrimination, nepotism, and tenure conferral. Also faculty positions are defined as to type, rank, and qualifications. These policies provide a framework for decisions and procedures for review, reappointment, promotion, and tenure of faculty members in the College of Design.

2.2   College, School, and Departmental Policies

Policies, procedures, and criteria established by the College of Design and its School and departments regarding review, reappointment, promotion, and tenure are defined in subsequent sections of this document. They are intended to supplement university policies and regulations, providing specific applications and details appropriate to the disciplines represented in the College within the broadly defined framework set by university policies.

Consistent with the College of Design Faculty Constitution and Bylaws, these policies and procedures have been approved by the college faculty, school and departmental faculties where specific to a school or department, and the Dean.

3.0   PROCEDURES

Procedures outlined in this section describe the principal elements and events of the review process as well as the roles and responsibilities of the various participants in the process - candidate, reviewing faculty, administrators, and others. These procedures, as amplified by referenced appendices, are to be applied consistently and equitably to all cases of review, reappointment, promotion, and tenure in the College of Design.

3.1   Plan for Professional Development Career Development Plan and Statement of Mutual Expectations

The *Plan for Professional Development* Career Development Plan *are* is an essential elements of the process for review, reappointment, promotion, and tenure. It is the responsibility of the individual faculty member to formulate the plan and articulate his or her career goals within the framework of university, college, school and departmental purposes.

It is important to remember that the process leading to review, reappointment, promotion, and tenure begins on the first day of the initial appointment; and the preparation of the *Plan for Professional Development* Career Development Plan *and Statement of Mutual Expectations*, as required during the individual's first year as a tenure-track faculty member, will enable him or her to build a credible case for review, reappointment, promotion, and tenure.

A full description of the concept of the *Plan for Professional Development* Career Development Plan *and Statement of Mutual Expectations*, their its elements, and requisite procedures *are* is set forth *at http://www.ncsu.edu/policies/employment/epa/REG715.00.21.php* in Appendix 5.2.

3.2   Performance Review of Faculty

The major responsibility of the College of Design's academic school and departments is to provide education programs of the highest quality, and the faculty evaluation process is closely linked to this responsibility. Teachers and programs alike cannot remain on the leading edge of professional education unless they are rigorously and objectively evaluated. Teachers cannot remain constructive forces in their field unless they continue to learn and grow. While the process of evaluation ultimately results in judgment related to administrative decisions on review, reappointment, promotion, tenure, and compensation, the positive and constructive dimensions of feedback and guidance must also be given appropriate consideration.

For all these reasons, all members of the College of Design faculty - tenured and tenure-track - are required to undergo periodic performance evaluations as described below.

3.2.1   Tenure-Track Faculty Review Process

* Tenure-track faculty are reviewed on an annual basis.

* The review shall be conducted by the faculty member's School Director or Department Chair and shall focus on the *Plan for Professional Development*Career Development Plan*and the Statement of Mutual Expectations.* (The School Director or Department Chair may involve other school or departmental faculty in the review process if procedures and responsibilities have been clearly defined in writing and approved by the Dean.)

* The School Director or Department Chair shall interview the faculty member and review progress made over the course of the past year towards goals outlined in the *Plan for Professional Development*Career Development Plan *and the Statement of Mutual Expectations..* The faculty member shall provide such additional requested information as may be needed to assure a full and comprehensive review.

* The Department Chair shall provide the faculty member a written evaluation indicating his or her assessment of the faculty member's performance. Areas of concern and guidance as to how performance may be improved or how goals may be accomplished should be noted.

* The faculty member under review shall be afforded an opportunity to respond in writing to the evaluation.

* The evaluation report together with the response shall be made available to the school or departmental tenured faculty and the Dean. The report and response shall also be included in the faculty member's permanent record for reference when future reappointment, promotion, and tenure actions are considered.

* The annual review shall be concluded by the end of the spring semester.

3.2.2   Comprehensive Review of Tenured Faculty (CRTF)

* Tenured faculty submit an annual report and career development plan for review and discussion each year. The school director or department chair conducts the review that follows all the guidelines as described in 3.2.1 for tenure-track faculty.

* A comprehensive review is conducted of all tenured faculty, at least once every five years for professors and at least once every three years for tenured assistant and associate professors.

* Each school and department shall establish a Comprehensive Review Committee (CRC) whose members are selected according to the approved school or departmental guidelines that may be found at www.ncsu.edu/ncsu/provost/academic_affairs/crtf/dept/. The CRC reviews all comprehensive performance reviews to determine if a faculty member meets or does not meet expected levels of performance, as outlined in each school and departmental CRTF guidelines (submitted and approved by provost spring 1999). The review process will follow that described in the Faculty Handbook (details may be found at www.ncsu.edu/provost/fh/profrev.htm).

3.3   Responsible Participants in Reappointment, Promotion, and Tenure Review   Process

3.3.1   Provost and vice-chancellor (hereinafter referred to as Provost)

As the chief academic officer of the NCSU, the Provost has authority in all matters pertaining to the reappointment, promotion, and compensation of faculty in the University. Specific responsibilities and involvement in reappointment, promotion, and tenure review process affecting College of Design faculty are identified in section 3.4.

3.3.2   Dean of the College of Design

As chief administrative and academic officer of the College, the Dean is responsible for formulating, in consultation with the School Director and Department Chairs, recommendations to the Provost on reappointment, promotion, tenure, and compensation for all faculty of the College. The Dean's perspective on all such recommendations, comprising an assessment of resources, commitment to a fair and consistently applied review process, and concern for academic excellence, is articulated in Appendix 5.5.

3.3.3 College of Design RPT Advisory Committee

The Dean shall appoint a College Committee comprised of six persons who are to serve on a three-year rotating basis (two persons to cycle off the committee each year). The committee is to be comprised of full professors with representation from each school and department. This committee is advisory to the Dean. The committee will have for its review all of the same documents that the school, department, and external reviewers have for their review. Each member of this committee is responsible for reviewing all documentation on each candidate before discussion of the candidate, for attending the public presentation of each candidate (barring serious schedule conflicts), and for maintaining confidentiality of the committee's proceedings and discussions. The committee will only conduct business when all members are present.

The written recommendation of the committee will include a report *explaining the full range of the votes cast* on the committee vote as well as brief specific documentation of measurement of the candidate against college criteria in the traditional areas of teaching, research, and service. The written form of this recommendation is to be circulated to and approved by each member of the committee before it is forwarded to the Dean. A copy of the recommendations is to be forwarded by the Dean to the relevant school director or department chair to be shared with the candidate.

3.3.4 School Director or Department Chair

As the chief administrative officer of the school or department, the School director or Department Chair conducts all periodic reviews of faculty performance and manages all reappointment, promotion, and tenure proceedings within the school or department. The School Director or Department Chair's perspective, comprising resource availability, assurance of a consistent and fair review process, and maintenance of the school or department's academic mission, provides a unique position from which to formulate an individual recommendation on all RRPT actions. *In all cases the director or chair submits a seperate recommendations concerning the RPT decision. Recommendations for candidates seeking promotion to full professor must include a statement by the director or chair of the reasons for the timing of the submission.*

The school director or department chair is responsible for guiding each non-tenured faculty member through the process; for giving clear information to the faculty member about progress toward promotion and tenure in each annual review; for assisting the candidate in preparing the document; for notifying all members of the faculty and the RPT Committee of the date and time of the candidate's public presentation; for seeing that promotion and tenure reviews in the school or department proceed on schedule; and for informing the candidate of the recommendations of the School Director or Department Chair, school or department committee, college committee, and the Dean subsequent to each review, *and reviewing the school's or department's RPT committee's written assessment for mistatements of fact..*

3.3.5 School or Departmental RPT Committee

The school or Departmental RPT Committee comprises all tenured faculty for RPT actions, excepting that for promotion to (full) professor. In this one case, the committee membership is limited to the school's or department's (full) professors. The responsibilities of the Committee are to review the candidate's credentials for reappointment, promotion, and/or tenure in the light of university, college, school, and departmental criteria and to formulate a collective recommendation based on majority vote. Written commentary from the committee's deliberations shall be maintained and provided to the School Director or Department Chair. *A written report including the recommendation and explaining the full range of the votes cast will be submitted by the committee to the School Director or Department Chair.*

3.3.6 Candidate

The outcome of any RPT decision is necessarily dependent on the quality of the Candidate's academic performance throughout his or her term of appointment and the quality and thoroughness of the Candidate's credentials submission. As outlined elsewhere, the *Plan for Professional Development and Statement of Mutual Expectations* Career

~~Development Plan~~ provides a formal means for articulating goals and aspirations and documenting professional progress and achievement. Regularly updated, the *Plan for Professional Development and Statement of Mutual Expectations* ~~CDP~~ and other such information as may be stipulated by university, college, school, and departmental policies shall be provided by the Candidate for review at each step in the process.

3.3.7 Students

Student participation in the RRPT process is through course and teaching evaluations which the Candidate is encouraged to utilize as a critical part of his or her credentials submission.

3.3.8 External Reviewers

Evaluations of accomplished scholars who are not a part of the NC State community provide a valuable element in assessing the accomplishments of faculty who are being considered for promotion in rank and for conferral of tenure. These evaluations should be obtained in a manner that assures the involvement of the individuals being reviewed and the academic leadership of the school or department in identifying outside evaluators. Care should be taken to avoid the request of evaluations from individuals who have a close working relationship with the individual being reviewed, but the evaluators must be people of significant expertise and reputation in the fields of the individuals being reviewed. Outside evaluators should be provided with documentary evidence of the individual's accomplishments and asked to comment on the quality, quantity, impact, and creativity of those accomplishments.

These guidelines are provided for use in obtaining outside evaluations:

* Evaluations should be obtained from at least five individuals and from no more than six; all evaluations received should be included in the review dossier (PA-2).

* The faculty member being reviewed should be consulted regarding the identification of evaluators, but no more than half of the evaluations may come from individuals recommended by the faculty member.

* Care should be taken to assure that the outside evaluations supplement, rather than supplant, the judgment of the school or departmental voting faculty.

* Reviewers should be informed that their letters will become part of the personnel file for the individual being reviewed and that, accordingly, they may be examined by the individual.

* Evaluators should be requested to provide an assessment of the quality, quantity, impact and creativity exhibited by the dossier provided to them. The letter should indicate that reviewers should not comment on whether the individual would receive tenure/promotion in the institution of the letter writer nor their opinion about whether the person should be promoted/tenured here. Copies of the reviewers' letters, each accompanied by a brief statement from the school director or department chair stating why the reviewer was selected (brief bio., reputation in the field, ...etc.), should be included in the PA-2 dossier.

External reviewers are required on all cases of reappointment, promotion, and tenure excepting the initial reappointment of an assistant professor.

3.3.9 Mentors

Each School Director and Department Chair is responsible for appointing a full professor to each non-tenured faculty member as a mentor. The mentor is to give guidance, advice, and support to the junior faculty member in the process toward promotion and tenure.

3.4   Schedule for Faculty Review, Reappointment, Promotion, and Tenure

The following schedule establishes target dates for all specific required actions in the reappointment, promotion, and tenure review process. Further, it identifies the party responsible for initiating action or decision at each step in the process. This schedule is based upon the Provost's timetable that requires that the Dean submit each recommendation regarding these matters by February 1.

May 1   School Director or Department Chair to notify all faculty of the procedures and schedule for review.

May 15   School Director or Department Chair to meet with each candidate who is required to be reviewed or who wishes to be reviewed. Purpose of meeting is to make sure each candidate has the latest information regarding criteria, procedures, and schedule from the University, College, School, and Department. Begin discussion to identify external reviewers

August 15

List of external reviewers established with consideration of potential reviewers from candidate and the established University and College criteria.

September 1   **School Director or Department Chair**

to have completed the list of external reviewers who have agreed to perform reviews.

to submit document for distribution to external reviewers.

Document mailed to external reviewers.

September 15   Candidate

to submit complete document for review (PA2 form).

School Director or Department Chair to schedule candidate's public presentation for some time during October.

October 1   **Dean** to have completed appointment of the College RPT Committee.

                         Receipt of comments from external reviewers.

November 1   Completion of review by the **School or Department Senior** Faculty with written recommendation to the **School Director or Department Chair** and **Dean.**

                         Dean to submit multiple copies of all documentation on all candidates to **College's RPT Committee for review (School Director or Department Chair** recommendation to be forwarded on November 15)*.

November 15   Completion of review by the **School Director or Department Chair** with written recommendation to the **Dean.**

January 10   **College's RPT Committee** to submit written recommendation regarding each candidate to **Dean.**

February 1   Dean to submit credentials and recommendations for each candidate to **Provost.**

*Relevant information to be submitted by the Dean to the College's RPT Committee includes: current versions of the University and College, guidelines and procedures; and each candidate's package of information (including external evaluations, supporting materials, and the results of School or Department committee and School Director or Department Chair reviews).

The dates stated above are guides which may need to be adjusted each year to account for weekends, academic holidays, etc.

4.0 DOCUMENTATION AND CRITERIA

The organization and categories for documentation and criteria defined in this section are established by university policy and are outlined in the PA.2 form (see also Appendix 5.1). Specific interpretation of the expectations for each category and item are defined by criteria established by the faculty of the College of Design and are set forth in Appendix 5.3. School and Departmental criteria which supplement college criteria have been developed by faculty in each school and department and are set forth in Appendix 5.4

To be prepared by the individual being reviewed:

I. BRIEF RESUME

A. **Include only Education** (Degrees, Dates, Institutions, Locations), **Professional Experience** (Titles, Organizations, Locations, Dates of Employment), **Scholarly and Professional Honors, Professional Licenses, Professional Society Memberships, and Consulting Activities.**

II. INSTRUCTIONAL CONTRIBUTIONS

A. **Teaching Effectiveness** - List courses taught, with an evaluation of teaching effectiveness, including a summary analysis of student evaluations for the past three years and summary of available peer evaluations.

B. **Scholarly Contributions** - Include listing of original publications on teaching methods, reviewed audiovisual and computer-based educational programs, grants and contracts, textbooks and laboratory manuals.

C. **Instructional Development** - Include innovations in courses and curricula.

D. **Advisory Activities** - Include undergraduate academic advising, graduate committees, postdoctoral student advising, student organizations, special projects with students.

E. **Cross-Disciplinary Activities** - Include graduate program participation, special courses, and curricular development efforts.

F. **Self-assessment** (no more than one page).

III. RESEARCH CONTRIBUTIONS

A. **Scholarly Achievements** - Publications (original research articles and research review articles in peer-reviewed journals, research abstracts, books), invited and uninvited research presentations, appointments or election to study sections and editorial boards.

B. **Recognized Creative and Professional Achievement** - Include publication of creative or professional works, exhibitions, honors, awards, fellowships, prizes, competitions, and other pertinent evidence.

C. **Research Project Record** - Include externally and internally sponsored grants and contracts and unsponsored and independent research and provide funding levels and duration.

D. **Master's and Doctoral Theses Directed.**

E. **Technology Transfer** - Include invention disclosures, patents filed and patents awarded, new cultivars developed and released, major software packages, design patents, and other pertinent evidence.

F. **Cross-Disciplinary Activities** - Include participation in Centers, Institutes, and other organized research efforts between schools or departments within and across colleges.

G.   **Self-assessment** (no more than one page).

IV.   EXTENSION AND PUBLIC SERVICE CONTRIBUTIONS

A.   Scholarly Achievement and Publications - Include lists of refereed publications, brochures, reports, pamphlets, nonrefereed publications, computer software, educational video tapes, slide sets, popular press articles, and other pertinent evidence.

B.   Technology Transfer - Include major accomplishments, program impacts.

C.   Recognized Creative and Professional Achievement - Include exhibitions, honors, awards, prizes, grants and contracts, and other pertinent evidence.

D.   Public Service - Include seminars and meetings arranged, special   intervention programs, workshops, special projects, design assistance, and other pertinent evidence.

E.   **Cross-Disciplinary Activities** - Include contributions to special University-wide initiatives.

F.   **Self-assessment** (no more than one page).

V.   **OTHER CONTRIBUTIONS**

A.   Include University service (department, school, college, and NC State committees), state and regional, and national and international activities and committee work with self assessment.

To be completed by the school director or department chair:

VI.   **OUTSIDE EVALUATIONS**

A.   Include with letters received from external peer evaluators a brief description of the professional background of each of the external peer evaluators, a typical copy of a letter requiring the external peers' evaluation, and a summary of their evaluations of this candidate. See "Use of Outside Evaluation in Promotion and Tenure."

VII.   **SCHOOL OR DEPARTMENTAL ASSESSMENT AND RECOMMENDATION**

A.   **Attach school or departmental voting faculty assessment/summary** (limited to two pages)

B.   **School Director or Department Chair's assessment and recommendation**

To be completed by the dean:

VIII   **COLLEGE ASSESSMENT AND RECOMMENDATION**

A.   **Attach college promotion and tenure committee assessment/summary** (limited to two pages)

B.   **Dean's assessment and recommendation**

5.0   **APPENDICES**

5.1   NC State Form PA-2

5.2   Career Development Plan

5.3   College Criteria for Review, Reappointment, Promotion, and Tenure

5.4   School and Departmental Criteria for Review, Reappointment, Promotion, and Tenure

5.5 Dean's Perspective for Review, Reappointment, Promotion, and Tenure

Appendix 5.1

DOCUMENTATION SUPPORTING THE PROPOSED ACTION (PA-2)

TO BE SUBMITTED TO THE PROVOST AND VICE CHANCELLOR FOR ACADEMIC AFFAIRS

Please Note:

* If any category is not applicable for the recommendation, please

   indicate the number and use the symbols N/A.

* Start each Roman Numeral category on a new page.

* Prepare single sided only.

The PA-2 form is reproduced in this document as **Section 4.0: DOCUMENTATION AND CRITERIA.**

Appendix 5.2

CAREER DEVELOPMENT PLAN

Prologue

A career development program is the responsibility of the individual faculty member. A career development plan should not be construed as a bureaucratic exercise; rather it is a serious attempt to provide the faculty member with an opportunity to assert his or her own prerogatives in career planning. Further, it is an attempt to place emphasis upon reflective activity in the academy. It will serve as a guide for mentoring and a means to assess success.

It should be recognized that some of the elements outlined below may not be within the newly-appointed faculty member's experience and thus will not be included in his or her initial Career Development Plan. These elements will, however, become critical parts of the Plan by the end of the faculty member's first appointment period.

Within this section, the emphasis is placed on documenting behavior patterns and accomplishments to build a comprehensive case for review, reappointment, promotion, and tenure. This is intended to empower the candidate throughout the process and to provide a humane, open and clearly articulated framework for this most critical enterprise.

1.0 Initial Preparation, Updating, and Review

University policy requires that all tenure-track faculty members prepare and periodically update a Career Development Plan. All new faculty must prepare a plan in the first year of appointment, and all current faculty must prepare a plan in academic year 1996-97. Annual updates documenting activities, achievements, and progress towards goals is a normal part of the Faculty Annual Report.

Career Development Plans may be revised at anytime, but new Career Development Plans must be prepared no less frequently than every three years for non-tenured faculty and five years for tenured faculty.

Departments are encouraged to develop and publish formats for documenting Career Development Plans and reporting progress towards attainment of goals. School Directors Department chairs may share responsibility for review and approval of Career Development Plans with departmental senior faculty.

2.0 Career Development Goals

The Career Development Plan must incorporate goals for professional development which forecast the faculty member's career aspirations and focal academic concerns. These goals should be outlined with reference to each of following factors and shall be reviewed and approved by the School Director or Department Chair:

- Goals

- Relevancy (of goals to missions of department, school, college, and university)

- Mechanisms (to be employed in pursuing goals)

- Timetables (for making demonstrable progress towards goals)

- Resources (needed to help attain goals)

Attainment of goals, taking into account established timetables and available resources, represents credible evidence for reappointment, promotion, and tenure considerations.

3.0   Critical Self-Assessment: Building a Case Statement for Review, Reappointment, Promotion, and Tenure

3.1   Demonstrating a Knowledge Base

The faculty member should describe his or her own special area of experience and should document how his or her knowledge base complements the school or department and the institution.

3.2   Demonstrating Comprehension, Analysis, and Synthesis

The faculty member should document the ability to articulate complex concepts through teaching and writing. The faculty member should document attempts to explore new forms of knowledge.

The faculty member should document his/her own work and the work of students which demonstrate the ability to assess alternative opinions and approaches in the creative process and in scholarship.

The faculty member must document the ability to combine experiences and fundamental knowledge into a personally significant opinion which may be shared and defended.

3.3   Demonstrating Application

Creative Activity, Practice, and Research:

The faculty member should assess personal progress in the area of creative activity and/or research. In particular, it is necessary to understand the reflective aspects of such work. Through this work, a personal philosophy and area of strength should be evolving. This is the section where specific research or creative activity should be cited: publications, presentations, exhibitions, designs, and other forms of distribution.

Committee Assignments and Related Activity Within the University:

The faculty member should outline contributions made to the entire life of the institution.

Appointments and Activities Outside of the University:

The faculty member should chronicle contributions to the discipline and/or relationship to, and the impact upon, academic work. This section, as does the creative activity and/or research section, requires an assessment of progress.

3.4   Education

Impact of Contribution:

Demonstrating Value and Cultivating Dreams   33

The faculty member should consider the impacts of his or her contributions upon the larger community of the discipline. Has the body of knowledge of the discipline been advanced? What impact has the work of the faculty member had upon his or her academic life?

Student Evaluations and Teaching:

The faculty member should construct a self-assessment of activity in the classroom, to include specific reference to student evaluations.

Faculty and Peer Evaluations:

The faculty member should document attempts to respond constructively to the comments of faculty colleagues and peers.

4.0   Mentoring and Networking

The establishment of a personal network is a valuable resource for personal development. It is a device to obtain critical reflection upon the work of an individual and the means by which connections may be established to leaders in a specific area of interest. Networking enhances individual development.

The faculty member should seek out specific mentors from the within and outside the faculty to act as advisors. Independent reviewers with recognized expertise are able to assess the progress of the individual with a degree of credibility. The faculty member should be responsible for seeking out mentors and maintaining a constructive relationship with them. Faculty should have at least three mentors, from both on and off campus.

Appendix 5.3

College Criteria for Review, Reappointment, Promotion, and Tenure

Prologue

These criteria define those activities and levels of achievement appropriate for each academic rank. Categories and terminology used in the outline are consistent with the NCSU Form PA-2 (Policy section 4.0 and Appendix 5.1), but the criteria are intended to stipulate expectations in terms suitable for College of Design faculty. It is necessary to refer to the PA-2 form, the appropriate section of Appendix 5.4, and the appropriate section of this Appendix in the preparation of credentials. The criteria outlined are those among which each candidate will find and define his/her qualifications. Each school and department will decide how to apply the criteria.

Attention is called to the distinctions that are made in the College Criteria for each rank. An instructor is to, in general, have potential for achievement. An assistant professor is to have demonstrated abilities. An associate professor is to have recognized abilities. And a full professor is to have an extensive record of distinction and significant contributions.

1.0   INSTRUCTOR

1.I   Brief Resume'

1.I.A   Education. Masters, professional or equivalent degree, or equivalent professional experience.

1.I.B   Professional Experience and Licenses. Teaching and/or professional experience, position titles, and any related licenses held.

1.I.C   Scholarly and Professional Honors. Fellowships, awards, exhibitions, shows, prizes.

1.I.D   Professional Society Memberships. Memberships in professional and related service organizations, elected and appointed offices held.

1.I.E   Consulting Activity. Design projects directed, commissions completed, designs accepted, reports prepared, exhibitions presented, other germane creative activity.

1.II   Instructional Contributions

1.II.A   Teaching Effectiveness. Responsible performance in past teaching assignments, lectures, critiques, etc. Courses taught with student, peer evaluations. Evidence of ability/potential for those without previous teaching experience.

1.II.B   Scholarly Contributions. Publications on instructional theory, subject matter, and methods, or potential to contribute to scholarly discourse on instruction.

1.II.C   Instructional Development. Evidence of ability/potential for innovation in curriculum and/or courses taught, special courses, workshops, special seminars.

1.II.D   Advisory Activities. Evidence of ability/potential for advising. Record of student advising, supervised competitions, special projects, etc.

1.II.E   Cross-Disciplinary Activities. Evidence of ability/potential for participation in cross-disciplinary activities in college, university, and professional arenas.

1.II.F   Self assessment

1.III   Research Contributions

1.III.A   Scholarly Achievements. Participation and/or demonstrated promise in scholarly research endeavors.

1.III.B   Recognized Creative and Professional Achievements. Publication or other appropriate recognitions of commissioned design projects, innovations, inventions, patents, trademarks, copyrights, exhibitions, shows. Fellowships, awards, prizes, etc.

1.III.C   Research Project Record. Record of all sponsored grants and contracts, unsponsored and independent research, and germane creative activity.

1.III.D   Masters or Doctoral Theses Directed. Evidence of ability/potential for those without experience in this area.

1.III.E   Technology Transfer. Evidence of ability/potential for technology transfer in school or departmental and college curricula, and for curriculum development. Technology transfer in professional activities.

1.III.F   Cross-Disciplinary Activities. Evidence of ability/potential for participation in cross-disciplinary projects, commissions as a teacher or practitioner.

1.III.G   Self assessment

1.IV   Extension And Public Service Contributions

1.IV.A   Scholarly Achievements and Publications. Evidence of ability/potential for extension and public service through professional activity. Refereed and non-refereed publications, exhibitions, and related media.

1.IV.B   Technology Transfer. Lectures, seminars, workshops, and exhibitions presented.

1.IV.C   Recognized Creative and Professional Achievement. Evidence of ability/potential for creative and professional activity, publications of creative work, awards, fellowships, exhibitions, prizes, etc.

1.IV.D   Public Service. Evidence of ability/potential in extension and public service. Participation in local, regional affairs where the role and stature of the school or department, college, and profession would be enhanced. Lectures, seminars, workshops, exhibitions related to interests/concerns and programs in the community at-large.

Committee involvement. Design assistance. Elementary college, middle college, and high college lectures, projects, workshops, orientations.

1.IV.E   Cross-Disciplinary Activities. Evidence of ability/potential for participation in college, university, and professional courses, seminars, meetings, workshops, projects, and publications.

1.IV.F   Self assessment

1.V   Other Contributions

1.V.A   University Service. Evidence of ability/potential to contribute in non-teaching activities, responsibilities, committees, etc.

1.V.B   Community Service. Participation through professional and service organizations, or as an individual, in local affairs where the role and stature of the school or department, college and university would be enhanced. Design assistance, lectures, seminars, exhibitions, shows.

1.V.C   Self assessment

2.0   ASSISTANT PROFESSOR

2.1   **Brief Resume'**

2.1.A   Education. Master's, professional or equivalent degree, or equivalent professional experience.

2.1.B   Professional Experience and Licenses. Teaching and/or professional experience, position titles, and any related licenses held.

2.1.C   Scholarly and Professional Honors. Fellowships, awards, exhibitions, shows, prizes.

2.1.D   Professional Society Memberships. Memberships in professional and related service organizations, elected or appointed offices held.

2.1.E   Consulting Activity. Design projects directed, commissions completed, designs accepted, reports prepared, exhibitions presented, other germane creative activity.

2.II   Instructional Contributions

2.II.A   Teaching Effectiveness. Demonstrated responsible performance in past teaching assignments, lectures, critiques, etc. Courses taught with student, peer evaluations. Demonstrated evidence of ability/potential for those without previous teaching experience.

2.II.B   Scholarly Contributions. Publications on instructional theory, subject matter, and methods. Demonstrated ability to contribute to scholarly discourse on instruction.

2.II.C   Instructional Development. Demonstrated evidence of innovation in curriculum and/or courses taught, special courses, workshops, special seminars. Ability/potential to contribute to enhancement of the school's or department's courses, programs, and curricula.

2.II.D   Advisory Activities. Demonstrated ability/potential for advising both at the graduate and undergraduate levels. Record of student advising, including independent study, special courses, supervised competitions, special projects, etc.

2.II.E   Cross-Disciplinary Activities. Demonstrated ability/potential for constructive participation in cross-disciplinary activities in the school or department, college, university and professional arenas.

2.II.F   Self assessment

2.III   Research Contributions

2.III.A   Scholarly Achievements. Demonstrated evidence of scholarly research endeavors in which the candidate has made a contribution. Evidence of potential for independent research and scholarly activity.

2.III.B   Recognized Creative and Professional Achievements. Publication or other appropriate recognitions of commissioned design projects, innovations, inventions, patents, trademarks, copyrights, exhibitions, shows. Fellowships, awards, prizes, etc.

2.III.C   Research Project Record. Record of all sponsored grants and contracts, unsponsored and independent research, and germane creative activity.

2.III.D   Masters or Doctoral Thesis Directed. Demonstrated ability/potential for participation in graduate committee activities and providing constructive guidance in final projects.

2.III.E   Technology Transfer. Demonstrated ability/potential for technology transfer in school or departmental and college courses and curricula, and for curriculum development. Technology transfer in professional activities.

2.III.F   Cross-Disciplinary Activities. Demonstrated ability/potential for participation in cross-disciplinary projects, commissions as a teacher and practitioner.

2.III.G   Self assessment

2.IV   Extension and Public Service Contributions

2.IV.A   Scholarly Achievements and Publications. Demonstrated ability/potential for extension and public service through school or department, college, university, and professional activity. Refereed and non-refereed publications, exhibitions, and related media.

2.IV.B   Technology Transfer. Lectures, seminars, workshops, and exhibitions presented; their significance and program impact.

2.IV.C   Recognized Creative and Professional Achievement. Demonstrated ability/potential for professional creative activity, publications of creative work, work presented at public or professional meetings and/or related school or departmental or college programs. Pertinent awards, fellowships, exhibitions, prizes, etc.

2.IV.D   Public Service. Demonstrated ability/potential in public service activities. Participation in local, regional affairs where the role and stature of the school or department, college, university, and profession would be enhanced. Lectures, seminars, workshops, exhibitions related to interests/concerns and programs in the community at-large. Committee involvement. Design assistance. Elementary college, middle college, high college lectures, projects, workshops, orientations.

2.IV.E   Cross-Disciplinary Activities. Demonstrated ability/potential for constructive participation in college, university, and professional courses, seminars, workshops, meetings, projects, and publications.

2.IV.F   Self assessment

2.V   Other Contributions

2.V.A   University Service. Demonstrated ability/potential and willingness to contribute in non-teaching activities, responsibilities, committees, etc.

2.V.B   Community Service. Participation through professional and service organizations, or as an individual, in local affairs where the role and stature of the school or department, college, and university would be enhanced. Design assistance, lectures, seminars, exhibitions, shows, etc.

2.V.C   Self assessment

2.VI   Outside Evaluations

2.VI.A   Written peer evaluations including the qualifications of the evaluators to provide consultation to the school or department, college, and university (per policy section 3.3.8).

3.0   ASSOCIATE PROFESSOR

3.I   Brief Resume'

3.I.A   Education. Master's degree in related and/or professional field, or equivalent professional experience. Normally holder of highest degree in field.

3.I.B   Professional Experience and Licenses. Teaching and/or professional experience, position titles, and any related licenses held.

3.I.C   Scholarly and Professional Honors. Memberships in scholarly societies. Fellowships, awards, exhibits, shows, prizes.

3.I.D   Professional Society Memberships. Memberships in professional and related service organizations, elected and appointed offices held.

3.I.E   Consulting Activity. Design projects directed, commissions completed, designs accepted, reports prepared, exhibitions presented, other germane creative activity.

3.II   Instructional Contributions

3.II.A   Teaching Effectiveness. Recognized ability and potential for distinction in teaching. Teaching assignments/courses representing responsibility and leadership, with student/peer evaluations and evidence of student performance. Current and potential areas of teaching interests and expertise.

3.II.B   Scholarly Contributions. Refereed publications of scholarly articles, books, scholarly studies, lectures, and panel presentations on instructional theory, subject matter, and methods. Invitations as lecturer, panelist in area(s) of expertise. Pertinent fellowships, awards, exhibitions, shows, prizes, etc.

3.II.C   Instructional Development. Recognized ability and innovation in curriculum development and/or courses taught, special courses, workshops, special seminars. Evidence of constructive contributions to the school's or department's and college's courses, programs, and curricula.

3.II.D   Advisory Activities. Recognized ability in advising at both the graduate and undergraduate levels. Record of supervised independent study, special courses, competitions, special projects, etc.

3.II.E   Cross-Disciplinary Activities. Recognized ability and evidence of constructive participation in cross-disciplinary activities in the school or department, college, university, and professional arenas.

3.II.F   Self assessment

3.III   Research Contributions

3.III.A   Scholarly Achievements. Recognized scholarly research endeavors in which the candidate made significant, constructive contributions. Refereed publications, research presentations, and appointments to research association and editorial boards. Demonstrated ability for directing independent research and/or other scholarly activity. Potential for distinction in research.

3.III.B   Recognized Creative and Professional Achievements. Publication or other appropriate recognitions of commissioned design projects, innovations, inventions, patents, trademarks, copyrights, exhibitions, shows, etc.

Fellowships, awards, honors, prizes, invitations to serve as critic, juror, panelist, and lecturer at professional and academic meetings and events.

3.III.C   Research Project Record. Record of all sponsored grants and contracts, unsponsored independent research, and germane creative activity.

3.III.D   Masters or Doctoral Thesis Directed. Recognized ability for directing graduate committee activities and providing constructive guidance in final projects. Record of committee assignments, including chairs and other roles.

3.III.E   Technology Transfer. Recognized ability for technology transfer in school or departmental and college courses and curricula, and for curriculum development. Technology transfer in professional activities, publication in scholarly journals or other media appropriate to the extension of knowledge in the field.

3.III.F   Cross-Disciplinary Activities. Recognized ability in cross-disciplinary research projects, design commissions, etc. Invitations to serve as critic, juror, panelist, and lecturer in area(s) of expertise.

3.III.G   Self assessment

3.IV   Extension and Public Service Contributions

3.IV.A   Scholarly Achievements and Publications. Recognized ability in extension and public service through school or departmental, college, university, and professional activity. Publication in refereed journals, non-refereed publications, professional journals, exhibitions, and related media.

3.IV.B   Technology Transfer. Lectures, seminars, workshops, exhibitions, courses, and short courses presented; their significance and program impact.

3.IV.C   Recognized Creative and Professional Achievement. Recognized ability for creative and professional activity, publication of creative work, work presented at public or professional meetings and/or related school or departmental, college, or university sponsored programs. Pertinent awards, fellowships, exhibitions, prizes, etc.

3.IV.D   Public Service. Recognized ability in public service activities. Constructive participation in local, regional, national, and international affairs where the role and stature of the school or department, college, university, and profession would be enhanced. Lectures, seminars, workshops, and exhibitions related to interests/concerns and programs in the community at-large. Design assistance. Elementary college, middle college, high college projects, lectures, workshops, orientations.

3.IV.E   Cross-Disciplinary Activities. Recognized contribution to and willing participation in cross-disciplinary college, university, and professional courses, seminars, panels, workshops, meetings, projects, and publications.

3.IV.F   Self assessment

3.V   Other Contributions

3.V.A   University Service. Recognized ability and willingness to contribute to non-teaching activities, responsibilities, committees, etc.

3.V.B   Community Service. Constructive participation through professional and service organizations, or as an individual, in local affairs where the role and stature of the school or department, college, university, and profession would be enhanced. Design assistance, lectures, seminars, workshops, exhibitions, shows, etc.

3.V.C   Self assessment

3.VI   Outside Evaluations

3.VI.A   Five to seven written peer evaluations including the qualifications of the evaluators to provide consultation to the school or department, college, and university (per policy section 3.3.8).

4.0 PROFESSOR

4.I Brief Resume'

4.I.A   Education. Master's degree in related and/or professional field, or equivalent professional experience. Normally holder of highest degree in field.

4.I.B   Professional Experience and Licenses. Teaching and/or professional experience, position titles, and any related licenses held.

4.I.C   Scholarly and Professional Honors. Memberships in scholarly societies. Fellowships, awards, exhibits, shows, prizes.

4.I.D   Professional Society Memberships. Memberships in professional and related service organizations, elected and appointed offices held.

4.I.E   Consulting Activity. Design projects directed, commissions completed, designs accepted, reports prepared, exhibitions presented, and other creative activity which are primary responsibility of candidate and of significant quality. Evidence of primary responsibility or authorship: e.g., associate or principal positions or their equivalent, senior professional office assignment, principal in own firm, etc.

4.II Instructional Contributions

4.II.A   Teaching Effectiveness. Recognized ability and distinction in teaching. Superior rating on student and peer teaching evaluations. Teaching assignments/courses representing leadership roles in the conduct and direction of the instructional programs of the school or department and college. Evidence of student performance. Current and potential areas of teaching interests and expertise.

4.II.B   Scholarly Contributions. Extensive and significant record of refereed publication of scholarly articles, books, scholarly studies, panel presentations, reviews in professional journals or other appropriate media on instructional theory, subject matter, and methods. Invitations as lecturer, panelist in area(s) of expertise. Pertinent fellowships, awards, exhibitions, shows, prizes, etc.

4.II.C   Instructional Development. Distinction and innovation in curriculum development and courses taught, special courses, workshops, special seminars. Record of leadership in the school's or department's and college's courses, programs, and curricula.

4.II.D   Advisory Activities. Recognized ability and distinction in advising at both the graduate and undergraduate levels. Record of supervised independent study, special courses, competitions, special projects, etc. Distinction in directing graduate study and in the role of graduate committee chair.

4.II.E   Cross-Disciplinary Activities. Demonstrated evidence of leadership role in initiating and developing cross-disciplinary activities in school or departmental, college, university, and professional arenas.

4.II.F   Self assessment

4.III Research Contributions

4.III.A   Scholarly Achievements. Extensive record of significant scholarly research endeavors in which the candidate had principal responsibility. Expectation of continued productivity. Refereed publications, research presentations, and appointments to research association and editorial boards. Demonstrated evidence of leadership role in directing independent research and/or other scholarly activity.

4.III.B   Recognized Creative and Professional Achievements. Extensive record of publication or other appropriate recognitions of commissioned design projects, innovations, patents, trademarks, copyrights, exhibitions, shows, etc. Fellowships, awards, prizes, invitations to serve as critic, juror, panelist, and lecturer at significant professional and academic conferences and events.

4.III.C   Research Project Record. Record of all sponsored grants and contracts, unsponsored and independent research, and germane creative activity.

4.III.D   Masters or Doctoral Thesis Directed. Recognized ability and distinguished record in directing graduate committee activities and providing constructive guidance in final projects. Record of committee assignments, including chairs and other roles.

4.III.E   Technology Transfer. Demonstrated leadership role in technology transfer in school or departmental and college courses and curricula, and for curriculum development and innovation. Technology transfer in professional activities, publication in scholarly journals or other media appropriate to the extension of knowledge in the field.

4.III.F   Cross-Disciplinary Activities. Demonstrated leadership role in cross-disciplinary research projects, design commissions, etc. Invitations to serve as critic, juror, panelist, and lecturer in area(s) of expertise.

4.III.G   Self assessment

4.IV   Extension and Public Service Contributions.

4.IV.A   Scholarly Achievements and Publications. Extensive record of significant contributions in extension and public service through school or departmental, college, university and professional activities. Publication in refereed journals, non-refereed publications, professional journals, exhibitions, and related media.

4.IV.B   Technology Transfer. Lectures, seminars, workshops, exhibitions, exhibitions, courses, and short courses presented; their significance and program impact.

4.IV.C   Recognized Creative and Professional Achievement. Distinction in professional creative activity, publication of creative work. Work presented at public or professional meetings and/or related school or departmental, college, or university sponsored programs. Pertinent awards, fellowships, prizes, etc.

4.IV.D   Public Service. Demonstrated leadership role in public service activities. Significant participation in local, regional, national, and international affairs where the role and stature of the school or department, college, university, and profession would be enhanced. Lectures, seminars, workshops, and exhibitions related to interest/concerns and programs in the community at-large. Design assistance. Elementary college, middle college, high college, projects, lectures, workshops, orientations.

4.IV.E   Cross-Disciplinary Activities. Distinguished contributions to and willing participation in cross-disciplinary college, university, and professional courses, seminars, panels, workshops, meetings, projects, and publications.

4.IV.F   Self assessment

4.V   Other Contributions

4.V.A   University Service. Record of willing and constructive contributions in non-teaching activities, responsibilities, committees, etc.

4.V.B   Community Service. Significant community service contributions through professional and service organizations, or as an individual, in local affairs where the role and stature of the school or department, college, university, and profession would be enhanced. Design assistance, lectures, seminars, workshops, exhibitions, shows, etc.

4.V.C   Self assessment

4.VI   Outside Evaluations

4.VI.A   Evidence of national recognition for contributions in teaching, research/creative activity, and/or extension and public service. Written peer evaluations including the qualifications of the evaluators to provide consultation to the school or department, college, and university. (per policy section 3.3.8)

SCHOOL AND DEPARTMENTAL CRITERIA FOR REVIEW, REAPPOINTMENT, PROMOTION, AND TENURE

Note: Criteria specific to individual schools or departments will be incorporated in this appendix upon their adoption by school or departmental faculty and approval by the dean of the College of Design and Provost of the University.

Appendix 5.5

Dean's Perspective for Review, Reappointment, Promotion, and Tenure

The Role of NC State College of Design Dean

1.0   Prologue

This document clarifies the perspective of the Dean of the College related to the evaluation of faculty performance for review, reappointment, promotion and tenure. Such clarification must take into account the varied interests and abilities of the faculty. In every case it is the responsibility of the candidate to build a case of demonstrable evidence, including a teaching portfolio, a body of creative and reflective work, and a network of recognized peers who are able to objectively comment on the progress of the candidate.

2.0   Resource, Personnel Performance, and Progress Review

2.1   School or Department Resource Review

Before deciding on the review, reappointment, promotion, or tenure of a faculty member, the Dean shall meet with the Director of the School or Chair of the Department in question to review the specific faculty needs of the School or Department. This review shall include an assessment of the performance of the candidate with the perspective of the College and School or Department strategic and educational plans.

2.2   School or Department and College Consultations

The Dean may hold a consultation with the tenured faculty of a School or Department to request specific opinions regarding a review, reappointment, promotion, or tenure action. The purpose of this consultation is to provide the Dean with additional information regarding the appropriate course of action.

The Dean may hold a consultation with College RPT Committee to request specific opinions regarding a review, reappointment, promotion, or tenure action. The purpose of this consultation is to provide the Dean with additional information regarding the appropriate course of action.

2.3   Validation of Documentation and Related Committee Findings

The recommendations of all required reviewers must be complete prior to the Dean's assessment. This includes the review and validation of all submitted documentation, a review of the candidate's personnel file, and an assessment of candidate's performance relative to the expectations set forward in the specific School, Department or College criteria, the school or departmental recommendation, the School Director's or Department Chair's recommendation and the recommendation of the College RPT Committee.

2.4   Dean' Assessment

The Dean shall specifically note the role of the candidate in College affairs and assess the contribution of that candidate in curricular, teaching, administrative, or reflective activities.

The Dean shall inform the candidate of the College's and the Dean's recommendation.

The Dean shall make sure that the School Director's or Department Chair's recommendation and the School or Departmental recommendation has been transmitted by the School Director or Department Chair.

The Dean shall inform the School Director or Department Chair and the School or Departmental Committee of the recommendation that is being sent to the Provost.

3.0 Dean's Perspectives

3.1 Dedication to the Instruction and Nurturing of the Human Mind

Teaching is a complex combination of instruction, skills development, advising, and counseling. Ultimately, the individual who dedicates a life to the nurturing of the human mind must be rewarded for that contribution. Teaching in formal and informal situations in the classroom, during office hours, or outside the University must remain the primary measure of the faculty. This shall comprise the first perspective of the Dean.

3.2 Dedication to Reflective Practice and Inquiry

In a professional college, the faculty must continue to make substantive contributions to the body of knowledge of the related design professions, and the academic disciplines. This contribution through design practice, professional activity, research, and the articulation of theory is the essential measure of a vital faculty. This shall comprise the second perspective of the Dean.

3.3 Dedication to the Establishment of a Learning Environment

The faculty perform an important role in the establishment of a learning environment through their willingness to take action in the form of committee work, self-motivated projects, fund development, and the support of activities that promote the life of the community. It is anticipated that the involvement in such activities will be proportionate to the time of service and level of appointment of the individual faculty member. This shall comprise the third perspective of the Dean.

4.0 Candidate and Document Review

4.1 Candidate and Document Review

The Dean shall conduct the review of Department, School, and College criteria annually prior to the initiation of candidate review. This review is intended to insure conformance with University criteria and the consistent application of criteria determined by the faculty of the College of Design.

4.2 Dean's Meeting

The Dean shall meet confidentially with the candidate to review and discuss the progress of the candidate within the College of Design.

RIGHTS AND OBLIGATIONS IN THE COLLEGE OF DESIGN

The College of Design Community is comprised of students, staff, faculty and administration. Each member of the community at any given time operates within a set of relationships: to your own self, to other people, to intellectual property and to the environment. In each context you have rights and freedoms. Along with these rights and freedoms you have obligations.

RIGHTS

- You have the right to be yourself as long as being yourself does no harm to others, to be free from prejudice, and to mature in knowledge and skills.

- You have the right to expect and support a physical and communal learning environment where information is accessible to all and technology is used in the service of learning.

- You have the right to choose learning paths, to access all necessary information and to expect to be in an environment that facilitates your development.

- You have the right to interact with others in the pursuit of education in a supportive environment free from prejudice.

- You have the right to imagine, consider, question, debate, design, make things, study, talk, play, move, display, meet, use computers, other possessions and resources in your pursuit of knowledge.

OBLIGATIONS

- You are obliged to not disturb, harass, interfere with others, or to appropriate their possessions, work or ideas, or in any way to denigrate the environment.

- You are obliged to exercise good judgment, be respectful of one another, develop your potential to its maximum, do hard work to high standards, make high quality products, care for your workspace and the community.

- You are obliged to clean up, to be safe with equipment and services, and to share the responsibility for maintenance and improvement of the community.

- You are obliged to practice sustainability by minimizing the consumption of resources, utilizing non-toxic, renewable, recyclable products, and supporting recycling efforts.

- You are obliged to respect the possessions, work, and ideas of others.

    The context established by the faculty member is the norm for the class academic integrity setting.

    There is a mutual responsibility between faculty and students to both articulate and understand the rules that govern academic integrity in the classroom.

- You are obliged to insist on the equitable distribution of educational resources, including space, equipment and materials.

I have read and understood this document.

_____date_____

Department of Architecture
Comprehensive Review of Tenured Faculty (CRTF)

Preamble

This document presents the implementation process of the NC State University Comprehensive Review of Tenured Faculty (NCSU Faculty Handbook, Item 3 in the "Reviews" section of Chapter 5, (http://www.ncsu.edu/provost/fh/profrev.htm#reviews) in the Department of Architecture, School of Design, North Carolina State University.

As explained in this document the CRTF process follows the steps below:

1. *After reviewing the faculty member's submittal and all other relevant information, the Comprehensive Review Committee (CRC) provides a written assessment to the faculty member and the Department Head.*
2. *The Department Head provides the CRC's assessment, together with the Department Head's assessment, if it is different from the CRC's, to the Dean.*
3. *The Dean provides an acknowledgment of the completion of the review to the Provost and with the Dean's recommendation for any administrative action.*

I. **Statement of Purpose:** The overarching purpose of the CRTF in the Department of Architecture is to serve as an additional means of fostering the Department's mission of educational excellence, including its goal of providing high-quality instruction to its students and contributing to the development of Architecture through scholarship and service. In order to achieve this purpose, the review process should assist individual faculty members in their on-going professional development, in particular in their efforts to enhance their skills as teachers, their accomplishments as scholars, and their contributions to the profession and the public. The CRTF is intended to foster constructive dialogue between colleagues that will be characterized by fairness, mutual respect, a desire to learn, open-mindedness, and appreciation for the importance of academic freedom. The process of review will also serve to enhance a sense of accountability within the Department and the University. The process conforms with the School of Design "Policies, Procedures, and Criteria for Review, Reappointment, and Tenure" approved by the Faculty of the School and the Provost's Office, September 12, 1996. (Within the School of Design, all Faculty are subject to the school wide policies regarding "Policies, Procedures, and Criteria for Review, Reappointment, and Tenure), and the NCSU Faculty Handbook, Chapter 5, Reviews. (http://www.ncsu.edu/provost/fh/profrev.htm#reviews)

II. **Expectations of Faculty Members:** All members of the faculty of the Department of Architecture are expected throughout their careers to maintain the standards of excellence in teaching, scholarship, and service that are set forth in the School of Design's "Policies, Procedures, and Criteria for Review, Reappointment, and Tenure" (see attached copy). Evaluation of performance will take into account changing expectations and evolving contributions at different stages of each faculty member's career.

III. **Schedule for Review:**

A. **Cycle of Review:** The number of faculty members to be reviewed in any given year will be approximately 20% of the number of tenured faculty members. All existing tenured members of the Department's faculty will be reviewed beginning with the 1999-00 academic year (Full Professors in five-year cycles, Associate Professors in three-year cycles). Members of the faculty, who are appointed or promoted to tenured Associate Professor or Full Professor ranks in subsequent years will be brought into the respective cycle of review for the rank, so that they participate in the process of CRTF no later than the number of years their applicable cycle of review dictates after the effective date of tenure or promotion. If necessary, adjustments in the schedule of CRTF will be made to meet the needs of individual faculty members and the institution.

B. **Phase-In of Review Process:** In consultation with the Department's CRC and individual faculty members, the Department Head will develop a proposed schedule for CRTF that assures that all members of the faculty will be reviewed, during a five-year period, beginning with the 1999-00 academic year. The proposed schedule will provide for a distribution of senior, mid-level, and relatively junior faculty members being reviewed each year throughout the five-year period. The actual schedule of the faculty members to be reviewed, during the 1999-00 academic year, will be determined by the Department's senior faculty in consultation with those faculty members being proposed to be reviewed and under guidelines found in NCSU Faculty Handbook, "Reviews" section Chapter 5, (http:www.ncsu.edu/provost/fh/profrev.htm#reviews).

C. **Notice:** Faculty members who will undergo CRTF in any given year, will be advised by the Department Head of the upcoming review, as early as possible, but in no event later than September 1 of the academic year in which the review is to take place.

D. **Relation to Other Forms of Review:** The system of CRTF will supplement, rather than substitute for, other systems of review, including the School of Design "Policies, Procedures, and Criteria for Review, Reappointment, and Tenure"; the School of Design "Faculty Annual Report"; the School of Design annual "Faculty Career Development Plan"; those relating to: tenure and promotion; annual feedback in years prior to tenure; appointment to distinguished chairs, salary determinations; yearly evaluation meetings with the Department Head; or personnel actions taken pursuant to University policies on tenure and promotion; and other matters relating to faculty conduct and performance.

IV. **Process:**

A. **General Principles:** The faculty believes that the CRTF process should be as simple, straightforward, fair, functional and flexible as possible, so that the purposes of the review process are achieved in both an effective and time-efficient fashion.

B. **Obligation of Confidentiality:** All CRTF matters relating to individual faculty members will be regarded as confidential in character. All faculty members, who participate as members of the CRC or otherwise advise on individual cases, are bound to a rule of confidentiality in their deliberations and reports.

C. **Participation by Faculty Member Being Reviewed:** Each faculty member, who is to undergo review in a given year, will take an active role in the CRTF process by assisting with planning, preparing relevant background information, engaging in constructive dialogue with colleagues and the Department Head, and undertaking a new explicit Career Development Plan (if needed) to address deficiencies in performance.

D. **Composition of the CRC and Related Assistance from the Faculty and the Department Head:** Selected members of the Faculty and the Department Head, as an ex-officio member, will serve as the Comprehensive Review Committee provided for under: Comprehensive Reviews of Tenured

Faculty: Item 3 in the "Reviews" section of Chapter 5, http://www.ncsu.edu/provost/fh/profrev.htm#reviews. Working with the faculty member being reviewed, the Department Head and the CRC will arrange for any additional members of the faculty to provide assistance through visiting of classes, reviewing and commenting upon scholarly works. On a year-to-year basis, the senior faculty of the department will determine the composition of the CRC and the faculty to be reviewed at intervals dictated by the CRTF process.

E. Information to be Considered During the CRTF Process: The review process will be conducted in a way that provides the faculty member being reviewed, the Department Head, and the members of the CRC with relevant information concerning the faculty member's accomplishments and plans in the areas of teaching, scholarship and service. Outside letters should not be required in this process. Information to be considered will include, but not be limited to, the following:

1. **Self-Assessment by Faculty Member:** The faculty member being reviewed will prepare a written self-assessment, indicating his or her accomplishments since last CRTF, (and, in the case of the initial review, his or her accomplishments during the period since tenure or promotion to Associate or Full Professor rank); their goals for the next three or five years; and their thoughts on ways in which the School could assist them in their professional development.

2. **Background Information:** The faculty member will also prepare a file that includes a current curriculum vitae; teaching evaluations (that have been maintained on file with the Department Head, since the date completed) and a "teaching portfolio" if desired; scholarly materials completed since the last review (with an indication of the most important materials); information concerning significant professional and public service; and other relevant materials. Peer visitation of classes will be conducted in order to enhance the insights of the faculty (as a whole) about teaching and provide relevant information on the faculty member being reviewed. The Department Head will work with the faculty member being reviewed and the chair of the CRC to arrange for class visitation as deemed appropriate. The Department Head may also provide additional information that may be pertinent, including information developed, during periodic merit reviews and information relating to the faculty member's ongoing work within the institution.

F. Consultation Between Faculty member Being Reviewed, the CRC, and Department Head: As appropriate, the faculty member being reviewed will meet with the CRC and the Department Head in order to discuss teaching, scholarship, service, and other accomplishments. In preparation for such discussions, the committee and the Department Head will carefully read and consider all relevant information concerning the work of the faculty member being reviewed.

G. Determination Regarding Overall Performance: The CRC will advise the faculty member being reviewed and Department Head, whether it believes that the faculty member being reviewed is performing at a satisfactory level or has substantial deficiencies in performance that need to be addressed through revisions to the faculty member's Career Development Plan.

H. Monitoring of Career Development Plan: In the event that the CRC concludes that the faculty member being reviewed has a record of overall performance that reflects substantial deficiencies that need to be addressed, and has recommended revisions in the existing faculty Career Development Plan, the department head and the faculty member being reviewed will meet to develop a revised and more explicit Career Development Plan designed to assist the faculty member in improving performance. The Career Development Plan will include clear goals, indicators of goal attainment, a clear and reasonable time frame for the completion of goals, and a statement of consequences, if the goals are not reached. The performance of a faculty member, who has been found to have substantial deficiencies in overall performance will be reviewed following university guidelines requiring re-assessment by the CRC and the Department Head on an annual basis for a period of up to three years, or until such time as substantial deficiencies have been remedied. In the event that substantial deficiencies in performance continue to exist at the end of the three-year period, the Department Head will consider, whether action should be initiated pursuant to the university Tenure Policies and Regulations or other steps taken to address the substantial deficiencies in performance.

I. Maintenance of Confidential Written Record: The CRC and the Department Head will develop a written summary of the Committee's conclusions and will share that summary with the faculty member being reviewed for comment. The faculty member under review may submit written comments to the Committee and the Department Head in response to the written summary. The Department Head will maintain the Committee's written summary and the response, if any, by the faculty member being reviewed, as part of that faculty member's Confidential Personnel file, along with all background information and other materials used in connection with the review.

J. Recognition of Outstanding Performance: In instances in which the faculty member being reviewed is found to have evidenced outstanding overall performance, the Department Head will endeavor to recognize that performance through appropriate forms of positive recognition, including but not limited to nominations for awards.

V. Appeals and Reports:

A. Appeal of administrative decisions associated with the review or its outcomes is available through the Grievance Procedure for Faculty and EPA Professional Employees (http://www.ncsu.edu/provost/fh/grieve.htm).

B. Annual Reports Filed with the Dean: As provided in the university policy on Comprehensive Review of Tenured Faculty (http://www.ncsu.edu/provost/fh/profrev.htm#reviews), the Department Head will file annual reports to the Dean of the School of Design specifying the names of faculty members reviewed during the previous year, the names of faculty members for whom a revised and more explicit Career Development Plan was recommended and established, a copy of the revised and more explicit Career Development Plan, and the names of faculty members who were subject to review in that year, but for whom a delay was requested (along with the reasons for delay).

VI. Periodic Assessment of Comprehensive Review of Tenured Faculty Process: The Department Head, members of the CRC, and the faculty members who are reviewed, will assess the School's experience with the CRTF process in its first year. The Department Head will report to the faculty no later than September 2000, and in subsequent years as the need arises, regarding any ways in which the process might be improved.

Approvals
Department: 7/27/1999
College:
Office of the Provost:

Department of Landscape Architecture
Comprehensive Review of Tenured Faculty

• Intent of the Department of Landscape Architecture:
A periodic review of all faculty members will enable the faculty in the department to become more aware of their colleagues' scholarly work and teaching. It will also give all faculty members the opportunity to receive constructive comments and criticisms that may be helpful in improving teaching and establishing a more productive approach to scholarship. The review process implements the university provisions for comprehensive review of tenured faculty, found in the Faculty Handbook, Chapter 5 (http://www.ncsu.edu/provost/fh/profrev.htm#reviews).

• Peer Involvement.
Department Policy:
The Department of Landscape Architectures CRC will be composed of all tenured and tenure track faculty in the Department excluding the faculty member being reviewed. The intent is to use this process to facilitate communication among the faculty with regard to each faculty member's scholarly work, teaching and outreach activities.

• Timing of Reviews
Department Policy:
The Department of Landscape Architecture will develop a schedule for reviews making sure that all full professors are reviewed at least once every five years and all tenured associate professors are review at least once every three years. This review process will be phased in over a five-year period beginning with the 1999-00 academic year. The department head will develop before the end of spring semester 1999 a schedule for this phase in period. This phase in schedule will be reviewed and approved by the department's tenured faculty.

The established review schedule will be distributed to the tenured faculty by the department head at the end of each academic year.

• Scheduling of the Review Process
Department Policy:
The Department of Landscape Architecture tenured faculty will meet with the Department head in the first three weeks of each fall semester to develop a schedule for the reviews to be conducted that year. The schedule will be established to insure that all reviews will be completed before the fifth week of spring semester.

• Submittal of Materials
Department Policy:
The faculty members submittal will include copies of annual activity reports for the period under review, a current professional development plan, an analysis of course evaluation forms collected for each course taught, examples of published reports, papers, or other scholarly work accomplished during the period under review, and a current curriculum vita. In addition, each faculty member being reviewed will make a presentation to the department summarizing his or her teaching, research and outreach activities. The presenter determines the format for the presentation.

• Review Process
Department Policy:
All tenured and tenure track faculty in the department will review materials submitted by the faculty member. Each member of the departments CRC committee will respond to the following questions in written form using the criteria outlined in the University's and School's tenure and promotion. All formal discussions and written evaluations related to the review of the faculty member will be confidential and all materials generated by the review process will become part of the reviewed faculty member's permanent file.

  • For the period under review how has the faculty member demonstrated outstanding scholarship, teaching and or outreach?

  • How could the faculty member improve their scholarship, teaching, and outreach activities in the years to come?

  • What should be the top priority with regard to improving these activities?

After receiving the CRC's reviews the department head will meet with the faculty member under consideration and discuss the findings as they relate to the criteria used by the department's CRC committee. A written summery of the faculty comments and the discussion will be given to the faculty member being reviewed within two weeks of the meeting. The faculty member under review will then have the opportunity to respond in writing to the summary. The summary along with the faculty member's response will be confidential and will then be put in the faculty's file.

• Communication of Results
Department Policy:
The department head will then use the findings of the process to direct mentoring and or support to appropriately foster the faculty members continued development. The department head will also pass on all information generated in the review process to the dean for his or her consideration and action.

Approvals
Department: August 6, 1999
College:
Office of the Provost:

Undergraduate Assessment Office

Division of Undergraduate Affairs

- Interpret Evidence
- Make decisions to improve programs; enhance student learning and development; inform institutional decision making, planning, budgeting, policy and public accountability
- Mission/Purpose Goals/Objectives Outcomes
- Gather Evidence
- Implement Outcomes and Methods To Gather Evidence

The Iterative Assessment Cycle (Bresciani, 2003)

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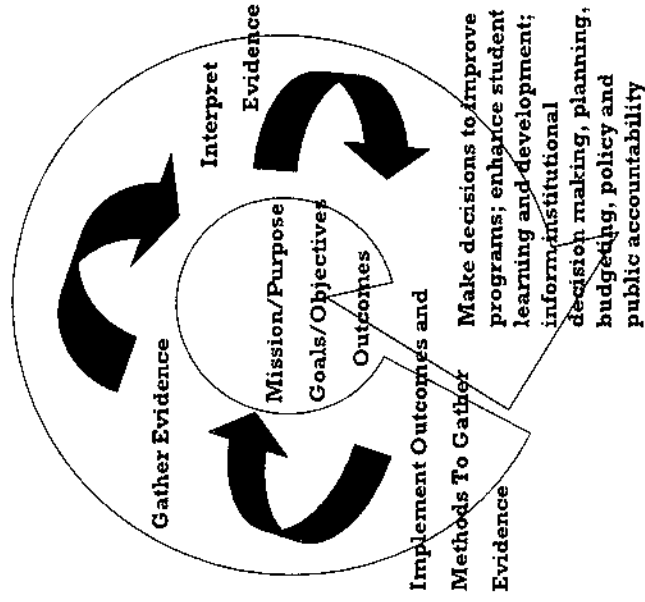Raleigh, North Carolina 27695-7105
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Fax: 919-515-4416

http://www.ncsu.edu/undergrad_af
fairs/assessment/assess.htm

Resources and Services Offered

The Office of Undergraduate Assessment offers a myriad of resources and services in order to assist faculty and co-curricular specialists with meaningful and manageable assessment. Such resources include

- Specialized Workshops –
http://www.ncsu.edu/provost/academic_programs/u
apr/resources/UAPRwkshpAnytime.html
- On-line Assessment Tool Kit –
http://www.ncsu.edu/provost/academic_programs/u
apr/resources/UAPRToolkit.html
- Mini-Grants –
http://www.ncsu.edu/provost/academic_programs/u
apr/resources/UAPRsupport.html
- Facilitators –
http://www.ncsu.edu/provost/academic_programs/u
apr/resources/UAPRcontactFac.html
- Assessment Management Software –
http://www.ncsu.edu/undergrad_affairs/assessment/
files/resources/tracdat/tracdat.htm
- Facilitation of Support from Colleges –
http://www.ncsu.edu/provost/academic_programs/u
apr/resources/UAPRcolleges.html

- Access to an Extensive Assessment Library – lo-
cated in 126 Leazar Hall
- One-on-One Consulting – available upon request
on any assessment topic
- Courses offered through the College of Education
in program evaluation and assessment
- Supervision of graduate students' work in
assessment of student learning and development
- Facilitation and oversight of special research pro-
jects on student learning and development
- Development and refinement of electronic solu-
tions for assessment
- Facilitation of state, regional, and national
discussions on improvement of student learning
through assessment
- Production of cutting edge publications for the
assessment profession

Demonstrating Value and Cultivating Dreams

We assist with assessing undergraduate education by supporting or serving on the following expert-driven committees.

- CUPR – the Committee on Undergraduate Academic Program Review manages the undergraduate academic program review process (UAPR). This process ensures quality education of academic programs while maintaining faculty autonomy and flexibility. http://www.ncsu.edu/provost/academic_programs/uapr/UAPRindx.html

- CUF – the Council on Undergraduate Education oversees the general education program and its assessment. http://www.ncsu.edu/undergrad_affairs/assessment/files/ger/ger.htm

- UGA Assessment Team – the Undergraduate Affairs Academic Support Specialists are responsible for their own areas of improving delivery of academic support services. http://www.ncsu.edu/undergrad_affairs/assessment/assess.htm

- SAAT – the Student Affairs Assessment Task Force was created through a formal partnership with Student Affairs, SAAT and the UGA office of Assessment. These groups work together to facilitate expert driven assessment of student development and its services. (http://www.ncsu.edu/student_affairs/saat/index.html)

- SACS IE Team – the Southern Association for Colleges and Schools Institutional Effectiveness Compliance Team for Accreditation is charged with drafting the section of the compliance certification report that describes NC State's policies, procedures, and/or programs demonstrating compliance with institutional effectiveness. (http://www2.acs.ncsu.edu/UPA/accreditation/charge_ie.htm)

- LITRE Assessment Team – Learning in a Technology Enriched Environment team is charged with developing and continually refining assessment plan for the 21st century educational environment at NC State. The assessment plan will emphasize the central role that technology will play as well as analyze and assess strengths, challenges, and opportunities for student learning as facilitated by technology. (http://www2.acs.ncsu.edu/UPA/accreditation.htm)

Purpose of Assessment

Assessment in Undergraduate Education will identify ways to

- improve student learning and development

- reinforce or emphasize the mission of each unit and the institution

- improve programs and/or performance

- compare a program's quality or value to the program's previously defined principles

- inform decision making

- inform planning

- inform policy discussions at the local, state, regional, and national level

- evaluate programs, not personnel

- assist in the request for additional funds from the university and external community

- assist in meeting accreditation requirements, and/or best practices, and national benchmarks

- celebrate successes

- reflect on the attitude and approach we take in improving teaching and learning

- create a culture of continuous improvement - a culture of accountability, of learning, and of excellence (Bresciani, 2003).

Expectation of Excellence

Assessment is a North Carolina State University institutional value. At NC State, we are expected to evaluate all we do in an effort to continuously improve student learning and development. Assessment aligns directly with our institutional mission of being an accountable, land-grant, state institution.

Through continuous and systematic evaluation, we promote a culture of learning, improvement and accountability.

Mission

Undergraduate Assessment in the Division of Undergraduate Affairs provides support for continuous program improvement for all departments serving undergraduate students by offering education and consulting regarding on-going assessment of student learning and development.

"The Use of Technology in Managing the Assessment Process in the Office of Assessment, Division of Undergraduate Affairs"

Needs for Technological Solutions for Assessment
(Bresciani, 2003)
- Documenting decisions made from assessment is a major stumbling block.
- Feeding grass-roots learning outcomes and decisions through organizational bureaucracy in order to impact funding and policy requires coordinated reporting of meaningful assessment.
- Transforming an organization into a learning institution requires that the experts communicate what they learned from their assessment.
- Documenting outcomes, methods, results, and decisions --made-- some of which does not change from year to year -takes time -.
- Using information for several purposes is valuable since documentation of assessment practices and results is an investment of time.
- Promoting reflection about the assessment process and assessment findings is a key value in this process.
- Harnessing existing evidence and resources requires communication across divisional lines.
- Understanding expert-driven, discipline-specific values in order to inform institutional common outcomes conversation can be done more effectively if those values can be mapped.
- Documenting the assessment process, as well as the evidence of decisions made can be valuable to the improvement of the assessment process and to the decision-makers evaluating the evidence.

Uses of Technology in Assessment at NC State
(Bresciani, 2003)
- Documenting process of assessment and evaluating where we need to improve education and support
- Pulling in evidence that we have and making decisions on how to improve the process
- Identifying common outcomes across disciplines and across divisions
- Sharing ideas and best practices of assessment within the institution
- Trying to find meaningful and manageable ways to document decisions made to improve student learning
- Trying to use assessment results for a number of purposes (e.g., improve student learning, resource allocations, policy discussions)
- Trying to promote reflection on how assessment improves student learning and programs

PLEASE NOTE
- We are not trying to sell these products.
- We are invested in finding and helping develop the best technological solutions to help us and others manage the assessment process.
- We are just sharing what we know.
- And we want to learn about what you know.

What is TracDat?
- It is a comprehensive assessment management tool.
- It helps the user manage various aspects of the assessment process.
- It documents details of your assessment plan.
- It documents the impact of the assessment program.
- It uses pre-designed reports.

How We Use TracDAT
- Use of Tracdat is not mandatory.
- Our office uses it to link to plans and plan reviews and also to use data reports and data report reviews.
- SACS reviewers have access to relevant content
- It provides additional reinforcement of our assessment training

North Carolina State University
Division of Undergraduate Affairs

■ It documents progress with assessment process

Benefits
■Includes all stages of the assessment cycle.
■Encourages staff to think about each step as they enter data.
■Allows for individual courses or educational programs to be entered.
■Allows for the linking up of outcomes to objectives.
■Prevents having to re-enter outcomes every semester or year – now you only have to refine them.

Challenges
■Language
■Multi-levels – we always need more levels
■training
■resistance to new software
■ Minimal reporting options
■Like any documentation tool – it still takes time

Use of Electronic Portfolios
(Bresciani, 2003)
■ Portfolios allow for the documentation of individual student learning.
■ That individual student learning can be captured to document program outcomes.
■ Student learning evidenced in electronic portfolios can be set up to share across discipline and division outcomes.

Benefits of iWebfolio
■Professors can create templates with as much or as little structure as they want.
■Students have the account for a full year and can renew as many portfolios as they want.
■ It allows for on-going feedback that can be public or private.
■The data sit on NuVentive's server.

Challenges
■ It is supposed to be able to extract iWeb into TracDAT – not working in our version though.
■ The data sit on NuVentive's server.
■Faculty members may also have to maintain a course management software product.
■We have to make sure the student doesn't rescind access or change any records.

SAS Reporting
■ We are working with SAS for more flexible and meaningful reporting options.
■ It has been a challenge, but we are piloting something now that we think will be the solution.
■ …more later…

References
■ Bresciani, M.J. (scheduled for October, 2003) . *Expert Driven Assessment: Making It Meaningful to Decision Makers*. ECAR Research Bulletin. Educause: San Diego
■ TracDAT and iWebfolio – www.nuventive.com
■ SAS – www.sas.com

North Carolina State University
Division of Undergraduate Affairs
Office of Assessment
Demonstrating Value and Cultivating Dreams   51

Documenting Excellence in Teaching

How should we measure instructional excellence? Not just with end-of-course ratings, many faculty respond. And we agree. There's something incomplete, almost incongruous about evidence of effectiveness that's entirely quantitative and exclusively from a single source, students. For most faculty, student evaluations simply don't tell the whole story. However, many faculty have difficulty identifying other ways to measure or document teaching performance.

Several years ago the Canadian Association of University Teachers proposed the idea of a "teaching dossier," a qualitative assembling of evidence of good teaching. They say that "it is to a professor's teaching what lists of publications, grants, and academic honors are to scholarship." Kathleen Brinko, Coordinator of Faculty and Academic Development at Appalachian State U., used the CAUT document to develop the following list of items which might also demonstrate instructional excellence. This list appeared in an Appalachian State newsletter, *The Center* (vol. 4, no. 1), and is reprinted here with permission.

I. The Products of Good Teaching

1. Students' scores on teacher-made or standardized tests.
2. Student laboratory workbooks and other kinds of workbooks or logs.
3. Student essays, creative work, and project or field-work reports.
4. Publications by students on course-related work.
5. A record of students who select and succeed in advanced courses in the field.
6. A record of students who elect another course with the same professor.
7. Evidence of effective supervision of honors or master's theses.
8. Setting up or running a successful internship program.
9. Evidence of the effect of courses on student career choice.
10. Evidence of help given by the professor to students in securing employment.
11. Evidence of help given to colleagues on teaching improvement.

II. Material From Oneself

A. Descriptive material on current and recent teaching responsibilities and practices:

1. List of course titles and numbers, unit values or credits, and enrollments with brief elaboration.
2. List of course materials prepared for students.
3. Information on professor's availability to students.
4. Report on identification of student difficulties and encouragement of student participation in courses or programs.
5. Description of how computers, audiovisual equipment, or other nonprint materials were used in teaching.
6. Steps taken to emphasize the interrelatedness and relevance of different kinds of learning.

B. Description of steps taken to evaluate and improve one's teaching:

1. Maintaining a record of the changes resulting from self-evaluation.
2. Reading journals on improving teaching and attempting to implement acquired ideas.
3. Reviewing new teaching materials for possible application.
4. Exchanging course materials with a colleague from another institution.
5. Conducting research on one's own teaching or course.
6. Becoming involved in an association or society concerned with the improvement of teaching and learning.
7. Attempting instructional innovations and evaluating their effectiveness.
8. Using general support services such as the Education Resources Information Center (ERIC) in improving one's teaching.
9. Participating in seminars, workshops, and professional meetings intended to improve teaching.
10. Participating in course or curriculum development.
11. Pursuing a line of research that contributes directly to teaching.
12. Preparing a textbook or other instructional materials.
13. Editing or contributing to a professional journal on teaching one's subject.

A "teaching dossier," a qualitative assembling of evidence in support of good teaching, " is to a professor's teaching what lists of publications, grants, and academic honors are to scholarship."

III. Information From Others
A. Students:

1. Student course and teaching evaluation data which suggest improvements or produce an overall rating of effectiveness or satisfaction.
2. Written comments from a student committee to evaluate courses and provide feedback.
3. Unstructured (and possibly unsolicited) written evaluations by students, including written comments on exams and letters received after a course has been completed.
4. Documented reports of satisfaction with out-of-class contacts.
5. Interview data collected from students after completion of a course.
6. Honors received from students, such as being elected "teacher of the year."

B. Colleagues:

1. Statements from colleagues who have observed teaching, either as members of a teaching team or as independent observers of a particular course, or who teach other sections of the same course.
2. Written comments from those who teach courses for which a particular course is a prerequisite.
3. Evaluation of contributions to course development and improvement.
4. Statements from colleagues from other institutions on such matters as how well students have been prepared for graduate studies.
5. Honors or recognition, such as a distinguished teacher award or election to a committee on teaching.
6. Requests for advice or acknowledgement of advice received by a committee on teaching or similar body.

C. Other sources:

1. Statements about teaching achievements from administrators at one's own institution or from other institutions.
2. Alumni ratings or other graduate feedback.
3. Comments from parents of students.
4. Reports from employers of students (e.g., in work-study or an internship).
5. Invitations to teach for outside agencies.
6. Invitations to contribute to the teaching literature.
7. Other kinds of invitations based on one's reputation as a teacher (for example, a media interview on a successful teaching innovation).◀

Testing: Straight Talk

The late Kenneth Eble, whose work and ideas appear in various forms in our publication, concludes his chapter on tests in *The Craft of Teaching* (2nd ed., p. 151) with a concise set of suggestions that underscore much of what we know about the constructive use of exams. It's the sort of list that belongs where we will regularly confront its sound advice.

— Use a variety of testing methods.
— Always give feedback, promptly if possible.
— Tests should be more for learning and for motivating than for measuring. All three are useful.
— Regard the absolute worth and accuracy of testing with suspicion.
— Reduce in any way you can the threat tests pose.
— Don't grade all tests.
— Clarify test objectives both before and after, with yourself and with students.
— Be honest, open, and fair. Discuss tests both before and after.
— Let students be makers as well as takers of tests.
— Don't stress the trivial just because it is so easy to test.
— Surprise quizzes and tests which can't be completed in the given time may serve the teacher's ego more than the students' learning.
— Be imaginative as well as careful, balanced, and precise.
— Be generous. ◀

Tests should be more for learning and for motivating than for measuring.

Clarify test objectives both before and after, with yourself and with students.

Be imaginative as well as careful, balanced, and precise.

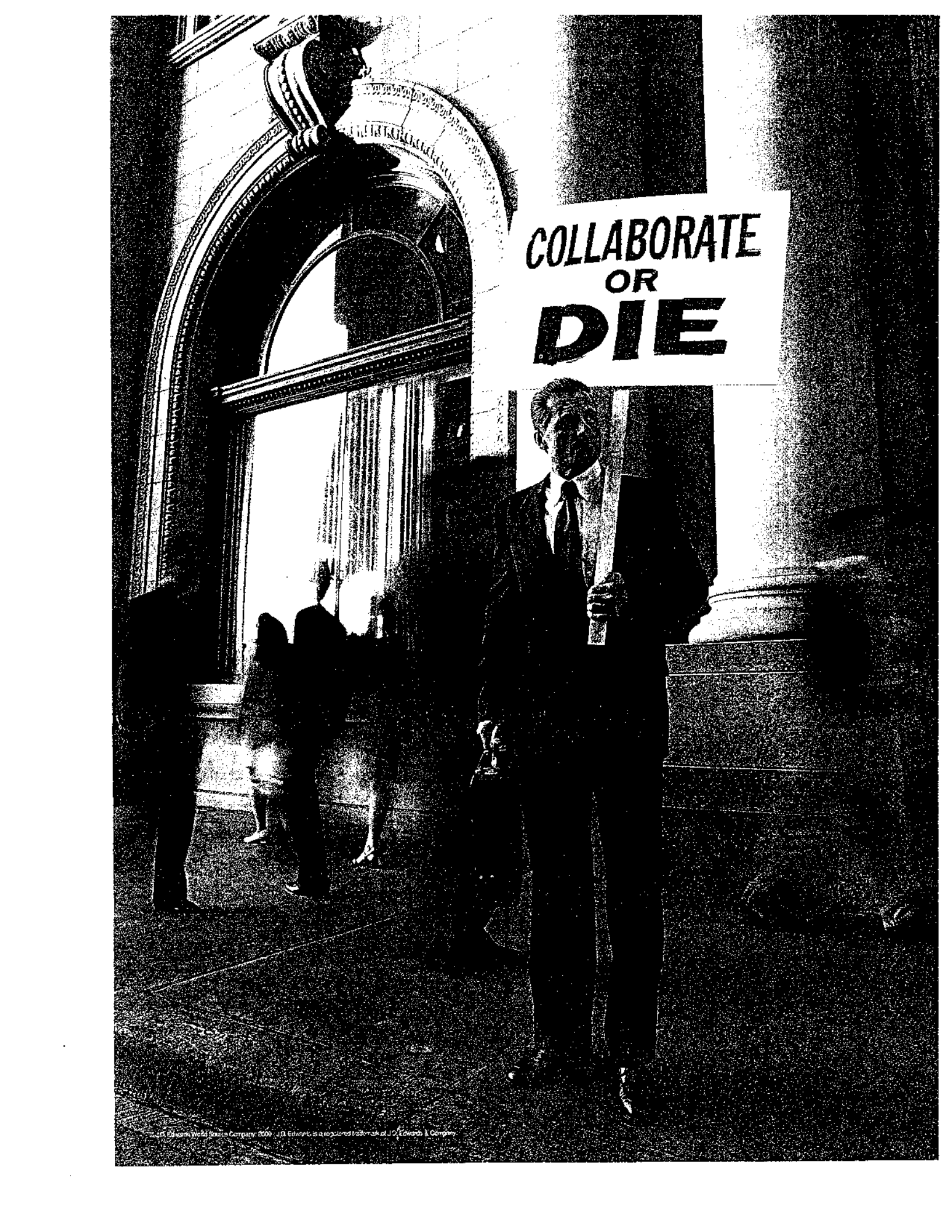## Engagement: looking for love in the right places.....

The determination of an academic leader to bring continuing relevancy to academic programs is fueled by the ability of the academic community to reach beyond itself into the related professional community and society. This extension of the program begins by the encouragement of good citizenship in the University and in society. It is explored by addressing the issues before the profession and tested by the performance and continued communication with the alumni. It is enriched by outreach into an international context. While the typical design program can not match the funding of a research based academic program it can bring considerable recognition to the University by community based service related learning projects.

Workshop Agenda:
Communication and Good Press
Engaging the Professions, Corporate Partnerships, the Community and Alumni
Building an Alumni Network
The International Program Opportunity

Relevant Articles:
Media Relations
NC State University
Making Outreach Visible
Amy Driscoll and Ernest A. Lynton
The Engaged University
Graham Spanier, President, Penn State University
Renewing the Covenant
Kellogg Commission
The Power of Service Learning
NC State University
Public Service in Academia: Conflicts and Alternatives
Carl Patten
SARUP MENTARCH Program
University of Wisconsin-Milwaukee
Architect / Contractor Roundtable
University of Wisconsin-Milwaukee
Faculty / Practitioner Relations
Bob Greenstreet
Architects of Change
Milwaukee Journal Sentinal
Professional Relations
NC State University
The Design Guild
NC State University
Considering International Programs
Marvin J. Malecha, NC State University
Points for Consideration when Setting-up Offshore Teaching Programs
Laurie Hegvold

COLLABORATE
OR
DIE

Media Relations Tips

NC State News Services Guide for Media Relations

I. Introduction

Why is it smart to communicate with the media?

It would be so much easier NOT to have to deal with the media, right? As Jonas Salk once said, "When a reporter approaches, I generally find myself wishing for a martini."

But the harsh reality is that working with the media has become a necessary part of everyday life at NC State. We, like all other institutions, depend on the media to convey our research findings to the public, to showcase the teaching excellence here, to call attention to our students' activities and to justify why the state's taxpayers should continue to support the institution with tax dollars. Indeed, as a land-grant institution, we have an obligation to share knowledge with the public -- and that means the media, too.

We need the media, and they need us. This guide is intended to help you in your dealings with the public press, to answer some of your questions about the way journalists work, and to give you some tips on how to respond to various types of media inquires and reporters' interviewing techniques.

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II. News Services -- Who We Are

News Services at NC State University works to promote local, national and worldwide visibility for the university, its faculty and staff. The office is committed to informing the public and the university community about the quality and diversity of the learning environment at NC State, the level of scholarship and research, and the university's dedication to finding practical,

problem-solving uses of new knowledge and scholarship that will benefit society.

To accomplish these goals, News Services staff members develop and market news articles and story ideas on faculty teaching, research and expertise to print and electronic media. We do this through a variety of products including the standard news release, news tips, press conferences (when appropriate) telephone, email and personal "pitches" to journalists, and electronic distribution of news stories via the Web and listserves.

We also publish a media guide for faculty expertise, and we work closely with Creative Services to furnish videotape to broadcast media. We are a service unit for the campus community. Our information specialists can assist with media interviews, help university representatives prepare guest opinion columns, and connect media with NC State experts.

We are here to help, to give guidance, to answer your questions about how to relate to the media. Please call News Services at 515-3470 if you have a story idea, or if you have questions about media relations.

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III. When A Reporter Calls, What Do I Do?

First, decide whether you will grant the interview. To help you decide, here are some questions to ask:

- What is the subject of the interview?
- Are you the appropriate person to answer questions about the topic?
- Who is the reporter and where does he/she work?
- What will be the format of the interview? Live? Taped? Telephone? Is it a feature story, or a news story?
- Where will be interview be conducted and how long will the interview be?
- What is the reporter's deadline?

The reporter can answer many of these questions, but News Services may also be able to help get answers as well as provide you with information about unfamiliar reporters, magazines, television shows or radio programs. We are also here to help you prepare for the interview if needed. News Services does NOT, however, grant "permission" to speak to the media -- that decision that is entirely up to the individual contacted by the media.

Preparing for the interview:

1. Outline your main points: Make a list of three to five main points you would like to make during the interview. These points should each be a brief as possible -- you should be able to say each of them in 20 seconds or less. Reporters are looking for quotable quotes, punchy lines that can be lifted for a "quote box" in print, or a "sound bite" of air time. Make sure you get across your main points even if you have to repeat them several times.

2. Background: Because it is impossible to convey all the information you would like to convey in 20-second bites, handouts and background sheets are very helpful. Reporters appreciate having

ample background material, and if your topic is complex, it is crucial to have handouts for reporters. This can be in the form of a prepared press release, a brochure, historical background, a fact sheet or statistics. Reporters love facts and figures that will lend credibility to their stories, but don't exaggerate figures or use superlatives to make something sound more impressive than it really is.

3. Anticipate hard questions: Make a list of questions you'd rather NOT answer, and then think about how you might best answer them. Also think about how you might transition from answering the tough questions into making one of your key points. News Services staff members can help you anticipate and prepare for tough questions.

The Interview, Some Dos and Don'ts

1. You are the boss. Take the initiative, don't wait for the reporter to ask the questions. Remember your three to five key points, and begin making them right off the bat, even if it means going beyond the question you've been asked.

2. This is NOT a conversation! This is an interview and an exchange of information. You should not feel obligated to keep a conversation going, and resist the urge to go beyond the scope of your subject. Beware of the reporter who remains silent and waits for you to ramble or divulge more information than you intend. Also, don't let an interviewer put words in your mouth. Your answer will appear in print or on the air, the reporter's question probably won't. Be quick to correct misstatements made by the interviewer -- diplomatically, but firmly.

3. Don't go off the record. Even though a reporter may agree that your comments won't be attributed to you personally, that information may eventually end up in print if it is confirmed by other sources. If you don't want to read it in the paper, don't say it.

4. Be brief and to the point. Remember your three to five main points and make an effort to convey those points in 20 seconds or so. If there is one key message, say it in different ways, more than once. For television, about 45 seconds of response time is the maximum you will be given to make your point.

5. Tell the truth. Sometimes the truth hurts, but lies hurt worse and for a longer time. Your credibility and that of your institution could be at stake.

6. If you don't know, don't speculate. Simply refer the person to the appropriate office or to News Services if you are unsure. Sometimes reporters will not distinguish between a personal opinion and the university's position, so it will be up to you to set the record straight. If you are the spokesman for an official committee, campus organization or group, identify yourself as speaking for that group. Faculty and staff are free to give their personal opinions to reporters, but if you don't know the university's position on a particular issue, find out or refer the reporter to the appropriate source -- don't speculate.

7. Be friendly, after all it's an interview, not an interrogation. Try to establish rapport with the reporter and be positive and courteous at all times. Never argue with a reporter, and avoid defensive answers. A combative answer or hostile body language makes great TV, but could be embarrassing to you professionally and to the university.

8. It's alright to make a mistake. If you have made a mistake on camera or in an interview, or if

you find that you've strayed seriously from the question asked, simply stop and correct the mistake, or ask if you can give another response. Most TV reporters will prefer your new, briefer quote.

9. In TV or radio interviews, be aware that the electronics may be rolling at all times. Assume that if you're in the studio, everything you say is being recorded.

10. Anecdotes and humor have their place. Use them, when appropriate, to liven up a story, to add a human angle.

After the interview

1. Ask the reporter what he/she sees as the "real" story. This can give you a second chance to correct misimpressions or restate your key messages.

2. Don't ask to "approve" the reporter's story in advance. Reporters rarely agree to let you see their story, but many will allow you to review details or quotes for accuracy.

3. It's okay to ask when the story will run, but don't expect to always get the answer. Most reporters simply don't know when the story will run because the decision is made by their editors. News Services can often find out for you, if the story has been scheduled for a later time. We can also obtain videos or clippings on request.

4. Mistakes. Newspapers routinely run corrections, but they try to avoid it. If the mistake is very minor, it's probably best let it go rather than risk bringing more attention to the error. Serious mistakes, misconceptions and unbalanced stories should be brought to the reporter's attention. If the reporter is not responsive, the problem should be taken up with the reporter's editor. News Services can help in dealing with these problems, and in deciding whether to ask for a formal correction or whether a follow up story, letter to the editor, or other response is appropriate.

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IV. Public Information Policy

NC State has policy that governs the official release of public information to the public and the media. A copy of the policy is available on the Web at: <u>http://www2.ncsu.edu/ncsu/univ_relations/pubinfo.htm</u>.

The policy sets out what information can be legally released and what information is confidential, according to state and federal law. Faculty and staff can use the policy as a guide, but also should feel free to consult with News Services or Legal Affairs if they have questions about what can be released to media. In general, the policy states that the NC State community "has a responsibility to be open and responsive to information requests from the public and the news media. NC State is committed to a policy of openness, honesty and cooperation with members of the public and the news media. Faculty and staff are encouraged to give interviews when asked and to provide information on matters within the realm of their responsibility in a timely and courteous manner."

If you are uncertain about whether you are the appropriate source to handle a media request, feel free to call News Services or Legal Affairs for assistance.

V. Crisis Situations

The media is the first to arrive when a crisis strikes, and you might initially think the media is the enemy. But remember that the public will know only what they are told by the media, so it is crucial that accurate and complete information be conveyed to the media and the public.

NC State has a Crisis Communications plan that outlines the steps that are followed by the university in dealing with the media when a crisis arises. A copy of the plan can be viewed on the Web at: http://www2.ncsu.edu/ncsu/univ_relations/crisis.html

All faculty and staff should be familiar with the plan, but the following are some brief tips to help in dealing with the media during an emergency.

- 1. Accurate information is essential, and in serious emergencies the university will appoint a spokesperson to coordinate all media responses. Refer reporters to News Services or Public Safety to receive official information about emergencies.
- 2. If your department is directly involved in an emergency situation, communicate first with Public Safety, then with your department head, who will in turn communicate with the Crisis Team.
- 3. If you are interviewed by reporters do not speculate or place blame. Remind reporters that they should get official information from the university spokesperson.
- 4. Don't refuse to comment or tell a reporter that you aren't allowed to comment. If you have first hand knowledge about the emergency, you are free to comment and give out information provided you know it is accurate and not subject to privacy regulations. For instance, if a student is involved in a crime, you would not be allowed to discuss disciplinary actions you may have initiated against the student in the past. When in doubt, contact News Services or Legal Affairs for guidance and assistance.

Additional information and tips for media relations are available by calling News Services, 515-3470, or checking the News Services home page at:
http://www2.ncsu.edu/ncsu/univ_relations/welcom.html

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NC State University College of Design
Professional Relations
Jean Marie Livaudais

Continuing Education and Professional Relations: What does it do for the College of Design?

Professional relations programs raise awareness of the College as a resource for design professionals and provides a reason for alumni and other design professionals to connect with the College. Connections made through continuing education become a catalyst for activities that assist the College, including donations, internships for students, hiring of graduates, resources for jury reviews and visiting lecturers, and other collaborations. Continuing education may be the only way to reconnect with many of our alumni. Surveys at other institutions show that alumni who participate in educational activities often don't participate in reunions or other events. "Alumni attracted to educational programs also tend to be good donors." Many alumni programs report about a third of contributions come from educational program participants. (Source: CASE Currents, February 2001, "Infusing Education Into All We Do.")

Strategies:

Continuing education
- Develop College of Design continuing education programs in cooperation with faculty and area professionals
- Assist and track university efforts to develop courses for design professionals in the office of professional development and extension units
- Gather and publicize on web information on continuing ed. courses offered by design professional associations in the state.

Networking (Develop and help coordinate opportunities for design professionals to be more involved in college life and with other alumni)
- Serve as the liaison between the college and professional associations
- Assist with employment recruitment opportunities (work with career center)
- Help alumni get involved in volunteering for reviews, admissions, other interactions with students (work with faculty), and as design alumni representation on campus.
- In conjunction with development director and academic units, work with design firms to establish internship and scholarship opportunities
- Assist alumni in networking with other alumni in their fields, through the web, or at professional and social events. (Harvard example offers recruitment, web network & resume posting services.)

Current Professional Relations Activities:

Survey of alumni interests in area of professional relations
- Pointed College in programmatic direction for professional relations
- Gave alumni a voice in college activities.

Personal interviews with several alumni regarding professional relations
- Strengthened personal connections with alumni
- Introduced alumni and donors to Carla Abramczyk
- Offered several ideas for implementing programs

College-sponsored continuing education programs
- Entrepreneurship and the Creative Spirit—February 9, 2002
- Airport Adventures—March 22, 2002 (reunion program)
- Modern Architecture in Raleigh bus tour March 22, 2002 (reunion program)
- Early Childhood Outdoors Design Institute, June 5-7, 2002
- Golf Course Design Charette with Richard Mandell—July, 2003, *cancelled*
- Accessible Routes and Protruding Objects—video/exhibit program at SARC conference—October 9-10, 2003
- ARE review course/Materials and Methods—October 11, 2003

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- ARE review course/Graphics Divisions—November 15, 2003
- Renewed Communities: Downtown Partnerships for Design and Development— February 7, 2004 (in conjunction with Emerging Issues Forum)
- Universal Design Seminar—March 9, 2004
- Natural Learning Initiative Certificate Program—tentative, March 8-12, August TBD, 2004
- ARE review course/Mechanical and Electrical Systems, Structures, May, 2004
- Early Childhood Outdoors Design Institute, May 20-22, 2004

Assist other organizations in making continuing education available to designers
- Coordinate with AIA Triangle with their course offerings in Kamphoefner Auditorium
- Hosted NC American Planning Association conference—May 20-22, 2003
- AIA Provider assistance to Engineering/McKimmon Center--Submit courses and credits to AIA on an ongoing basis

Assist students/departments with career development
- Liaison with Career Center for Architecture Interview Days
- Organize exhibition and hold reception for architecture students and firm interviewers
- Assist graphic design department with list of contacts for portfolio day
- Assisting industrial design in developing portfolio reviews and making inquiries to firms about internships for students

Alumni/Professional relations and External Relations team projects
- Frequent contact with alumni in person, by email or telephone
- Liaison to AIA NC board of directors--ongoing
- 55th anniversary logistics—March 20-23, 2003
- New mail program to congratulate newly registered architects in NC (begins this month)
- Southeastern Architecture Regional Design Conference, booth and alumni reception—October 8-10, 2003
- Design Guild Award Dinner logistics—March 6, 2004
- Design Guild Members Day/Fish Market reception—October 24, 2003
- Distinguished alumni liaison with Alumni Association—October 30, 2003
- Contributions and assistance for *news* magazine and DESIGNlife
- Organize reception during ASLA convention—October 30, 200

Web site
- Maintain list of links of other continuing education opportunities available
- Maintain list of professionally related links
- Offer professional practice case study pdf's

Administration
- Registered provider of AIA programs
- Submission of courses to NC Board of Landscape Architecture
- Submission of courses to NC Division of Child Development
- College coordinator of University Non-Degree Credit Activity

Goals:
- Continue to build continuing education opportunities to design professionals and alumni, engaging faculty and alumni in course development
- Offer some kind of web site directory or forum for alumni to connect with each other.
- Work with the University career center and academic units to strengthen intern and job opportunities for all students
- Connect alumni with academic units for jury reviews and other collaborative opportunities
- Create advisory board of faculty and professional alumni for assistance in developing and approving continuing education programs.

MISSION

- To create awareness about the College and its activities among a variety of constituents.
- To raise funds to support the mission and activities of the College.
- To establish a close connection involving two-way communication with external audiences, especially alumni and design professionals, engaging this audience in College activities and continuing education.

The mission of the College External Relations Office is to sustain and strengthen the College's outreach to external constituencies. The office provides services in the areas of alumni, donor and professional relations, publications and public outreach, continuing education and fund raising.

The College External Relations Office is the primary source of information for alumni, friends, professional organizations, and the general public about current developments and giving opportunities at the College. It provides this information through a variety of publications, news releases and external contacts.

To coordinate events and activities with the University, College External Relations' directors maintain relationships with several campus wide offices, including advancement, public affairs, alumni relations, and extension services.

The Office raises financial resources to enhance the College and meet a variety of needs. Support from individuals, foundations and corporations strengthens the quality of the educational experience for which the College of Design is so widely known.
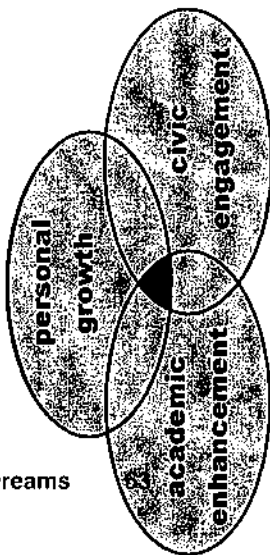
College External Relations coordinates events and activities that engage the campus and the larger community in the life of the institution. The Office assists the College in its efforts to serve as a resource to alumni and design professionals throughout their careers, offering opportunities for continuing education, networking, recruitment and connecting professionals to the educational environment.
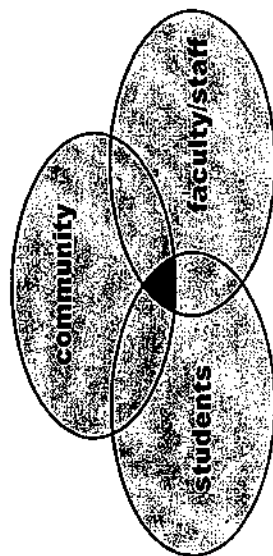
The Power of Service-Learning for NC STATE

Service-learning "affords students the opportunity to rethink issues, to grow and mature, to be of service to others, to develop a sense of their own self-worth, and to take pride in their efforts. It is education at its best."

--Ralph Corrigan,
Journey to Service-Learning

NC State Service-Learning Curricular Development Project

A Collaboration of

Faculty Center for Teaching and Learning

Center for Student Leadership, Ethics, & Public Service

Undergraduate Affairs

In the end, education's primary mission is to develop within each student the capacity to judge wisely in matters of life and conduct, to help students use knowledge wisely so that higher education's dual role of servant and critic of society may be vigorously protected and advanced...

(emphasis omission)

For more information or to join the NC State Service-Learning Curricular Development Project contact:

FCTL

Faculty Center for Teaching and Learning
(919) 513-3634
teach_learn@ncsu.edu
http://www.ncsu.edu/fctl

Components of Service-Learning

- academic material
- guided integrative reflection
- relevant service

Demonstrating Value and Cultivating Dreams

Objectives

- personal growth
- civic engagement
- academic enhancement

Partners

- community
- faculty/staff
- students

What is Service-Learning?

NC State's working definition of Service-Learning

Service-learning is an innovative, collaborative teaching and learning strategy designed to promote academic enhancement, personal growth, and civic engagement. Students render meaningful service at a site apt to present real-world manifestations of academic material, reflect systematically on the experience, and articulate the learning that results.

The **NC State Service-Learning Curricular Development Project** is a collaboration of faculty, staff, and students from across campus. Launched in 1999, the Project offers training and support for the implementation of service-learning:

- faculty development workshops
- training for upperclass reflection leaders
- liaisons for community partnering
- consultation across campus and with other institutions in the Triangle area

The Project's **mission** is to expand and deepen the significance of service-learning opportunities for students, faculty, and community partners alike. We seek to foster the development of the whole person in curricular and co-curricular contexts and contribute to the theory and practice of education for civic engagement and critical thinking.

Demonstrating Value and Cultivating Dreams 6

The Voices of our Students

"I feel as though I have been walking around for the past 19 years with a bag over my head! I feel that I have a better sense of where my place is in the world. It is hard for me to express in words how intense and complex this change has been, but I will say that this has been a life-changing experience for me. I am and will be a better person, student, and leader because of it."

"It's a wonderful thing to be given a chance to think. The reflection sessions associated with service-learning require students to ask serious questions that have serious implications. I have never experienced anything like this in any other class."

I listed my personal growth experiences and learnings out on a sheet of paper, but somehow I can't seem to complete the list because everytime I reflect on my experiences I think of something new.

"A lot of times in college we lose focus on why we are here. Going to the project site led us to really think about what we are doing in college."

"All college students need to begin seeing it: it is a responsibility that has so many benefits and is really a joy. We can be more involved in our community and not isolated on campus; we can be out there and see what's going on and what we can do to help. In essence, that's what we have done in this project, and we'd like to see more students experience it."

"Upon reflection I realize that (at the beginning of the semester) I still had expectations about making a BIG difference and I was not prepared for making a small one. I have learned this semester that sometimes what people need is for you to make a small difference that they can really use. I save the world with every single thing I do, not just with the completion of a house or a kid saved from a life of crime. I'm dangerous now: I know the way to making a difference."

The Voices of our Faculty

"It is, quite simply, the most multifaceted and powerful teaching and learning strategy I have ever encountered—powerful on just about any dimension you want to name, most especially when it comes to the development of the whole person."

The opportunity service-learning provides students to think, to integrate, to reflect on their lives and the world around them is all too rare in higher education.

"Students develop a sense of empathy with the people they serve. This empathy evokes emotional connections with intellectual concepts. Students know how important the material they are studying is to real life experiences, and their motivation to learn is increased dramatically."

The Voices of our Community Partners

This project was extremely successful and useful...It multiplied our ability to live out our mission.

"Unlike our regular volunteers, these students left something tangible in place."

"The service-learners have been a very important addition to our organization this year. We would love to work with other such students in the future."

"Service-learning provides a win-win situation for all parties involved."

"This collaboration exceeded my expectations. I am grateful for the students' initiative."

RENEWING THE COVENANT

Learning, Discovery, and Engagement in a New Age and Different World

Kellogg Commission on the Future of State and Land-Grant Universities

Demonstrating Value and Cultivating Dreams   65

EXECUTIVE SUMMARY

WE ISSUE THIS FINAL LETTER with some sense of urgency and concern. Our message is not private pleading from a special interest group, but rather the public expression of our conviction that if this nation is to succeed in a new century, the covenant between our institutions and the public they serve must be renewed and again made binding.

A New Era and a Different World

Today, the promise of American public higher education must be made whole in a new era and a completely different world. The great international, economic, technological, and geo-political forces reshaping the world are hardly by-passing higher education. We find new publics appearing at our doors—a more diverse pool of traditionally aged applicants, as well as more and more adults seeking learning opportunities throughout their lives. Yet the effects of growing financial inequality in society are reflected in concerns about access to our institutions. Furthermore, the lines demarcating disciplines are increasingly porous, and distinctions between secondary and undergraduate education are more difficult to discern. Simultaneously, we are overwhelmed by the surge of powerful new technologies—many the fruits of our own labs—that may erase the boundaries between the university and the nation, and indeed the world.

Above all, we discern an urge to "privatize" public institutions, reflecting an apparently growing public consensus that education is simply a commodity. Research, if it is thought of at all, is prized far more for its commercial promise than for its capacity to push back the boundaries of knowledge. States once provided the lion's share of institutional financing, while federal funds supported research and financial aid—and tuition, fees, and gifts rounded out the picture. Today, state support is uneven; federal support for basic research is often narrowly circumscribed; and institutions are encouraged to plan for growth through a variety of public/private partnerships.

The Covenant Today

What then, amidst these stresses and demands of our emerging new century, does the term "public university" mean today? The irreducible idea is that we exist to advance the common good. As a new millennium dawns, the fundamental challenge with which we struggle is how to reshape our historic agreement with the American people so that it fits the times that are emerging instead of the times that have passed.

Historically, the covenant between public universities and the American people has been grounded in wide access, excellent curricula, research of value to people and communities, and public governance and financing.

Access is an unfinished agenda. Severe racial, ethnic, and economic disparities characterize enrollment and graduation rates in American public higher education. One analysis, for example, reveals that by age 24, fully 48 percent of young men and women from high-income families have graduated

from college, compared to only 7 percent of low-income young adults.

Yet we have provided millions of men and women with the benefits of a first-rate education. We have been the intellectual force behind the economic development of many states and communities. Our institutions have helped fuel incredible increases in agricultural productivity in the United States and around the world. And we have provided the scientific base on which the nation's defense, diplomacy, and economic competitiveness have depended throughout the second half of the 20th century. We have served as the engines of discovery that have helped the people of the United States deal with the intractable problems of the past, and we will play the same role in the future.

What are the responsibilities of public higher education to the American people as the 21st century dawns?

A New Kind of Public Institution

This Commission's prior letters have provided reasonable responses to that broad question. If the recommendations in our prior reports are heeded, the shape of today's university will still be visible in a new century, but it will have been transformed in many ways, major and minor. It will truly be a new kind of public institution, one that is as much a first-rate student university as it is a first-rate research university, one that provides access to success to a much more diverse student population as easily as it reaches out to "engage" the larger community. Perhaps most significantly, this new university will be the engine of lifelong learning in the

United States, because it will have reinvented its organizational structures and re-examined its cultural norms in pursuit of a learning society.

Renewing the Covenant

If this university of the future is to come into being, the Commission believes it is time for public higher education to recommit to the basic elements of *its* side of the bargain. We believe there are seven such elements. Thus for our part of the covenant, we commit to support:

■ Educational opportunity that is genuinely equal because it provides access to success without regard to race, ethnicity, age, occupation, or economic background;

■ Excellence in undergraduate, graduate, and professional curricula;

■ Learning environments that meet the civic ends of public higher education by preparing students to lead and participate in a democratic society;

■ Complex and broad-based agendas for discovery and graduate education that are informed by the latest scholarship and responsive to pressing public needs;

■ Conscious efforts to bring the resources and expertise at our institutions to bear on community, state, national, and international problems in a coherent way;

- Systems and data that will allow us periodically to make an open accounting of our progress toward achieving our commitment to the public good; and

- Intensive, on-going monitoring of the progress of the Kellogg Commission's recommendations.

The Public's Responsibilities

The public also has responsibilities under our historic higher-education convenant. Acting through their representatives, the American people should meet their responsibilities by adding a Higher Education Millennial Partnership Act to the list of historic federal enactments that have so enriched the United States. The Millennial Partnership Act should breathe new life into that legacy by establishing as federal law the Information Age equivalent of the original land-grant enactment, either through direct appropriations, dedicated fees of one kind or another, or other mechanisms.

These new seed funds should be employed to help public universities create new partnerships with public schools to assist in the revitalization of K-12 education and to harness the power of new telecommunications technologies in the effort to create a genuine national learning society.

Federal tax policy should also encourage more private-sector partnerships with universities for joint research and educational activities undertaken in university-based research parks, as well as tax advantages for parents and students to save for educational expenses by making education savings accounts available for full- or part-time study throughout an individual's lifetime.

States, too, must play their role. Just as they have provided the lion's share of basic support in the past, they will have to provide the lion's share of support in the future. We also invite state leaders to understand that patronage and politics have no place in appointing governing boards or administrative leaders, because first-rate public institutions require first-rate leadership committed to the institutions' overarching goal of advancing the common good.

This Commission insists that no matter how hard our institutions strive to fulfill the commitments and responsibilities we have outlined, we cannot attain them without public support. The changes we are prepared to make in our institutions and their functioning reflect such a significant redirection of energies that adequate funding is essential to see us through.

The Public's Universities

We are confident the support will be forthcoming. The people of the United States continue to derive many benefits from the historic covenant, just as they did when President Lincoln declared that public higher education is "built on behalf of the people, who have invested in these public institutions their hopes, their support, and their confidence." To Lincoln, state universities were not simply public universities but, in every sense, the "public's universities."

The dawning of a new century is the right time to renew the covenant between our institutions and the public, the proper time to reclaim the heritage, and the ideal time to nourish the flame of the "public's universities" in American higher education.

"The Engaged University"

By Graham Spanier
President
Penn State University

Let me begin with a word of welcome to Penn State and say how pleased we are to be hosting this conference on outreach and public service. It is very exciting to see so many people gathered with a common interest in the theme of engagement. The idea of partnering more closely than ever before with the communities our colleges and universities share offers many important opportunities for the future of higher education. The possibilities are as varied as our institutions. They hold in common the chance to make a tangible contribution to enhancing the quality of life through learning.

I am pleased to share with you this afternoon the vision of engagement that has come out of the work of the Kellogg Commission on the Future of State and Land-Grant Universities, for which I am privileged to serve as chair.

The Kellogg Commission

Serving on committees is about as central to life in higher education as football Saturdays and editorials in the student newspaper. Most of us have put in more than our share of hours on various committees and commissions and read plenty of reports produced by those groups.

Quite a number of those reports have found prominent places on our bookshelves, where they have been consistently shown to produce some of the most academic dust in America.

It would therefore be quite understandable if one were to be a tad skeptical about yet another higher education panel issuing yet another series of reports about yet another crisis facing America's universities.

But the work of the Kellogg Commission is distinctly different from any that I've seen in my years in higher education administration — for a number of very important reasons.

One is the source: The W.K. Kellogg Foundation, which has made a major commitment to fund this work and to facilitate real and lasting change on our campuses.

Another is the people. The Commission is made up of twenty-four university presidents who come from many different types of institutions, with very different viewpoints. But they share in common some very strong opinions and a passionate willingness to express them. And that passion is reflected in the work that has emerged from the Commission.

Some believe that timing is everything, and perhaps the most important part of the Commission's work, in terms of its relevance, is its timing.

The Context for Change

It could easily sound like hyperbole to stand up here and say that we have entered an era of change that is unprecedented in the history of American higher education. But many of us believe that it is true.

There was a time when universities were content to adopt a sort of "Field of Dreams" approach to life — if we build it, they will come. For most of our history, we were omniscient, omnipotent elders who told our customers — our students — what they needed, when they could get it, and what they would pay for it. But those days are rapidly becoming a fond and distant memory. Changes in technology, demographics, competition, and legislative expectations are all coming together to alter the way we operate.

At the same time, competition between universities and other agencies for use of state tax dollars is becoming ever more severe. In Pennsylvania, tuition has replaced state support as the primary source of funding for state-related universities. While this phenomenon is more pronounced in Pennsylvania, virtually every state has seen a similar trend.

Two years ago, the Council for Aid to Education said that assuming tuition increases no faster than inflation, by 2015, U.S. colleges and universities will fall $38 billion short of the annual budget they will need to educate the student population. Our institutions find themselves in a changing marketplace with changes in the traditional assumptions about higher education that include broad attacks on everything from tenure to increasing tuition to faculty workloads to the role of research to the place of affirmative action.

As if that were not enough, all of this occurs as we are being expected to educate more students more efficiently. The U.S. population has doubled since 1930, but during that same time, enrollment in higher education has expanded tenfold. In the past fifty years, college attendance has ballooned from roughly 25 percent to 60 percent of each high school graduating class. It has

been estimated that our nation must be prepared to educate 4 million more students by 2015 simply because of population growth. As the proportion of the population that wants to attend college also increases, that number will be even higher.

And those students are very diverse. Adult and part-time students have been the fastest growing segment of higher education enrollments. Adult students — those age 25 or older — now represent about 43 percent of our students nationwide. Minority enrollments totaled 26 percent in 1996, compared to 16 percent two decades before. Greater racial and ethnic diversity can be anticipated for the future as a result of the growth rates for minority populations in the United States.

These trends present either an insurmountable challenge or an extraordinary opportunity. The nation's public universities are mobilizing to take charge of the change that surrounds them, led in this effort by the Kellogg Commission. The opening statement for the commission said this: "Institutions ignore a changing environment at their peril. Like dinosaurs, they risk becoming exhibits in a kind of cultural Jurassic Park: places of great interest and curiosity, increasingly irrelevant in a world that has passed them by. Higher education cannot afford to let this happen."

A central theme for the Commission — that our universities must be fully engaged with our communities — has everything to do with the public confidence and support we can expect to win in the years ahead.

There is emerging a renewed commitment to outreach, to students, to progress, recognizing that higher learning must keep up with the profound changes that are taking place in society if universities are to remain centers of learning for the future.

The Engaged University

In the view of the Commission, change must come from within our institutions in response to the changes that are all around us.

Our discussions have been framed around the tripartite mission of teaching, research, and service that is the tradition of so many of America's universities and that has proven again and again its value to the progress of the nation. The grassroots learning communities fostered by Cooperative Extension, the support for lifelong learning provided by continuing and distance education and public broadcasting, and the partnerships underlying technology transfer activities that are hallmarks of public and land-grant universities all were ahead of the times in encouraging a learning society that has now fully emerged. Although closely associated with the land-grant movement, these are elements of broad relevance throughout higher education today.

We are entering a new chapter in the evolution of our institutions. There is emerging a renewed commitment to outreach, to students, to progress, recognizing that higher learning must keep up with the profound changes that are taking place in society if universities are to remain centers of learning for the

future. If we are not supportive of the learning needs of people of all ages and the expanding knowledge needs of society, other educational enterprises will surely supersede us in this intellectually demanding world — enterprises that won't have the rich interplay of disciplines and missions that makes the university so well suited to promote economic, human, and cultural progress.

So what does it mean to be an engaged university? In our discussions within the Kellogg Commission, at the most fundamental level, it means three things:

➤ An engaged institution must be responsive to the needs of today's students and tomorrow's — not yesterday's.

➤ It will enrich student experiences by bringing research and engagement into the curriculum and offering practical opportunities for students to prepare for the world they will enter.

➤ And it will put knowledge and expertise to work on problems its community faces.

Putting Students First

Many of you may have been thinking about engagement primarily in terms of a new twist on outreach and therefore may be surprised to hear me speak about students first. While the nature of our relationship with our many communities certainly is a critical part of engagement, putting students first is vital as well. Through their teaching mission, America's colleges and universities have a profound potential to influence the future of what is now commonly characterized as a learning society. The key, in the view of the Kellogg Commission, is to broaden our notion of students to include so-called nontraditional learners of many different circumstances, to place them at the center of our learning communities, and to be committed to meeting their needs, wherever they are, whatever they need, and whenever they need it.

Institutional flexibility is an essential characteristic in serving a diverse group of learners across the life span. We are greatly assisted in embracing this quality by the new technologies that are highly supportive of anywhere, anytime learning. I am not one who believes that modern information technologies will displace the primacy of resident instruction in institutions such as ours. But I believe that the most significant growth area in American higher education will be in distance and continuing education.

It is for this reason that Penn State created the World Campus, a virtual university whose students are location-bound, including those whose learning endeavors occur in the workplace. It is amazing to me that we had about 1,000 enrollments in our first year of operation. Other universities, not-for-profit and for-profit, are launching such ventures. As with all IT [information technology] ventures, only some of us will flourish, especially since new economic models are required for this kind of education.

Opening up our institutions to new audiences through technology, satellite locations, flexibility in scheduling, simplified policies and procedures, expanded support services, and other such efforts is just one part of putting students first. An engaged institution also will focus on the quality of the educational experience, making every effort to prepare learners for the

challenges of life in contemporary society. In other words, our curricula — and I use that term in the broadest sense to encompass the full range of learning opportunities the university provides — must be fresh, they must be forward looking, and they must be faithful to the concern for improving the quality of life.

Old models of education no longer apply.

Certainly, we must continue to encourage the development of skills, but these now include the skills of information science and technology needed by all students and the multicultural skills that undergird success in an internationalized society. As always, we must continue to expose students to new perspectives and convey the essence of a given field to its majors, but we do so now realizing that such efforts represent only a shrinking sample of what might be studied or a freeze-frame in a body of knowledge subject to exponential growth and inevitable change.

Given these constraints, and recognizing that in an increasingly complex world the ability to understand, to evaluate, and to respond creatively to challenge and change will influence virtually all aspects of life, we must somehow equip students to continue to learn long after they leave us. Equally important, we must open their hearts as well as their minds to this task. Intellectual capital is of tremendous importance to the future. Yet so is the extent to which our institutions promote character, conscience, citizenship, and social responsibility among those whose lives we touch.

In the view of the Kellogg Commission, involving students in meaningful research and integrating the community into the academic experiences of our students are promising approaches.

Research opportunities give students important experience in problem solving, critical thinking, teamwork, and communication — all useful lifetime skills.

Internships, practicums, and service learning opportunities make the context for learning real-life situations in businesses, organizations, and communities. These experiences have many rewards. For students, they provide the impetus for critical reflection, expand horizons, and encourage responsibility and good citizenship — be it in the workplace or in the community. For the organizations involved, there is work of value being done, often on a volunteer basis. Our universities benefit as well from the good will and partnerships such activities foster.

Most universities offer these experiences. Yet such efforts can be greatly expanded to involve more students and can be integrated more closely into the overall educational experience.

Putting Knowledge to Work

If one characteristic of an engaged university is putting students first, another is putting knowledge to work. Through our research capacity and the expertise of faculty, institutions such as ours have tremendous resources for enhancing the quality of life. This has been demonstrated time and again in the role of the nation's universities in promoting economic development through technology transfer. Our role in promoting human development also has contributed much to the health and well-being of people throughout the life span. Yet the needs of society remain great: the Kellogg Commission has identified on its list of potential areas for university engagement the many issues related to education and the economy; agriculture and food; rural America, urban

revitalization, and community development; health care; children, youth, and families; and the environment and natural resources. There are others that could be added as well.

Despite our historic involvement in such areas, issues of policy, practice, and perception prevent universities from engaging with them as fully as we might.

It's been said, for example, that universities have disciplines, while people have problems. The academic culture tends to be such that the reward structure reinforces allegiance to the discipline nationally and internationally. This deters faculty from a broader institutional agenda of outreach and engagement, yet faculty involvement is absolutely essential in creating truly engaged institutions. It also discourages the interdisciplinary approaches most in keeping with the complex problems of our society.

The university culture also tends to be a bit lofty. We have to be open to learning from and with our collaborators in the community. Engagement is really a two-way street that should impact the university as much as it impacts our partners. Peter Magrath, president of NASULGC [the National Association of State Universities and Land-Grant Colleges], has called this "inreach." In the words of the Kellogg Commission, "The purpose of engagement is not to provide the university's superior expertise to the community, but to encourage joint academic-community definitions of problems, solutions, and success."

I am not saying that *all* faculty must be individually involved in the engagement agenda. There must always be a place for basic research within our universities. But if the collective faculty agenda is not one of engagement, our universities simply will not make the difference they should. The leadership of faculty, by virtue of our shared governance systems, has a tremendous influence on everything our institutions do.

Among other factors that work against engagement, universities are characteristically slow to respond. At the same time, it can be difficult to make the long-term commitments that gain the confidence and trust of community partners, particularly in assuring the stability of funding necessary to support long-term relationships.

Transformational Strategies

The Kellogg Commission has identified five strategies we believe are necessary to make universities fully effective partners for the 21st century. These are deceivingly simple at face value, but their underlying implications are so substantial that we are really talking about a transformation in our institutions.

First, institutional leaders must work to make engagement so much a priority that it becomes part of the core mission of the university. It must be reflected in the full range of activities and in every field of endeavor.

Second, specific engagement plans must be developed that recognize that this priority is not something separate and distinct, but built into everything we do.

Third, interdisciplinary research, teaching, and learning must be encouraged as part of the engagement agenda.

Fourth, incentives must be developed to encourage faculty and student engagement. There are a number of dimensions here, among them promotion and tenure review, balancing individual

faculty involvement with the collective contributions of a department, and even the role played by accrediting bodies and other external agencies.

Finally, secure funding streams must be sought to support engagement activities. Partnerships, fees, and internal allocations are all possibilities. The greatest promise seems to lie in developing new partnerships with public agencies and the private sector.

The Penn State Model

In following these strategies, no two institutions will be alike in the ways engagement becomes manifest within them. Let me share with you briefly some of the things we are doing at Penn State. Our model emphasizes the integration of teaching, research, and service.

This integration cuts across disciplinary lines to address important societal issues in terms useful to the people who live and work in the communities we share. Five interdisciplinary areas have been identified for special initiatives: the life sciences, materials science, environmental studies, information sciences and technology, and children, youth, and families. We have made a multiyear commitment in each of these areas to build faculty, enhance programs, and encourage collaboration, both internally and with relevant corporate and community partners.

In the case of information sciences and technology, I am pleased to note, we have moved with lightning speed to create a new school to address the tremendous workforce needs for skills in this area. Just one year after approval of the school, we welcomed our first students this semester [fall 1999]. It is a model of engagement, having been built from the ground up in partnership with the businesses and industries it will serve, a continuing partnership we view as essential to the school's success.

I also wish to note that our focused initiative related to children, youth, and families is *not* really a new priority for Penn State. The foundation for such an initiative had been well in place in our Colleges of Health and Human Development, Education, Medicine, Agricultural Sciences, the Liberal Arts, and Law, in concert with the outreach experience of our campuses, Cooperative Extension, Continuing and Distance Education, and other programs. Yet these were diffuse efforts that did not achieve the synergy needed to make a difference on one of the most pressing challenges facing our society: the healthy development of our youth, who for many reasons are much at risk. It was also the case that the University's role in promoting human development often took a back seat to initiatives targeted to economic development. With our newly focused priority on children, youth, and families, the many relevant forces at Penn State are being marshaled to address their important needs.

In these five areas of interdisciplinary priority and in most others as well, we are creating new opportunities for students to venture out of the classroom and into the community. For example, in our new School of Information Sciences and Technology, internships and other practicum experiences are being built into the curriculum. Service learning is capturing the imagination of both students and faculty. Our Schreyer Honors College is among the campus leaders in this effort; it is the goal of the college that every one of its students has at least one reflective service experience.

We also have restructured Penn State in a number of ways to develop more effective linkages with partners and constituents. The outreach function has been strengthened by creating a partnership of two major and previously disconnected units of the University to serve the needs of the public better. This is the joining of Penn State Cooperative Extension and Continuing and Distance Education and Public Broadcasting under a new position of Vice President for Outreach and Cooperative Extension. Our technology transfer units are more closely bridged to this new unit as well. The purpose is to enhance participation, coordination, and collaboration across the University in bringing the resources of all Penn State colleges to the people of Pennsylvania.

Penn State has a network of twenty-four campuses throughout the state. In the past, most of these campuses have emphasized lower-division instruction. Restructuring has added flexibility to offer baccalaureate degree opportunities to meet the needs of location-bound learners and local employees. This has positioned our campuses better than ever to partner with communities and be more responsive in meeting local needs.

The Penn State faculty reward system has been restructured to encourage outreach in teaching, research, and service within the criteria for tenure and promotion. In addition, the University Faculty Senate has a standing Committee on Outreach that is responsible for identifying such efforts, establishing evaluation methodologies to ensure quality, and creating recognition measures to reward outstanding performance.

These changes have created a substantial network of individuals who can and are working collaboratively to effect change. We also have given our University family a rallying cry — a slogan, if you will — that coalesces our many efforts into a unified vision. It is *Penn State: Making Life Better.* We have used this message on everything from public communications campaigns to our state funding request. It expresses the bottom line for our University.

The Future

In closing, let me say that broad societal change has created unprecedented opportunities for the nation's universities to become fully engaged with their communities and make a difference in the quality of life. From my vantage point on the Kellogg Commission and at Penn State, I believe we are entering an era of heightened responsiveness among our institutions that will prove highly rewarding in the years to come.

This transformation will change our focus from teaching to learning, out of a concern for outcomes. Research will be part of a broader emphasis on scholarship that recognizes not just discovery, but also the application and dissemination of knowledge. And the notion of service to society will be a guiding force for virtually every area of institutional endeavor.

I can't think of a more promising future, and I am thrilled that so many in higher education share this vision of engagement.

GRAHAM SPANIER
PRESIDENT OF PENN STATE UNIVERSITY

INTRODUCTION: BEYOND MAKING THE CASE FOR PROFESSIONAL SERVICE

A s early as 1983, we were writing about the concerns of leaders in higher education over the substantial neglect of institutional outreach and the need to reinforce the "responsibility of the university . . . to be instrumental in analyzing and applying [new] knowledge and in making it rapidly useful to all societal sectors" (Lynton 1983: 53). Acknowledged with that responsibility was the pivotal role of faculty and the need for their involvement in community service or other outreach to be recognized, rewarded, and reconsidered "as parts of a broad spectrum of important scholarly activity" (53).

Fortunately, higher education began to take on that responsibility to society and to consider broadening its conception of scholarly activity to include such outreach. These new notions of scholarship received widespread attention with the publication of Ernest L. Boyer's best-selling *Scholarship Reconsidered* (1990), by the Carnegie Foundation for the Advancement of Teaching. Its publication led directly to the launch in 1991 of AAHE's Forum on Faculty Roles & Rewards, which has been an important venue for discussion of these issues. (For more about AAHE, see **Appendix D**.)

More recently, higher education has given growing attention to the work that faculty do when they become directly involved in societal problems such as social and economic development and the improvement of primary and secondary schools. All sectors, most particularly the universities, have begun to acknowledge their responsibilities to become so engaged. The implication of their institutional response is the engagement of substantial numbers of their faculty members in professional service/outreach.

AAHE's 1995 release of *Making the Case for Professional Service* (Lynton), a monograph advocating institutional outreach by means of faculty professional service, increased the momentum for a number of institutional changes. Across the country, colleges and universities began to revisit and revise promotion and tenure guidelines and hiring practices, and to engage in discussions of mission. Faculty service/outreach traditionally has been touted by almost all colleges and universities as one in a triad of institutional responsibilities: teaching, research, and service. In reality, however, service has been the scholarly stepchild of the three, receiving inadequate attention and even less recognition. *Making the Case* prompted the growth of awareness of the external as well as internal importance of such outreach, and it triggered discussions on many campuses about how to integrate professional service appropriately into systems of faculty roles and rewards.

Beyond Making the Case: Need for a Guide

With the institutional changes prompted by *Making the Case for Professional Service* came a different dilemma and new questions: How do faculty document the scholarship of service/outreach? What evidence demonstrates such scholarship? What criteria should be used to judge that scholarship? With the aim of stimulating thinking, *Making*

the Case put forward the argument for a scholarship of service, illustrated by five abbreviated case studies by faculty members who had undertaken professional service activities. But, as institutions began to engage policy changes, many found themselves wishing for explicit guidance and specific examples of documentation.

Making Outreach Visible responds to that paramount need with insights and guidelines for faculty as they document their community work and for institutions as they prepare to review and reward such work. It provides specific guidance in the form of sixteen examples of faculty documentations in a wide range of disciplines. Each was written in a style and format appropriate for submission to peer review on the faculty member's own campus.

This *Guide* is sensitive to the different levels of readiness for change in faculty roles and rewards.

Two major traditions of higher education "make a case" for the protocol suggested by this *Guide*, in that both create a need for documentation of professional service activity and with it a need for guidance and examples. First is the long tradition of the still dominant model of scholarship, that of published research. It is characterized by external evaluation in the form of refereed reviews or the use of external reviewers with expertise in appropriate disciplines. The scholarship of professional service does not fit that paradigm, thus creating a need for guidance and examples so that faculty and administrators in any field can develop the capacity to evaluate individual service contributions. The second tradition is that of service as an individual faculty activity and characterized as "extra" — that is, pursued after meeting responsibilities to teaching and research. Faculty members engaged in professional service typically did so rather quietly and at their own initiative, and certainly didn't consider documenting that aspect of their professional work.

Content and Use of This Guide

Making Outreach Visible is best used in concert with *Making the Case for Professional Service*, because the former builds on the thinking and follows the direction set in the latter. *Making Outreach Visible* is intentionally called a "guide" because it addresses the "how to" issues and needs of faculty and administrators in the context of institutional change.

The major content of this *Guide* comes from the work of faculty and administrators from four campuses: Indiana University Purdue University Indianapolis, Michigan State University, Portland State University, and the University of Memphis. Four provosts (or their representatives) and sixteen faculty members engaged in a three-year project to document the scholarship of service. They debated the issues, explored possible frameworks, and posed pertinent questions about the nature and importance of professional service and its potential for scholarship. The faculty members drafted documentations, which were subjected to repeated review, critique, and revision. For additional feedback, each documentation underwent the peer review process traditional on its author's home campus. In **Chapter Five**, this *Guide* reproduces a major section of those sixteen individual professional service portfolios; other chapters address the prin-

ciples, guidelines, and insights that emerged from the campuses' documentation struggles. The faculty who participated in the project were truly pioneers, working without a model or tested directions, but as part of a collaborative team comprising other faculty members who shared their strong dedication to service/outreach and supportive administrators. The W.K. Kellogg Foundation funded that intensive and reflective process of developing the faculty documentations and has supported this publication.

The next chapter looks at the process of defining professional service, as a critical starting point for institutional change, and it suggests strategies for individual campuses to arrive at their own definitions of professional service/outreach as a scholarly activity. From there, we provide major "how to" guidance in **Chapter Three**, addressing how to use this *Guide* and its documentation examples; how to prepare a campus for re-visioning faculty roles and rewards; the logistics of documentation (content, organization, format), with guidelines for faculty documentation; and how to develop criteria to evaluate such documentation.

Chapter Four provides administrative perspectives on the scholarship of professional service/outreach and insights for the administrative role in the review of that scholarship.

Chapter Five contains the sixteen professional service/outreach portfolio entries.

In **Chapter Six** we reflect briefly on the documentation development process, and what we learned from our work with the faculty and administrators.

This *Guide* is sensitive to the different levels of readiness for change in faculty roles and rewards present across different institutions of higher education. It has been designed to guide the various aspects of the change processes and to support revision of policies and procedures at any stage in those processes. The *Guide* therefore will be helpful for a broad scope of uses:

- A resource in thinking about mission, faculty roles, scholarly agendas, and related institutional decision making.

- Inspiration for a faculty member who expresses interest in undertaking professional service/outreach.

- An orientation aid for new faculty on a campus, offering a broader conception of scholarly activity that includes outreach/service.

- A resource for a faculty member developing a scholarly agenda.

- A guide for development of individual faculty portfolios for review and evaluation.

DEFINING PROFESSIONAL SERVICE/OUTREACH

To address professional service/outreach as scholarship requires agreement on basic definitions. *Teaching* and *research* are activities universally understood and accepted. By contrast, *service* or *outreach* (usage varies among institutions) is a vague and excessively inclusive term, which has different meanings for different individuals and across different institutional and disciplinary cultures. No widely accepted typology or categorization exists of the kinds of service. To some, service is primarily understood to mean good institutional or professional citizenship. To others, it is active participation in community-based philanthropic activities. We concentrate on service as a professional activity to which professional standards of quality can be applied; such professional service can be a manifestation of scholarship.

What might characterize professional service that qualifies as "scholarly"?

One response was suggested in 1985 by Elman and Smock, who described professional service as work based on the "faculty member's professional expertise" that contributes to the mission of the university (12).

The Elman/Smock definition, with a variety of minor modifications, has become widely accepted. By stressing the individual's professional *expertise,* it excludes a wide range of volunteer work both on and off campus. Insisting that the service contribute to the *mission* similarly excludes faculty activities such as freelance consulting unrelated to the institution's teaching and research.

Many institutions have elaborated on the Elman/Smock definition, most often by making explicit mention of societal needs. For example, under the definition used at the University of Illinois, Urbana-Champaign, professional service activities

- contribute to the public welfare or the common good;

- call upon the faculty member's academic and/or professional expertise; and

- directly address or respond to real-world problems, issues, interests, or concerns. (Farmer and Schomberg 1993: 2)

Typical examples of faculty professional service that meets the criteria include:

- technical assistance and technology transfer;

- policy analysis;

- organizational and community development;

- assistance in program development and evaluation;

- professional development; and

- service-learning activities. (Lynton 1995: 17)

Undertaking a Definition Process

Many in higher education feel a tension associated with the lack of a universally accepted definition of professional service; others prefer the idea of a contextually derived definition, one that fits an institution's individual history, priorities, and circumstances.

> **Even the best definition leaves grey areas of uncertainty.**

We come down on the side of context-specificity, and in the next chapter suggest that an institution address two significant considerations. The first is a definition of professional service that fits the institutional history, priorities, and circumstances. Definitions of professional service generated by others serve as discussion points from which to begin this first process. We urge readers to use **Appendix A** to obtain the materials described there, which contain definitions from other campuses. Those examples will provide a good base for discussion at the departmental, collegiate, or institutional level with the intent of exploring whether any of the examples suit local circumstances or how they might be modified to do so.

The second consideration acknowledges that even the best definition leaves grey areas of uncertainty. Does "professional expertise" mean knowledge of one's formal academic discipline, or can such expertise extend to other fields as well? Are we always talking about *external* activities, or can *on-campus* activities be included; and if they can, under what circumstances? This external/internal issue can be quite thorny, because it raises questions about faculty contributions to their institution or their discipline/profession in serving on campus committees, participating in governance, organizing meetings and other special events, and so on.

Such activities are very important; without them neither academic institutions nor professional associations could function. Yet more and more campuses have come to the realization that such faculty work, however important it might be, typically lacks the intellectual content and other attributes to be "scholarly"; that is, it is good citizenship rather than good scholarship. Of course, there are important exceptions — serving on a task force to revise a core curriculum, for example.

Again, all such matters need to be addressed within the local context. What broad categories of faculty work should be included and what excluded? To what extent do borderline issues need to be resolved in advance, or can they be dealt with ad hoc, as they arise? These questions and others should be part of the process of definition, and decisions about them made according to institutional traditions and culture.

Once an institution reaches initial consensus on definition and nomenclature — subject to review and revision on the basis of the subsequent steps of the process, of course — campus groups can begin to generate and discuss what criteria of excellence they might use to judge this thing they now have defined. **Chapter Three** addresses those next steps in the campus discussions and the processes that must precede and follow the definition decisions.

Final Comments on Documentation

If professional service/outreach — whatever the details of its definition — is to become an important role for a significant number of faculty members, it must be appropriately recognized and rewarded. In turn, this requires adequate documentation processes so as to make the activity "visible" to academic colleagues and subject to their peer review.

Documentation must mean much more than merely listing an activity or an item in a curriculum vitae. Adequate documentation is a combination of narrative, explanatory, and illustrative material that allows the faculty member's peers to understand his or her purpose and process as well as the outcomes of the professional service activity. Such documentation addresses the whats and hows: It describes the impact the service activity had on the faculty member and the external partner, as well as its impact on colleagues and students.

Making the Case called for a revival of the tradition of professional service, began the definition process, described its potential for scholarship, and suggested criteria for excellence. *Making Outreach Visible* provides the insights, examples, and support that institutions of higher education need in order to follow the direction set by *Making the Case*. Readers are encouraged to use this *Guide* for multiple, campus-appropriate purposes with a commitment to study and reflection on the scholarship of professional service and its documentation.

DOCUMENTATION: GUIDANCE FOR DEVELOPMENT AND REVIEW

This *Guide* is designed to contribute in three ways to the process of reformulating the faculty roles and rewards system to recognize and reward professional service/outreach:

- by providing actual faculty documentation examples, resources, and specific guidance;

- by posing questions and issues for exploration; and

- by encouraging diversity of documentation within a context of common criteria and guidelines.

The *Guide* can serve as a resource early in an institution's reform process, or later when explicit "how to" is needed. Our recommendation is that the institution begin re-visioning its faculty roles and rewards system with a period of intensive study, using specific sections of this *Guide* to spark and guide discussions.

SPECIFIC RECOMMENDATIONS FOR STUDY AND DEVELOPMENT OF DOCUMENTATION

Keeping in mind the three possible applications of the *Guide,* we recommend to institutions a number of processes for studying the issues related to the scholarship of professional service/outreach, revising promotion and tenure guidelines, and restructuring their faculty roles and rewards system. The processes are sensitive to the different levels of readiness for change present across different campuses.

Preparation for Discussion: Building a Knowledge Base

Before a campus engages in a review or revision of its faculty roles and rewards and related policies and procedures, it is important for it to create a shared campus knowledge base — that is, a body of common understandings held by both its faculty and administrators. We suggest that campus representatives (faculty, administrators, members of personnel committees, faculty senators) who will be involved in such a review first become familiar with pertinent literature. Specifically, we recommend three books as starting points:

- *Scholarship Reconsidered,* the seminal Carnegie report by Ernest Boyer, which first drew widespread attention to a broader conception of scholarship.

- *Scholarship Assessed,* Carnegie's follow-up report, which describes common features of all scholarship and suggests a basic set of criteria for judging its quality.

- *Making the Case for Professional Service,* AAHE's companion to the current volume, which lays out our argument for a scholarship of service.

(See **Appendix B** for an annotated list describing these and other useful readings.)

Development of this campus knowledge base will profit from the institution sending teams of faculty and administrators to conferences that offer agendas addressing the kind of changes to which this *Guide* is dedicated. Specifically, the annual conferences of AAHE's Forum on Faculty Roles & Rewards feature many workshops and sessions from which such teams can derive insights and direction. Other valuable conferences and meetings include those of national Campus Compact, the Invisible College, the Association of American Colleges and Universities (AAC&U), and the National Association of State Universities and Land-Grant Colleges (NASULGC). Additional insights and guidance can be gained from materials already developed by other institutions (see **Appendix A**).

Beginning With Inquiry: Defining and Documenting Professional Service

Once a campus has developed this shared knowledge base of service-related issues, we encourage representatives of the pertinent committees, the faculty senate, and the administration to read *Making Outreach Visible* and engage in discussion. Exploratory and reflective, these first discussions begin with the group considering three key questions:

- How do we define professional service at our institution?
- What criteria of scholarly excellence do we expect our faculty's professional service to meet?
- How can professional service be documented such that it is visible and understood by a faculty member's peers?

From there, this *Guide's* sixteen prototype portfolios can be used sequentially by the group in two different ways. First, the entries can be used as test cases in which the group evaluates the adequacy of the documentation. Second, the portfolios can be used to prompt discussion of how to evaluate the quality of the professional service itself.

Using the Portfolios: Evaluating the Adequacy of the Documentation

The core of this *Guide* consists of sixteen prototype portfolios of professional service by faculty members from a range of fields, from art to veterinary medicine. (See **Chapter Five**.) The service projects described in the portfolios vary widely in external partners, duration, format, and outcomes. Such diversity is to be expected.

For our purposes, that the portfolios are so diverse is highly desirable. It is this very diversity that will prompt readers to analyze and criticize the sixteen examples to arrive at their own conclusions and decisions about the scholarship of professional service and how to document it. We predict discussion of the portfolios will generate a spread of reactions, which can become the grist on the mills of debate in a collegial search for answers to the key questions posed above.

Once the campus representatives have arrived at a tentative definition of quality or a beginning set of criteria, they can test some or all of the portfolios in turn, examining whether each:

- furnishes the information needed to apply the criteria,
- does so in an economical length,
- is organized clearly, and
- is well written.

This "grading" of the prototype portfolios is directed toward the goal of agreement on documentation guidelines to be used at the institution. Here too, the portfolios' diversity of disciplines, type of activity, and style of documentation will lead to lively and fruitful discussion. Different reactions, unexpected issues, and new questions are assets in the process of developing guidelines specific to the institution and suitable to its unique culture.

Using the Portfolios: Evaluating the Quality of the Professional Service

The second use of this *Guide*'s sixteen prototype portfolios is a repetition of the process of examining some or all of them, but this time to evaluate the quality of the professional service activity they describe:

- Is the activity outstanding, average, or less than adequate?
- What features make it outstanding, or average, or less than adequate?
- What would improve its quality?
- How could its scholarly nature be strengthened?

Again the group will find that different group members will evaluate differently, and will respond to the questions in a variety of ways. And again, such a spread of reactions is an advantage, as it will trigger substantive and productive discussion of the nature of scholarship and possible measures of its quality. Those discussions can be factored into the campus criteria of excellence, criteria for evaluating the professional service activity, criteria for assessing its scholarship.

Coming to Consensus

Throughout the discussion processes, it is also useful for the group to review examples of materials generated on other campuses (see **Appendix B**). And it is important for group members to stay on task in discussing the portfolios — that is, our observations on various campuses tell us that many group members will automatically focus on evaluating a case, rather than taking it as a prompt for discussions and decisions about the quality of documentation and criteria for scholarship in principle. Finally, their explorations need to be grounded in the particular campus context in order to arrive at decisions and guidelines that reflect the individuality of that institution.

Once there is a campus knowledge base and agreement on definitions, faculty and administrators are ready for the logistics of documentation: appropriate content, format, and organization.

Documentation: Content, Organization, and Guidelines

Much of the learning captured in this *Guide* comes from the exploratory process of documentation undertaken by the faculty participants whose portfolios appear in **Chapter Five**. Lessons from their repeated revisions and input from multiple reviewers are synthesized below.

Content

One of the major insights the project's faculty members gained from their exploratory process was that to capture the major components of their service activity in a portfolio they needed to provide a substantial personal narrative. For a portfolio's readers and reviewers to understand the nature of the work — appropriateness and clarity of the goals and methods chosen, significance of any impact or outcomes, quality of any collaboration and reflection — requires a familiarity with the faculty member's thinking. That thinking by faculty about choices, decisions, and evaluation is best expressed in a sufficiently detailed narrative.

In a service portfolio, the narrative is accompanied by examples of outcomes, as well as materials illustrating the service methodology, such as a copy of any contract or agreement with the community partner, copies of any survey instruments or questionnaires used, written documentation of meetings, and so on. The project's faculty generated an extensive list of possible support evidence, with attention to alternative forms of scholarship (see **Appendix C**).

Once a set of criteria for faculty professional service at the institution has been formulated, it will become clear what information is needed in order to apply them. Thus, content follows in a fairly direct way from criteria. The other major determinant of content is the project or work itself. That professional service activities vary will naturally lead to varied content categories. Details of criteria also will vary from campus to campus, but we find underlying similarities and consistencies, which point to principal elements of documentation content. Those common content elements or topics clearly emerged in the work of the sixteen faculty in our project:

- A basic description of the activity itself, to include purpose, intended goals, participants, and stakeholders.
- Context for the activity, to include setting, available resources, constraints of resources and/or time, and political considerations.
- The individual faculty member's expertise and prior experience.
- Connection of the current activity to the faculty member's future and past scholarly agendas.
- Choice of goals and methods, with a literature base and working hypothesis directing those choices.
- Evolution of the activity, to include ongoing monitoring, reflection, adaptations, and adjustments.
- Outcomes and impact on various stakeholders, including what the faculty member learned.
- Mode of dissemination to the profession or discipline.

This list is intended to provide an adequate first approximation to be discussed, revised, and refined on each campus according to local preferences.

Organization and Format

The best documentation is one that most effectively communicates and "makes visible" the scholarly activity of professional service. What works "best" will vary depending on the nature of the service activities. The sixteen prototype portfolios in this *Guide* illustrate such diversity of organization and format.

A number of campuses have moved in the direction of asking their faculty to organize documentation according to the institutional criteria to be met. Michigan State University is an example of this approach, suggesting that faculty portfolios be arranged according to four basic points of excellence (see Table 2 on page 19). Other campuses, Portland State University, for example, have suggested that faculty use the criteria found in *Scholarship Assessed*, which the university has reprinted in its promotion and tenure guidelines. In contrast, other institutions provide no guidance to their faculty regarding portfolio organization. Overall, too few higher education institutions have worked out their policies and procedures in adequate detail for us to draw any conclusions about general organizational trends.

As the faculty participants in our project struggled to organize their material into clear and convincing documentation of their professional service, a framework emerged from their discussions and experimentation. As before, we would suggest that framework (see **Figures 1-4** on the next two pages) only as a starting point for campus discussions, as one set of possibilities, not as an intact organizational structure to be applied wholesale. Our faculty participants found that some elements of the framework were very appropriate and helpful to their documentations, and some were able to use it in its entirety. The variation in professional service activities makes it very difficult to have a single, universal framework. What is important instead is that each campus provide guidance to its faculty about institutional expectations of content and that it suggest an organizational scheme.

We make the same recommendation regarding format. In the Kellogg project, we saw two trends emerge from the work of the faculty participants. In one format they used, the examples of evidence were integrated within the narrative (in **Chapter 5** see the Education documentation by Rosaen); another format placed all of the evidence and supporting material at the end of the narrative (see the Engineering portfolio by Rad). That same variation occurred when the faculty struggled to include reflections in their documentation. Some found that it worked well to include mini-reflections after each section (see the Psychology documentation by Ross), while others reflected more broadly at the beginning and/or end of their narrative (see History by Schechter).

The important question is, once again: Which format contributes clarity and convinces the reader? We believe that the choice of format should be left to the faculty member preparing the documentation.

> The best documentation is one that most effectively communicates and "makes visible" the scholarly activity of professional service.
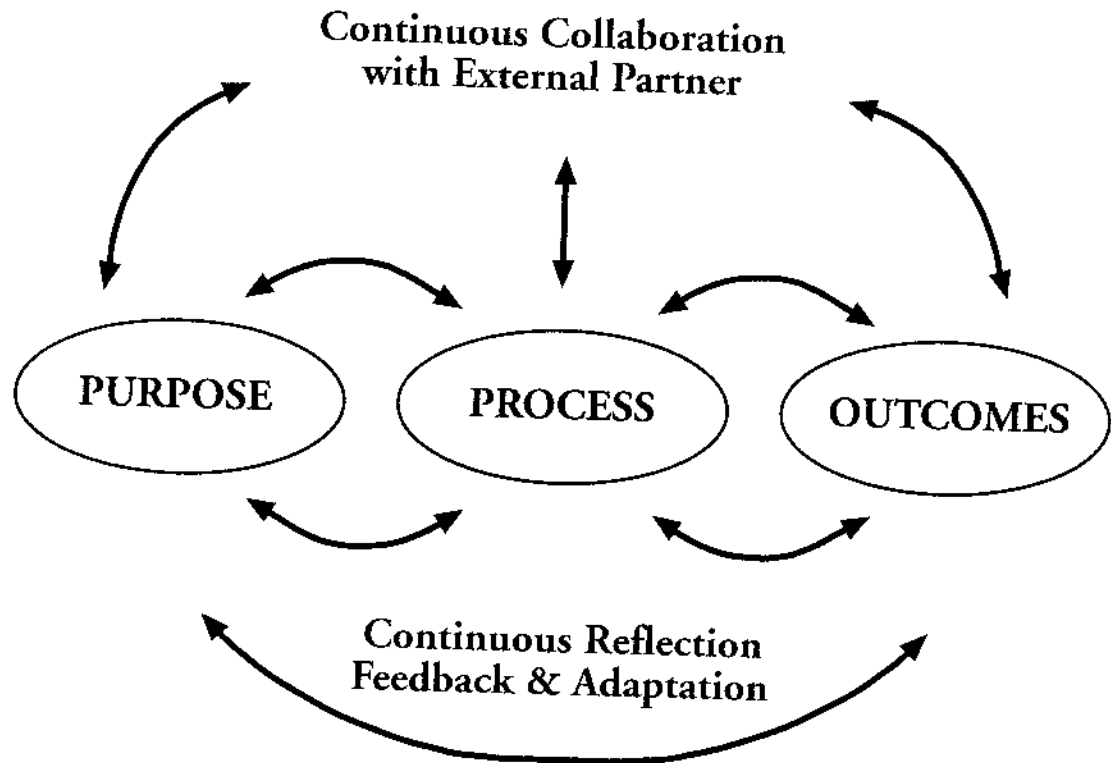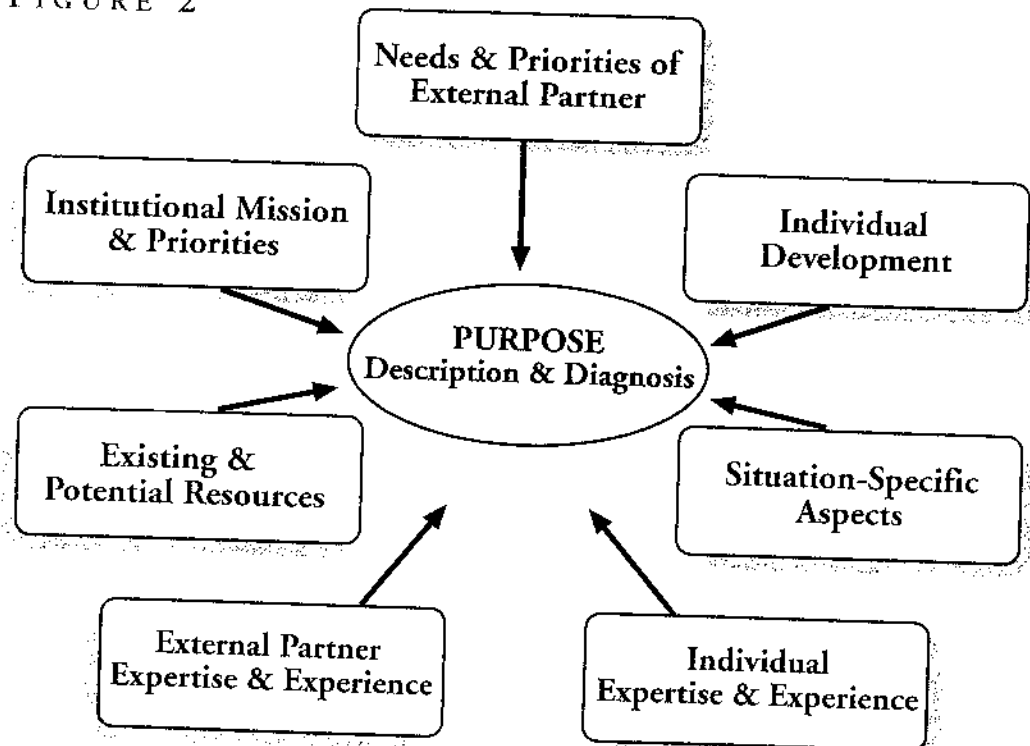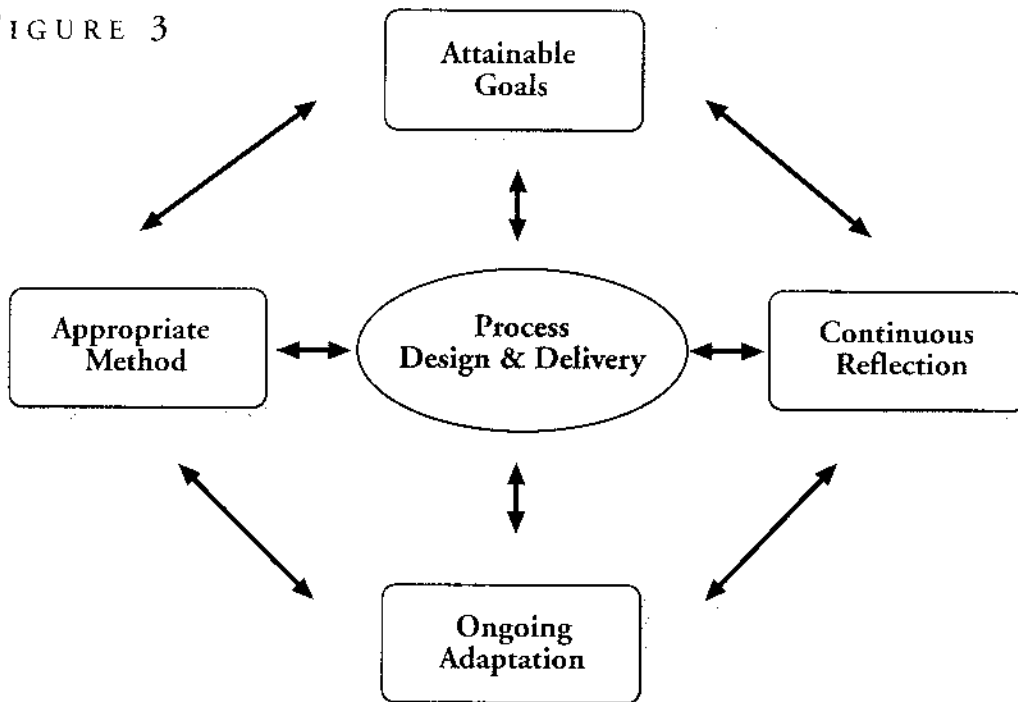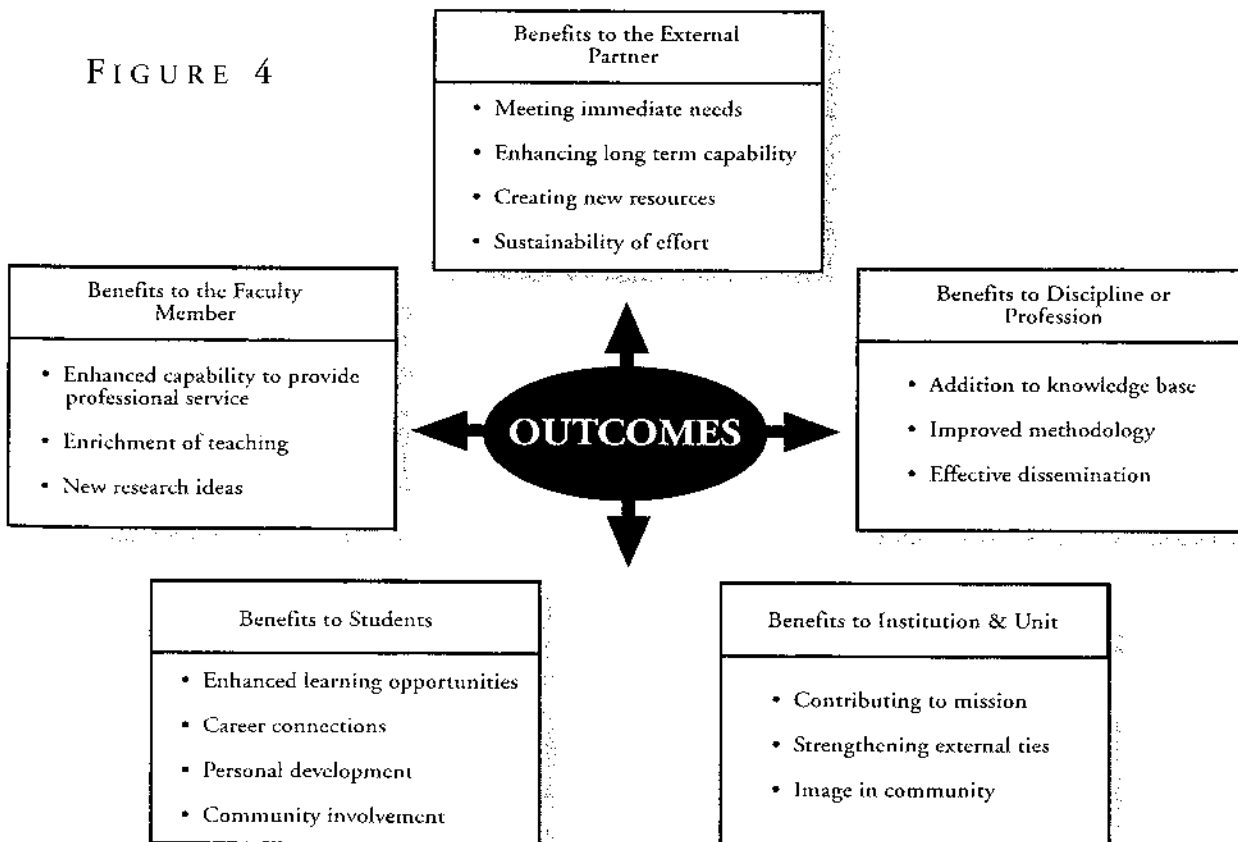
FIGURE 1

**Continuous Collaboration
with External Partner**

PURPOSE   PROCESS   OUTCOMES

**Continuous Reflection
Feedback & Adaptation**

FIGURE 2

Needs & Priorities of
External Partner

Institutional Mission
& Priorities

Individual
Development

PURPOSE
Description & Diagnosis

Existing &
Potential Resources

Situation-Specific
Aspects

External Partner
Expertise & Experience

Individual
Expertise & Experience

FIGURE 3

FIGURE 4

Guidelines

One of the most valuable contributions made by the Kellogg project participants, both faculty and administrators, was the development of a set of **Guidelines for Documenting Professional Service/Outreach.** Those guidelines emerged from the group's struggles, their intense discussions, their repeated revisions, and from their shared decision making. Users of this *Guide* will find them to be of great help in their own documentation efforts. The guidelines are by no means a final set; instead, they are a foundation for the ongoing institutional learning process to which this publication invites readers. We urge you on your campus to contribute any insights you generate from your own discussions and decision making.

GUIDELINES FOR DOCUMENTING PROFESSIONAL SERVICE/OUTREACH

In addition to the ideas presented in this chapter about content, organization, and format . . .

- Consider documentation as an ongoing process, rather than a summary of the outcomes of a service/outreach activity.
- Begin documentation by considering your audience and the purpose of the information.
- Focus on documenting your individual contribution, rather than documenting the project.
- Work to achieve a balance of focus between process and impact.
- Wherever applicable, clarify the intellectual question or working hypothesis that guided your work.
- When presenting community impact, discuss the significance of the impact and how it was evaluated.
- Make a clear distinction between your individual faculty role and that of others in any collaboration.
- Locate the service/outreach activity in a context (campus mission, departmental priorities, national trends).
- Show your individual faculty expertise and experience as inputs.
- Be selective about what information to include; ask yourself whether the information helps make the case for scholarship.
- Show the professional service/outreach activity as a platform for future work.
- Strike a balance between brevity and completeness.
- Keep your reflection and self-assessment focused on process and outcomes.
- When possible, view documentation as an instructive tool or one with which to socialize others about professional service/outreach.

BEYOND THE GUIDELINES: FINAL RECOMMENDATIONS

The faculty participants in our project summarized their final insights in two important recommendations. The first was directed to faculty from the administrator's perspective:

- Develop both a short version of your documentation (almost an abstract) and a longer version including narrative and reflection.

This idea came in response to the dilemma of satisfying different audiences — the initial review committee who insist on detailed documentation versus a final committee or administrator reviewer who cannot realistically work with large numbers of lengthy documentations. (Chapter Four, which provides an administrative perspective, further addresses issues of length and detail.)

The second recommendation was from the faculty participants and related to the value of collective critique:

- Make documentation a continuing process, with ongoing feedback from colleagues.

They pointed to the mutual learning that takes place in collaborative or collective critique, and urged institutions to provide such collaborative structures to support faculty documentation efforts.

Before making final decisions about the content of documentation, and even about the format or organization for making the scholarship of service visible, it is essential for an institution and its faculty to know what criteria will be applied to the work. We address this question of standards and criteria next.

CRITERIA FOR SCHOLARSHIP OF PROFESSIONAL SERVICE

In order to decide what the documentation should contain, and what aspects of the faculty member's work that documentation should display and make visible and understandable, it is essential to know what criteria of quality, what standards of excellence, should be applied to the work. What is it that makes professional service a scholarly activity? What are the criteria by which one is able to judge whether a given outreach activity is outstanding or merely routine? creative or merely repetitive?

As always, these questions need to be answered at each institution through inquiry and reflection, with attention to local tradition, circumstances, and goals. We recommend that each department, each school or college, or each promotion and tenure committee formulate its own responses to the question of criteria.

Developing Criteria: How to Begin?

Fortunately, there is no need for each campus to start from scratch. In recent years a substantial consensus has emerged from a great deal of work and discussion as to the nature of scholarship. The annotated bibliography in this *Guide* (see **Appendix B**) lists a number of pertinent publications. Those publications emphasize the inclusive nature of scholarship — scholarship that is not limited to traditional research. They also reflect the thinking that characterizes the sixteen documentation examples in this *Guide*: that

scholarship is manifested in the quality of the process of the activity as much as it is in the outcomes. In professional service — as in teaching and research — the documentation must explain the impact of the activity.

A central question in the evaluation of professional service/outreach is the scholarly content of the activity. *Making the Case for Professional Service* identifies creativity as the essential and perhaps even defining characteristic of scholarship. As stated there, scholarship is

> the antithesis of rote and routine. . . . Scholarly work is not carrying out a recurring task according to a prescribed protocol, applying standard methodologies. What unifies the activities of a scholar, whether engaged in teaching, research, or professional service, is an approach to each task as a novel situation, a voyage of exploration into the partially unknown. (Lynton 1995: 25)

This understanding of the nature of scholarship leads directly to the kind of criteria of excellence that can be applied. Once again, we urge each institution to discuss and develop criteria in terms that can be widely accepted throughout the campus. That reflection and discussion can be prompted using examples from other campuses; comparing and contrasting them is a good first step.

Examples of Measures of Quality: Criteria Possibilities

Making the Case for Professional Service suggested the following set of measures to be applied to faculty professional service activity, and indeed to all forms of scholarship:

- depth of the expertise and preparation;
- appropriateness of chosen goals and methods;
- effectiveness of communication;
- quality of reflection;
- impact; and
- originality and innovation. (Lynton 1995: 49)

More recently, *Scholarship Assessed* recommended six criteria that can be applied to the evaluation of all scholarship:

- clear goals;
- adequate preparation;
- appropriate methods;
- significant results;
- effective presentation; and
- reflective critique. (Glassick et al. 1997: 23)

A growing number of universities have addressed the assessment of professional service, and several have completed or are in the process of revising their faculty handbooks and promotion and tenure guidelines to accommodate such evaluation. **Tables 1 and 2** display examples from two institutions with contextually developed criteria.

TABLE 1

Criteria for Scholarship From Indiana University Purdue University Indianapolis

1. IMPACT to include effectiveness, significance to recipients, significance to university, and professional development of faculty;

2. INTELLECTUAL WORK to include command of expertise and innovative, effective, and ethical solutions;

3. SUSTAINING CONTRIBUTION to include work that is developmentally more complex, and that provides leadership in the field;

4. COMMUNICATION including professional, and multiple and diverse modes; and

5. INTEGRATION with teaching and research.

SOURCE: *Report From the IUPUI Task Force on Service,* September 17, 1996. Indianapolis, IN: Indiana University Purdue University Indianapolis.

TABLE 2

"Points of Distinction" Criteria From Michigan State University

1. SIGNIFICANCE
   To what extent does the outreach initiative address issues that are important to the public, specific stakeholders, and the scholarly community?

2. CONTEXT
   To what extent is the outreach effort consistent with the mission of the university and unit, the needs of the stakeholders, and the available and appropriate expertise, methodology, and resources?

3. SCHOLARSHIP
   To what extent is the outreach activity shaped by knowledge that is current, cross-disciplinary, and appropriate to the issues? To what extent does the work promote the generation, transmission, application, and utilization of knowledge?

4. IMPACT (EXTERNAL AND INTERNAL)
   To what extent does the outreach effort benefit and affect the issue, community, or individuals, and the university?

SOURCE: "Points of Distinction: Planning and Evaluating Quality Outreach," 1996. East Lansing, MI: Michigan State University.

Common Features

We could cite a number of other lists of criteria, but the examples above should suffice to draw some general inferences here. At first reading there appear to be substantial differences among the examples; in fact a more careful review reveals considerable similarities and overlap. In some way, all of the criteria sets make reference to the following:

- expertise of the faculty member;
- adequacy of resources;
- appropriateness of goals and methods;
- importance of the process; and
- multiple impacts, including explicit or implicit mention of innovation and the generation of new knowledge.

The criteria in **Tables 1 and 2** reflect the particular priorities and values of their respective institutions. Their differences underscore the importance of individual campuses designing their own criteria with their unique language and priorities. We encourage readers to procure the campus materials described in **Appendix A** and to gather additional examples from nearby or like institutions.

Once again, we urge readers to initiate substantive discussions on their campus to begin the process of generating an appropriate set of criteria with which to evaluate the scholarship of professional service/outreach. Further, we encourage that discussion be informed by a study of examples and the literature, with a focus on questions such as these:

- To what extent should the criteria of excellence our institution applies to professional service be the same as or similar to the criteria it uses to evaluate teaching? research?
- In what ways should the sets of criteria differ?
- What criteria should we consider to be most important when we assess a faculty member's professional service activities?
- In how much detail should we formulate the criteria?

Such a reflective process will yield a set of criteria that are sound and, at the same time, reflect the particular priorities, traditions, and mission of its campus. The process is well worth the time commitment implied by the recommendations described in this chapter. At the University of Memphis, administrators and faculty have dedicated more than three years to the prescribed study and discussion process. We encourage that level of commitment for institutions initiating or contemplating change in their faculty rewards system.

ISSUES FROM AN ADMINISTRATIVE PERSPECTIVE[1]

The lack of tradition and models for reviewing and evaluating professional service/outreach scholarship leaves administrators on uncertain ground for their role in the decision-making processes of promotion and tenure. At the same time, administrators in higher education have the potential to increase the scope and impact of the service and outreach efforts of their faculty by acknowledging and addressing the issues that currently make their administrative role in those contexts so precarious. In this chapter we intend to begin to identify those issues and concerns, and to make initial recommendations for addressing them.

ISSUES OF REVIEW AND EVALUATION

From an administrative perspective, the major issues to be addressed in the review and evaluation of the scholarship of professional service/outreach are:

1. The need for standards, expectations, and/or criteria with which the documentation portfolios can be assessed.
2. The need for resources to support institutional approaches to the review process.
3. The need for clarity with respect to faculty time commitments to service/outreach.
4. The need for alternative modes of dissemination (publication, presentation, etc.) of the scholarship of professional service/outreach.
5. The need for sophisticated understanding of the nature of service and outreach work and the scholarship that emerges from such efforts.

For some of these issues, what's needed is the same kind of ongoing and intense discussion and experimentation that has been encouraged throughout this *Guide*. The issues only further confirm the importance of institutional study, reflection, and decision making. For other of these issues, the potential exists for resolution on a national level, with supportive implications for individual institutions. Then some of these issues can be easily addressed on the individual faculty or institution level. For most, however, resolution will come only through contextually appropriate responses by individual institutions to their unique cultures.

Issue 1: Standards, Expectations, and/or Criteria at the Institutional Level

A consistent theme of this *Guide* has been a call to describe and establish standards or explicit expectations against which individual outreach/service achievements can be measured. That process begins with a mission or vision statement that not only identi-

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fies community service/outreach as a priority but also goes on to describe kinds and targets of outreach that are valued. This issue is complicated by the question of locus of control — that is, whether the mission is to reflect the values of the institution, the school or college, the department, or the individual unit. Typically, traditional scholarship (research) is viewed in the context of a discipline and assessed according to departmental criteria, often influenced by standards of that discipline. The scholarships of teaching and service/outreach more often are viewed in the context of an institutional mission, but only occasionally in light of a departmental mission. That the scholarship of service/outreach does not as yet have a tradition means we must consider all levels as we explore the review process for it.

Recommendations. The alignment of mission, priorities, and expectations may have to occur at multiple levels, with careful checks for contradictory messages. While that alignment process may be a labor- and time-intensive one, the resulting clarification and consensus will provide consistency for faculty decisions about their scholarly agendas and for a wide range of decisions about resources across campus. From there, it will be possible for institutions to craft a set of criteria to guide individual faculty documentation efforts and to inform the work of reviewers and evaluators of that documentation.

> This issue is complicated by the question of locus of control.

When mission statements are specific and descriptive about the kinds or targets of outreach/service, the development of criteria will be easier. For example, knowing whether a department emphasizes outreach to industrial partners or to K-12 students will inform criteria, but it also will support reviewers in making judgments about a faculty member's service contributions to the departmental mission. When mission statements are vague or ill-defined, the locus of control issue emerges to haunt the review and evaluation process. An individual faculty member who submits her documentation already anxious about how it will be reviewed faces unnecessary stress when the possibility exists for divergent interpretations of how her work fits within the mission of university or department. Promotion and tenure, which is a hybrid of faculty and administrative review, is a practice complicated by diffusion of responsibility — chief academic officers contend that faculty control the process, and faculty counter that administrators set the agenda of what is valued and rewarded.

Thus, a campus that dedicates its resources and time to study and decision making for consistency in mission, priorities, and criteria at all critical levels for the scholarship of service/outreach provides secure footing for the individual documentation process as well as for multiple levels of administrative review and evaluation. Such institutional and departmental clarity and reflection bring with them the additional benefits of the cohesiveness and energy that come with agreement on direction and assignment. For administrators, those payoffs may be well worth the time they might give to discussions that are the precursors of decision making.

Issue 2: Resources and Institutional Approaches

Admittedly, portfolios and the kind of documentation encouraged by this *Guide* can be an expensive form of assessment. But for portfolios to have a significant effect, administrators should not be put off by the apparent high cost of using such documentation as developmental and evaluative tools for faculty.

One factor in the expense is the length and detail of the documentation to be reviewed. The documentation examples provided in this *Guide* are not the kind of evidence that committees are accustomed to reviewing, and their bulk does not allow the review process to work as efficiently as that for the scholarship of research. At the same time, if the scholarship of service is to be reviewed and rewarded, institutions must ensure that a faculty member's departmental colleagues as well as administrators have the resources (and preparation) they need in order to spend the time and energy that thoughtful review requires.

> One factor in the expense is the length and detail of the documentation.

At first glance, the review and evaluation of professional service/outreach scholarship looks much more costly than that of traditional scholarship. However, the referce process through which scholarly manuscripts are reviewed and evaluated, often with multiple levels of critique and revision, carries a high cost too. We just don't often acknowledge the expense of that review system — one that is usually supported by institutions of higher education. So perhaps assessment of professional service is not so different or so expensive. The challenge is how and where to direct resources for the review of professional service scholarship to yield an evaluation system as robust and valid as the one we have traditionally used for research scholarship.

Recommendations. One recommendation here is to establish a national system of peer review for the scholarship of professional service/outreach — a proposal for which is being developed. While such a resource would not absolve individual institutions from their responsibility in the review process, it would offer the potential for excellent guidance and models for campus-based work.

A second recommendation is for workshops and other venues in which to prepare faculty members and administrators for their roles in the review process. Michigan State University has held a series of leadership development meetings targeted to such preparation for department chairs. Sessions also have begun to be available on a national level at conferences such as AAHE's annual Conference on Faculty Roles & Rewards and at individual institutions. The Center for Academic Excellence at Portland State University and the Office of Faculty Development at Indiana University Purdue University Indianapolis have each held mock deliberations of promotion and tenure committees. At these events, faculty and administrators have used cases of the scholarship of service and the documentation examples provided in this *Guide* to explore areas of uncertainty, identify gaps, and affirm the strengths of those examples for the review process. Their deliberations make public the existence of a review process for profes-

sional service/outreach, even as they prepare their participants for future responsibilities as actual committee members.

A final recommendation emerges from the possibility of layering the evaluation process. That is, the major review work could be conducted at the departmental level and/or through external review; from there, the department could forward to the next level of review an abstract of the documentation, with the conclusions of the peer and/or external review succinctly represented. Such a layered process already exists at many institutions for the review of other forms of scholarship, so a smooth transition for the review of professional service/outreach scholarship is possible.

Issue 3: Clarity of Faculty Time Commitments

In order for reviewers to make informed judgments about the scholarship of professional service/outreach, they must have an accurate perception of the faculty member's time commitment to the service work or project. Administrators at the unit level must be explicit about their expectations for how faculty members should divide their time between research, teaching, and outreach/service, and so must the individual faculty member be explicit in the description of his outreach work.

This issue at first sounds quite simple to address. However, in many cases it is often difficult to draw a precise division between research and outreach scholarship, or between outreach and teaching. Many of the faculty whose documentations appear in this *Guide* deliberately integrated several aspects of their faculty responsibilities in their service work, but we also urged them to be clear about describing their time investments.

Recommendations. We have begun to address this issue by urging both administrators and individual faculty members to be specific and clear about faculty time commitments to professional service/outreach. When outreach activities have been funded, also providing information about what resources were available assists reviewers of the portfolio by providing more detail to the context description.

Issue 4: Alternative Channels of Dissemination

The long-term tradition of research scholarship being measured by number of publications and quality of journals poses a challenge for review of the scholarship of professional service/outreach. Initially, reviewers of service scholarship quite possibly will do so with a focus on traditional outcomes — number and quality of publications, amount of financial support awarded to the individual faculty member or academic unit for the scholarly work. And as a significant number of the Kellogg project faculty demonstrate in their documentations in **Chapter Five**, those kind of outcomes are appropriate and effective measures for some forms of professional service/outreach.

The challenge for higher education is, however, to create a broad range of accepted dissemination modes. Within that challenge is an agenda for higher education to make its faculty expertise more widely and rapidly available to the society that supports it. Meeting that challenge calls for creativity and initiative on the part of administrators and faculty and their professional disciplines to create and promote alternative forms of scholarship dissemination. We find it encouraging that several discipline-specific pro-

fessional associations have begun to legitimize the scholarship of service/outreach in both their journals and national conferences.

Recommendations. As noted, a likely direction in the early development of alternative forms of dissemination is through professional associations. AAHE senior associate Edward Zlotkowski (1998) has urged faculty and administrators to lobby their disciplinary associations to make the scholarship of service one of their publishing and conference priorities. His work on AAHE's eighteen-volume *Series on Service-Learning in the Disciplines* provides models of service and outreach scholarship that have already achieved both national visibility and respect. Individual faculty and institutions can provide their support to such projects to advance alternative channels of publication and other dissemination.

Another channel we urge individual faculty members to explore is community dissemination, as have the sixteen faculty members whose documentations appear in this *Guide*. Faculty doing so will need the support and guidance of their peers and administrators. At the institutions in the Kellogg project, insights about appropriate community publication focused on scholarship documentations that went beyond reportage. Participating faculty were urged to seek publication or other dissemination forms that both demonstrated outcomes and provided evaluative commentary about the effectiveness or success of the service/outreach. Such forms need to be developed and demonstrated both locally and nationally.

Issue 5: New Understandings of Service and Its Scholarship

Within this issue is yet another opportunity for leadership by higher education's administrators. Professional service/outreach and related scholarship possess distinctive qualities that differ enormously from the work and documentation of traditional research scholarship. Those differences are only just beginning to be identified and named through the work of the Kellogg project faculty. As those characteristics emerge, however, it will be important for institutions to explore and respect them.

One distinction noticeable in many of the professional service/outreach scholarship examples is the collaborative nature of the work. Evaluation of community-based scholarship is complicated by teamwork. When others are involved in the planning and execution of a faculty member's community activity, it can be difficult to disentangle their respective contributions. Faculty in the Kellogg project struggled to highlight their individual role and contributions while describing the collaborative context in which they worked.

A second distinction of community-based scholarship is that its documentation is heavily process-descriptive, in contrast to the traditional reporting of research. Some of the documentations in this *Guide* are candid about reporting failures, mistakes, and related lessons learned as part of the scholarly process. In research scholarship we seldom hear of failed pilot studies, problems of data analysis, or technical problems of data collection. But the documentation of professional service/outreach relies heavily on process description, because process remains one of the most salient accomplishments of significant community engagement.

A third distinction of the documentation of outreach scholarship is an emphasis on human interactions. Those interactions are integral to and possibly the purpose of outreach scholarship, making such emphasis entirely appropriate. The scholarship of service describes interactions between the academy and the "real world." How effective an individual faculty member's service work is depends greatly on her ability to participate with and empower people with different needs, skills, and values. The documentation examples in this *Guide* highlight scholarly learning and personal growth around issues of diversity, communication, and collaboration.

The administrative challenge here is to understand and reward the distinctiveness of the work and scholarship of professional service/outreach. The next step for administrators is to help further that same understanding and recognition among the faculty and the professions.

Recommendations. One strategy is to use documentations such as those found in this *Guide* for formative evaluation of faculty. An ongoing assessment process would take advantage of the distinctiveness of the scholarship of service/outreach. Its emphasis on collaboration, human interaction, and personal learning has potential for administrative engagement with faculty in an assessment approach that yields guidance and direction.

A second recommendation is for faculty to emphasize and present a clear theoretical rationale for their scholarly documentation. Such a rationale, especially for community work that is ongoing and developmental, can provide administrators and other reviewers a basis for understanding the portfolio's descriptions of decisions, collaborations, adaptations/adjustments, and intended/unanticipated outcomes. Properly placed in a theoretical context, descriptions of process can take on new meanings. Articulating a theoretical base for community work assists faculty in making a case that their efforts transcend the idiosyncratic qualities of an individual project or activities and, in fact, make contributions to the knowledge base.

In Sum

The issues described in this chapter represent a first step in the exploration of administrative perspectives on the scholarship of professional service/outreach. As individual institutions and higher education generally seek a renewed commitment to engagement with community, additional issues, questions, and concerns will emerge. Probing new issues and raising more questions will promote the understanding and acceptance that is sought by those faculty members who blend their expertise with that of communities outside of the academy.

This initial look at issues from an administrative perspective directs academic leaders to create a climate of serious discussion and decision making, as well as to dedicate resources to support and expand the scholarship of professional service/outreach. A critical first step is understanding and communicating the nature and benefits of community outreach. Many of the recommendations made in this chapter will engage institutions of higher education in reflection that can both enhance fulfillment of their missions and enrich professional development of their members.

Public Service in Academia: Conflicts and Alternatives

Traditionally, public service has been heralded as an integral part of the function of Universities, particularly in state institutions which are supported by public funding. That the service function is important is beyond question, although certain inherent problems may mean its undertaking is little more than lip service in some institutions. This article looks at the problems and suggests an alternative, and potentially controversial, model which can expand and enrich the public service role in the Universities.

Although service can be defined in a number of ways, it traditionally involves departments or University units offering their skills and knowledge in professional or community related projects and endeavors, usually on a local or regional scale. The importance of public service may be stressed institutionally at a number of levels. It may be incorporated into University mission statements, although is likely to be most prominent at the individual faculty level, where the tripartite goals of teaching, research and public service are usually codified as the determinants of academic success. Contract renewal and ultimately tenure depend upon adequate performance in these three areas, which are used as criteria to judge individual achievement at the Departmental, Divisional and Presidential levels. In addition, teaching, research and service accomplishments may be used to determine promotion beyond tenure, to establish pay increases in the annual construction of the academic budget and to determine worth in the selection of new personnel.

However, having established the stated importance of service in the institution in tandem with teaching and research, their relative worth must be questioned. It is fair to say that, in many institutions, research (and publication) has risen to greater prominence than even teaching as a determinant of academic performance, while service falls into a distant third place. It is probable, for example, that a poor teacher or scholar with an excellent service record will have difficulty surviving in a major university, while an excellent scholar with no service activity has a much better chance of survival.

The importance of undertaking public service projects is therefore likely to be qualified by the perceived worth of doing such work, and will be further stymied by the time, energy and resources available to both institutions and individuals. In both cases, only a certain amount of effort can be expounded on any particular project, a factor exacerbated by financial exigencies experienced by many universities and by tough promotion standards which cause faculty to make careful choices in the ways they build their vitas. In this light, public service can become viewed as either an unnecessary appendage to the other, more relevant, criteria or as a drain on resources, an unattractive choice for faculty or an unaffordable luxury for administrators, no matter how keenly either group may wish to pursue the valuable and necessary goals of public service.

How therefore can service be redefined to reestablish it as an important part of the Universities' mission without causing such problems? This article proposes a model for service which offers a different view of its function in

academia, one which introduces a value concept into its definition and which
integrates it firmly with the other prime criteria of teaching and research.
The approach calls for an expansion of the public service role, but attempts
to make it a more attractive and, ultimately, productive endeavor both
individually and institutionally. It is based loosely on the system in place
in the School of Architecture and Urban Planning at the University of
Wisconsin-Milwaukee, although has its roots in a number of other
institutions. At first, it may appear pushy and entrepreneurial, an approach
which even seems to go against the notion of public service. However, it is
maintained that, if undertaken skillfully and thoughtfully, the public service
mission of each institution and, ultimately, each faculty member can be
expanded with obvious benefits to the recipients, while at the same time
ensuring appropriate rewards to those involved.

The model attempts to create an holistic approach to service, teaching and
research, introducing a 'value' concept to each project or task and
necessitating an evaluation of its worth, either to the community, to the
state, to the profession, to the institution or to the faculty. Some
projects, for example, should be undertaken almost automatically if sufficient
resources are available. Service on task forces, preparation of designs or
reports, consultations to community groups may all be ways to carry out the
service mission by helping deserving groups who have few alternatives but to
seek free assistance.

Beyond these functions, institutions should be more selective. When
approached by corporations, city departments, private schools - in short,

organizations with financial capability looking for some useful ideas or assistance, is it possible, does it violate a basic principle of public service to ask (albeit quietly) "What's in it for us?"

What's in it can include a wide range of things that, in addition to successfully undertaking the task, can have benefit to the institution and the individual, ranging from financial improvement to scholarly enrichment. In the first case, is it incongruous or even possible to link financial gain with what is usually conceived as a charitable act? That will depend upon the ability and willingness of a party to pay, but more specifically upon the skill of the faculty or administrator to negotiate a fair arrangement. Payment may be generated in the form of fixed price contracts which could provide summer pay or release time for faculty and students. It could be quite modest, and be framed in the form of competition prizes for student projects (such as a design contest to create a new office space or logo for a local group) or publicity costs to produce posters, exhibitions or printed booklets to display the completed work. Such products ensure maximum publicity for the institution's involvement and can become useful tools in the expansion of further service activity and in developing 'political' influence. This can take the form of generating internal credibility within the University where it is important for departments and colleges to impress upon their Deans and Vice Chancellors respectively the quality of their work, bringing attention to their public service activities in a tangible way. At a higher level, it is important to positively impress such organizations as professional institutes, accrediting agencies, city governments, university system administrations and state legislatures which may wield influence or

decision-making power over the home institution. In summary, this model of service works on the premise that while the act of doing may be laudable, the expenditure of precious resources - time, energy and funds - is not fully maximized unless that effort is properly communicated to the parties likely to be affected or impressed by it.

Of course, beyond the harsh realities of finance and influence lie the day-to-day realities of academic achievement for the individual faculty member. As previously stated, the esteem in which public service is held in most institutions makes the expenditure of effort in this direction a potentially dangerous one. This is where the notion of 'piggybacking' comes in.

If projects are critically evaluated when they arise, the concept of 'value' in this case value to the individual - can be determined, and an appropriate strategy for completion established. For example, can the project be expanded into a proposal capable of funding by a local, state or national funding agency? The benefits in terms of buyout, project assistants, publication and travel costs are well known, and the kudos of receiving say, a National Endowment of the Arts grant, is considerable. Can the work when completed form the basis of a scholarly paper, article or book chapter or be worked into an exhibition for display? Can the work be submitted for an appropriate award or similar recognition? Beyond the actual undertaking of a service project lie innumerable chances to convert the results into more conventional academic achievements, and while this may be old news to experienced faculty, those new to the profession may miss useful opportunities to enhance their credentials.

Perhaps the notion of public service can even be introduced at the teaching level, giving students the chance to work on real projects with active client groups instead of dealing solely with textbook cases and in-class simulations. Again, serious questions should be asked before the work is accepted. Does the project satisfy not only the needs of the project but the pedagogical requirements of the course? What kinds of benefits beyond the experience - prizes, project asistantships, travel - should the student reasonably expect? Can the results of the student work be published or evaluated? Can the results even be implemented, giving terrific real world experience to the students and high visibility to the institution.

If this model of public service is considered an appropriate one - and it may not fit within the structure and mission of some universities or colleges - how best can it be introduced or expanded within the institution? Although it may be handled individually by faculty, the model will be most effective if organized collectively at the Department or Unit level. It requires administrators to be able to negotiate effectively and diplomatically with likely 'client' groups without offending or pressuring them. It requires effectively advising the faculty, particularly junior faculty, of the potential advantages of 'piggybacking', taking on the public service role but simultaneously satisfying the rigorous requirements of teaching and research. Above all, it requires a balanced view of public service projects and tasks, a collective assessment of the departmental output with regard to service and the overall benefits, both institutional and individual, that can be expected. If public service is viewed in this way, it becomes a productive and worthwhile opportunity rather than an unnecessary and undervalued drain on

resources. It becomes more closely integrated with teaching and research and loses its negative charity-like status. As such, its role can be expanded significantly to the positive benefit of both institution and society, enabling us to fulfill one of the stated missions of the Universities more effectively.

SARUP

MENTARCH

PROGRAM

FALL '98

UNIVERSITY OF WISCONSIN-MILWAUKEE

The purpose of the SARUP MentArch Program is to provide an opportunity for students and professionals to "Network". Through interaction, the student gains exposure to professional practice and the professional is kept abreast of innovative design and technology. The purpose is not to give employment to the students; however opportunities sometimes arise out of lasting relationships and networking.

This is a student-run organization guided by professionals in the field of architecture and urban planning. Mentor and student relationships are assigned based on interest. There are two meetings for all MentArch participants each semester, and each mentor-student group is expected to meet additionally outside of these scheduled group meetings. The student is to initiate contact with the mentor and shall respond to the Mentor's replies. The Mentor shall respond to the student's contacts and make him/herself available for meetings with the student. The MentArch Program is sponsored by the Department of Architecture and the SARUP Alumni Association.

POTENTIAL ACTIVITIES

* Go on a site visit of a project under construction.
* Hold an informal crit of a studio project
* Visit the Milwaukee Art Museum.
* Visit manufacturer/rep. (such as Kohler or Best Block).
* Take a walking tour through Chicago's Loop area.
* Attend a project meeting.
* Discuss career options and goals.
* Inform practitioner of new design concepts and innovations or technologies.
* Share discussion on a topic of mutual interest.

Meetings and other scheduled events are as follows:

September
15th- Kick-off meeting with semester preview. Meet in SARUP 110 at 6:00pm.
30th- Walking Tour Of Downtown Architecture Firms. Meet at Eppstein Uhen Architects, 210 E. Michigan Ave. at 4:00pm.

October
16th- Tour of Miller Park Meet at 4:00pm. Directions to follow.
27th- Tour of Conrad Schmidt Studios Meet at 4:00pm. Directions to follow.

November
11th- Second Meeting. "Project Profile" Meet in SARUP 110 at 6:00pm

December
1st- Tour of Tower Automotive, Formerly A.O. Smith Corporate Headquarters. Meet at 4:00pm. Directions to follow.
4th- Tea & Bikies. Semester wrap-up. SARUP Commons, 1:00pm

Participation in the MentArch Program is open to all Level II and Leve III students. Level I students are allowed to participate only with the recommendation of a professor or practitioner.

QUESTIONS?
Please contact:
MentArch Student Cordinator:
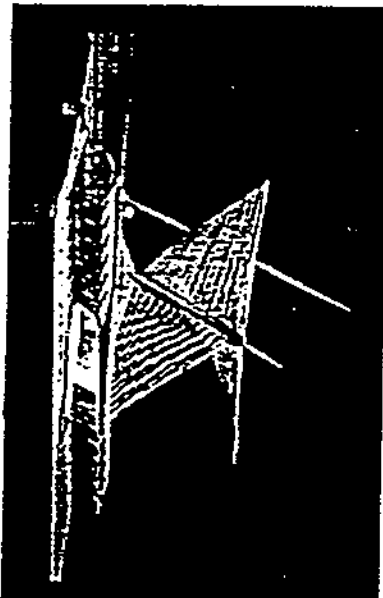Michael G. Kickbush
e-mail, michael.kickbush@zdg.com
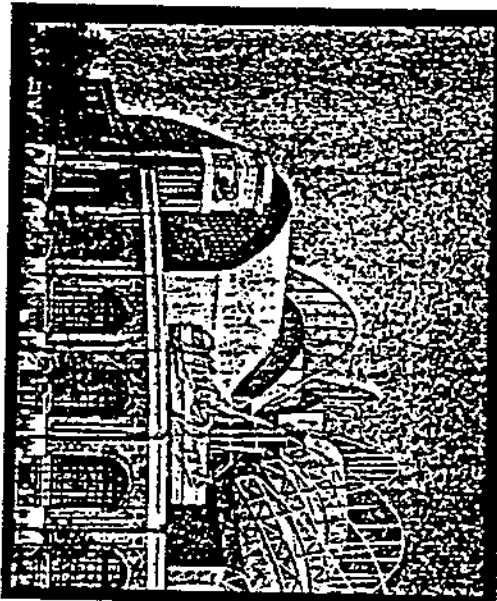MentArch Professional Coordinator:
T.J. Morley
e-mail, tjm@euarch.com

ARCHITECTURE

Milwaukee Public Art Museum Addition,
Coming Soon-
Santiago Calatrava

Miller Park,
Eppstein Uhen Architects

Tower Automotive Research Building,
Holabird & Root

STUDENT MENTARCH APPLICATION FORM

Please return all applications and payments to Audrey Maynard by September 15, 1998. Sign-up also available after first meeting.

Name _____
E-mail _____
Employer _____
Mailing Address _____
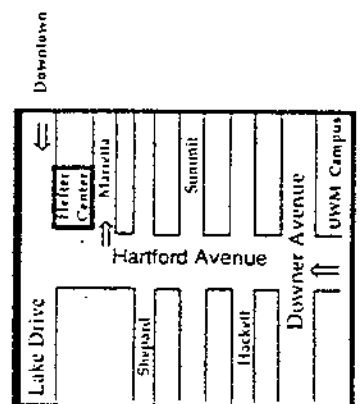Zip Code _____
City _____
Telephone Number _____

☐ $10.00 Fee for Level I Students - Level I students are allowed to participate only with the recommendation of a professor or practitioner.

☐ $15.00 Fee for Level II and III students - Please make checks payable to Sarup MentArch Program.

Please list the names of any previous mentors Demonstrating Value and Cultivating Dreams   105

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Signature _____
Date _____

THE SCHOOL OF ARCHITECTURE & URBAN PLANNING
University of Wisconsin-Milwaukee

THIRD ANNUAL
Architect / Contractor Roundtable

Sponsored By
THE WISCONSIN GAS COMPANY

Shaping the Future III
Education in the 21st Century

Friday April 12, 1996
The Hefter Center · 3271 North Lake Dr.

Take a Seat at the Roundtable

The Roundtable is an opportunity for the leaders of the construction industry to engage in a valuable dialog on the future of the built environment. Dean Robert Greenstreet personally invites you, the Presidents and Principals of Wisconsin's major architectural practices, construction companies, and manufacturing industries, to join in this dialog.

Demonstrating Value and Cultivating Dreams

06

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Hartford Avenue

Lake Drive · Downer Avenue

Design Council Members

American Institute of Architects–Wisconsin

D. G. Beyer, Inc.

Oscar J. Boldt Construction Co.

Cook & Franke

Durrant

Engberg Anderson

Eppstein Uhen Architects

J. H. Findorff & Son

Flad and Associates

Graef Anhalt Schloemer & Associates

Grucon Corporation

Hammel, Green and Abrahamson

Hunzinger Construction

Irgens Development Partners, LLC

The Jansen Group, Inc.

Kahler Slater Architects .

Marathon Architects & Engineers

MSI General

Nankin Property Management

Scott Niedermeyer & Associates

Ogden & Company

Plunkett Raysich Architects

Reinhart Boerner Van Deuren
Norris & Rieselbach

C. G. Schmidt

Taylor Kidd & Associates

TMB Development

Uihlein/Wilson Architects

Ver Halen Foundation

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Dakota Intertek Corp.

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Firstar Corporation

Groth & Smies Architects, Inc.

Hagney Architects

Hurtado Construction, LLC

Interior Design Coalition

Johnson Controls

Lakeside Development

Manufactured Housing Institute

Midwest Visual Design

C Minor Consultants, Inc.

National Women in Architecture–AIA

Northwestern Mutual Life Foundation

Pella Window Store

Quorum Architects

Sodemann Architects, Inc.

Southeast Wisconsin Chapter
of the American Institute of Architects

Thiel Visual Design

Third Coast Design Centre

Velux Windows

William Wenzler & Associates

Wisconsin Gas Company

Wisconsin Electric Power Company

Wisconsin Energy Corporation

Awarding-winning student work is displayed for public viewing at the University of Wisconsin-Milwaukee School of Architecture.

Faculty/practitioner collaboration: Should academics get out of their ivory towers and join the real world? Well, yes—practical experience is important. But, hey, they get a salary to teach—isn't that unfair competition with the local practices? So the debate goes on.

There are some models of practice that avoid this conflict: the faculty member who takes a sabbatical to work in a local practice and brings back the acquired expertise to his or her studio, for example, or the faculty member who works regularly (perhaps each summer or on a project-by-project basis) with a local practice.

For just this reason, in Wisconsin, the dean of the school of architecture and urban planning meets regularly with AIA Wisconsin, which has established a dean's advisory group. A formalized structure of communication ensures that the board of directors receives regular reports on activities within the program and can offer suggestions, raise questions, or bring issues that can be jointly addressed. A more sophisticated model of interaction has been tried at a number of schools, such as Arizona State and North Carolina State, which have created councils or structured boards comprising local companies that contribute both financially and intellectually to the schools and act as an advisory, often visionary, group.

In Wisconsin, the dean's council sponsors the annual Architects/Contractors Roundtable, bringing together principals of architecture firms, construction companies, and building component firms to discuss how—collaboratively and with the school—they can work toward improving the built environment in the next century.

While this list is not by any means complete, it at least demonstrates the range of interaction possible when groups work together. In each case, the outcome is the same: when practitioners and educators focus jointly on issues and programs of mutual interest, the educational process is enriched and everyone benefits.

Bob Greenstreet is dean of the University of Wisconsin—Milwaukee School of Architecture and Planning and president of ACSA.

UWM — UNIVERSITY OF WISCONSIN MILWAUKEE

A forum of those concerned about excellence in planning, designing, developing and constructing Wisconsin's physical environment.

Purpose

☐ Undertaking a project of significance each year, as identified by the Council in association with the Patron, Mayor John Norquist

☐ Discussing upcoming challenges and issues in future development in the state

☐ Forming professional relationships between companies and individuals across professions

☐ Learning about new technologies, new markets, and innovative developments that will affect the industry in the twenty-first century

☐ Taking a leadership role in raising important issues that affect architectural education, the practice of architecture, and the role of construction

☐ Supporting the goals and activities of the School of Architecture and Urban Planning

Member Activities

Members of the Design Council will be invited to participate in the following yearly events:

☐ Meetings with the Council's Patron, Mayor John Norquist, to identify a project of significance and present the results at the end of the year

☐ Annual architect/contractor roundtable, focusing on critical issues affecting the industry

☐ Semi-annual meeting of the Council at the School of Architecture and Urban Planning on the UWM campus

☐ Annual recognition reception for members hosted by the Chancellor of the University of Wisconsin—Milwaukee

☐ Special invitation to attend receptions for honored guests and visitors

☐ Invitation to all major SARUP lectures and events

Members will also receive the following benefits:

☐ Receipt of all relevant publications, including the *Annual Report*, *Dean's Newsletter* and *Archimage*

☐ Discounts for all members (and their employees) who enroll in SARUP Continuing Education courses

☐ Recognition of firm/company in all School publications and in the publication of each year's projects

Demonstrating Value and Cultivating Dreams

UWM SCHOOL OF ARCHITECTURE AND URBAN PLANNING

Architects
of
Change

Bob Greenstreet, dean of the UWM School of Architecture and Urban Planning, is shown in a sculpture studio at the university Wednesday.

In just 30 years, the school has made a profound impact on urban design in the Milwaukee area

BY WHITNEY GOULD
of the Journal Sentinel staff

Think of the School of Architecture and Urban Planning at the University of Wisconsin-Milwaukee as the mouse that roared. Or, there's the analogy preferred by the school's irreverent dean, Bob Greenstreet: "We're like a mosquito — but boy, do we sting!"

It may be small — just 31 faculty members and 834 students — and relatively young — a mere 30 this year. But the school, housed in a minimalist, red-brick building at the corner of N. Maryland and E. Hartford avenues, has had an impact on the city much more profound than a mosquito bite:

■ Its faculty and alums, now well-placed in architecture firms throughout the city, have had a major hand in the design of a long list of civic projects.

These include: the new Milwaukee Public Museum complex (including the IMAX theater and emerging butterfly addition), the Pettit National Ice Center, the Library Hill Apartments, the Milwaukee Rep's Powerhouse Theater, the Bay View Library, interiors of the Midwest Express Center and Miller Park, housing under way in the Beer Line area along Commerce St. and the remake of the Hillside Terrace and Parklawn housing projects.

The effect this school has had on design — including office interiors — is just outstanding," says developer Gary Grunau. "You're really starting to see its influence spread."

■ The school, in tandem with Mayor John O. Norquist, has strengthened town-gown connections to become a powerful force in urban planning, with special emphasis on pedestrian amenities and historic preservation.

The peripatetic dean chairs the city Plan Commission, helped overhaul the city's archaic zoning code and served on the panel that chose the Spanish-born Santiago Calatrava to design an eye-catching addition to the Milwaukee Art Museum; other faculty members serve on key city boards and commissions and are involved in development of a new Milwaukee Tech high school; Peter Park, a School of Architecture and Urban Planning alum who still teaches there, runs the city Planning Department; Norquist has taught at the school in the past and regularly draws on its talent.

■ The school has been an important incubator for once-seemingly fanciful ideas that have become brick-and-mortar reality, or soon will be.

Examples: the mixed-use development that helped spur redevelopment of the land beneath it for housing and entertainment: East Pointe Commons, the housing complex built on cleared land once slated for a freeway; the year-round food market planned for the Historic Third Ward; an office, hotel and theater mix that became the Milwaukee Center.

Also, a terrace-and-parking-garage amalgam that morphed into O'Donnell Park got its start at the school. The concept for what became the Grand Avenue mall was test-driven there, too. Current work focuses on ways to redevelop the Menomonee Valley and how to do better planning in the faceless zones between city and countryside.

"The relationship allows you to explore interesting ideas that aren't necessarily on the city agenda, to see if there is any merit to them," says Park, the planning director. "At some point, these ideas don't seem so crazy any more."

Adds Larry Witzling, a faculty member since 1973 who also runs his own planning firm: "Here, you can afford to think five to 10 years out. In the day-to-day world of public decision-making, it's hard to think much past the next election."

The school hatches an occasional dud, such as the ill-conceived pedestrian mall that removed parking from Mitchell St. (The struggling retail corridor was de-malled several years ago.)

And some modernists privately regret that the school has not made more headway locally in creating the climate for truly innovative architecture.

Greenstreet concedes that the school may have had more impact on planning and redevelopment — "rewearing the tattered urban fabric," as he puts it — than on high-style design.

But younger, avant-garde architects are gaining ground here and there. The school has also begun to make inroads on the building technology front. And it is becoming a leader in what is known as sustainable design, or "green building": the use of environmentally sensitive, health-conscious materials. Its faculty also pioneered in developing humane, home-like settings for people with dementia.

So how has this little institution — the state's only accredited architecture school — managed to cut such a wide swath?

One reason may be the school's working-class origins and its emphasis on nitty-gritty problem-solving instead of pure theory.
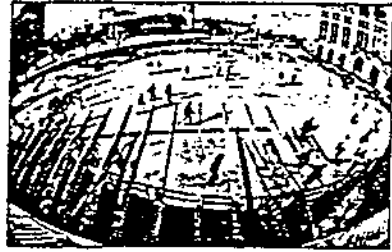

The Kilbourn Row townhouses in the 800 block of E. Kilbourn St. are among many civic projects in the Milwaukee area in which faculty and alums from the school played a major role.

"It's never been an ivory-tower place," says 1975 alum Mark Ernst, an architect with the Engberg Anderson Design Partnership who designed the Third Ward market. "Unlike, say, Harvard, most of the students here have to hold down jobs while they're in school. They know their ideas have to have a practical connection."

"The city is a great laboratory," says Matt Jarosz, a principal at JaroszLynch Architects who teaches at the school, serves on the city's Historic Preservation Commission and designed the new William F. Eisner advertising museum in the Third Ward. "You're not just a cog in a machine here; you can really make a difference."

Another factor, especially in recent years, has been Greenstreet himself, the dean since 1990 and a teacher there since 1981. Hip, witty and politically savvy, the London-born Greenstreet has gone far beyond his predecessors in building bridges to the community and talking about architecture in terms that ordinary citizens can understand.

Students said the top of Reed Arrigo Park in the view looking down the top row down atop the building that houses the classrooms. Ursula Twombly of Continuum Architects, a graduate of the school, was principal of the project.

"He has a great bedside manner," says alum Dave Stroik, the new president of the Zimmerman Design Group. "And that (English) accent thing — it's very disarming."

"He has a real vision for the school and for the city," says Norquist. "And you don't have to be a licensed architect to have a conversation about architecture with him."

Alums, in turn, say Norquist and Park's passionate advocacy of urban design has boosted the school's profile and credibility. "It's rare to live in a place where the city administration is so interested in design," says 1980 graduate Joy Peot-Shields, an architect at Engberg Anderson. "They have raised awareness of the importance of thinking before we build."

Peot-Shields' spouse, faculty member Jim Shields, says teaching has made him a better architect. A well-regarded modernist at Hammel Green Abrahamson, Shields says his design for the cutting-edge glass envelope that will house the Milwaukee Public Museum's new butterfly wing drew directly on research for his UWM lectures in construction technology.

David Kahler, president of Kahler Slater, says he's watched the quality of the graduates he hires go up "in a straight line" that parallels improvements in programming and teaching at the school. "The work ethic and craftsmanship are very strong," he says.

As it matures, the school's reputation is growing beyond the borders of Wisconsin. In 1998 it earned the No. 19 spot on U.S. News & World Report's list of the top 126 schools of architecture in the country.

Earlier crops of graduates are salted throughout the city's major architecture firms, including Zimmerman, Kahler Slater, Plunkett Raysich and Eppstein Uhen, and smaller ones as well. Alums have gone on to start their own practices. And, while some are working in places like London, Paris and New York City, 75% stay in Wisconsin and northern Illinois, according to Greenstreet.

It's a far cry from 1969, when Milwaukee had just won a tug of war with Madison as the site for the school. In those days the architecture establishment equated the upstart school with dope-smoking longhairs: ties with the community were thin.

Zimmerman's Dave Stroik recalls how, as a greenhorn graduate in the early '70s, he paid a courtesy call on one of the design community's aging lions. The older architect threw Stroik out, shouting: "We don't need you UWM people telling us what to do!"

But the school's lack of a history may also have been an asset. "We started from nothing and didn't have an old faculty to contend with," says Harvey Rabinowitz, a veteran professor and practicing architect. "So we didn't have to fight against tradition."

Now, as the school nurtures traditions of its own, some wonder whether its clout will diminish once its current high-profile champions move on.
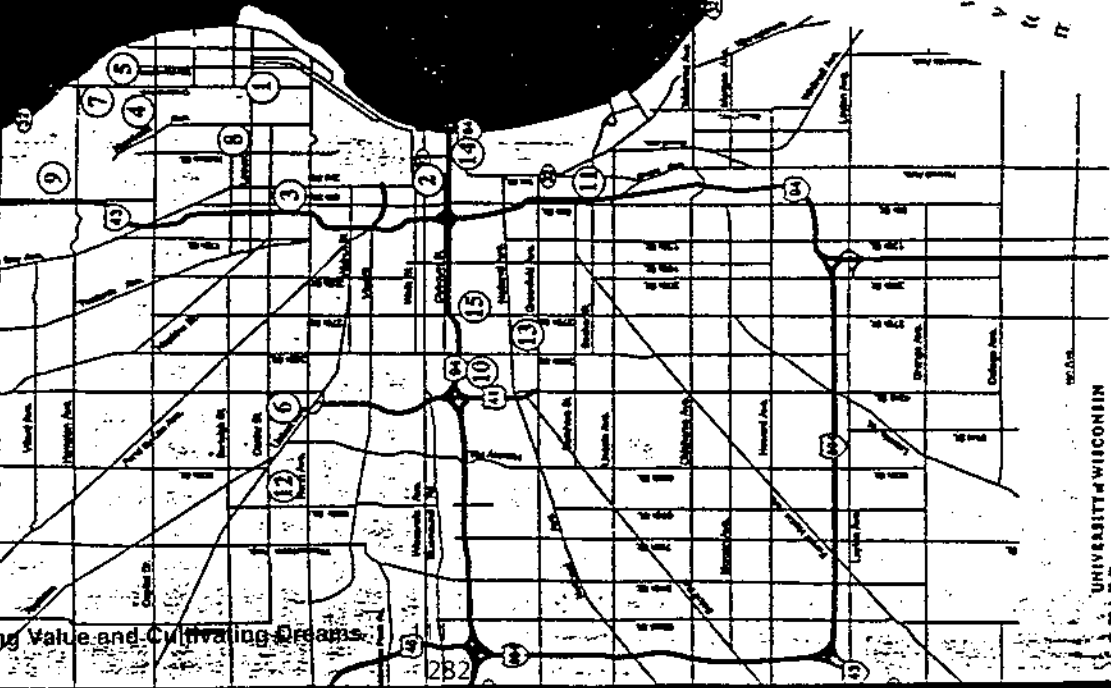
Allyson Nemec, for one, thinks not. Nemec, who earned a master's degree there in 1990 and now is a principal in her own firm, Quorum Architects, says of Greenstreet, Norquist & Co.: "They've lit the fire. But a lot of others will carry the torch."

Demonstrating Value and Cultivating Dreams

RIVER ECOLOGICAL
DEMONSTRATION HOUSE

INSTITUTE ON ENVIRONMENTAL
QUALITY IN ARCHITECTURE

HISTORIC PRESERVATION INSTITUTE

Frank Lloyd Wright I...
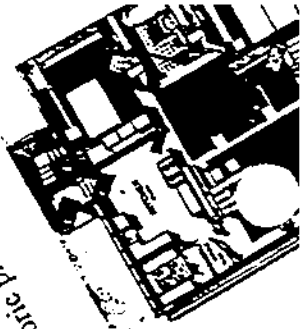
Project Director

Urban Planning
Applied Planning Workshop
Geogra|

African American Entertain...
& Cultural District
Feasibility Stud...

Riverside Park

The UWM-SARUP Historic
Buildings Survey Center

UWM-SARUP INSTITUTE

HISTORIC PRESERVATION SYSTEMS

AMERICAN HOME PROJECT

BUILT HISTORIC-PRESERVATION

A Collaboration

The Institute is working with other historic preservationists

The Institute is working on the preser-
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SCHOOL OF ARCHITECTURE, CONSTRUCTION AND PLANNING

Points for Consideration when Setting-up Offshore Teaching Programs

Possible Staff Concerns

- Staff commitment and solidarity are essential
- Workloads must be equitable – limited number of teaching visits per annum.
- Business Ethics – some staff members are put off by the commercial aspects of marketing education.
- Maintaining academic standards
- Maintaining entry qualifications in other countries.
- Maintaining English standards
- Use of intellectual property – use of teaching materials
- Payments for extra duties - Human Resources Policy - Offshore Operations (HR Management)
- Satisfactory travel requirements/accommodation – above HR Policy applies
- Promotion concerns

Types of Programs Offered

- Articulation
- Professional Development
- Fully enrolled Curtin students

Approval Procedures

- Relevant Country Reference Group
- Choice of partner – there may be university restrictions, existing partnerships must be considered including Miri campus in East Malaysia.
- Appropriate form of contract (profit sharing, cost per student etc)
- Quality checklist must be completed and approved by :
  - Financial Services
  - Legal Office
  - Library
  - Country Reference Group
  - Curtin International / Exec Dean of International Office

Program Support

- Provision of well-prepared course material
- Accounting procedures / billing
- Income tax
- Travel arrangements for staff visits
- Senior level partner meetings and course advisory committees
- Attending formal occasions eg Graduations
- Student / staff exchanges

November 2001
New York

ACSA Administrators Conference

Considering International Academic Programs

Marvin J. Malecha, FAIA, Dean, NC State College of Design

> This paper is prepared with reference to the programs of the College of Architecture and Planning at Curtain University, Australia, following consultation with Dean Laurie Hegvold.

Prologue

Purpose of International Programs

Relationship of International Programs to Home Curriculum

Relationship of International Curriculum to Home Faculty

Relationship of International Curriculum to Faculty Abroad

Program Options

Home Program Students Abroad

Students from Abroad to the Home Program

Delivering the Home Program to Students Abroad

Distance Learning Options

Professional Development Programs

Articulation Arrangements

Faculty (Home and Abroad) and Staff Considerations

Suitability

Equitable Workload

Instructional Resources

Intellectual Property

Equitable Review, Reappointment, Promotion, and Tenure Standards

Equitable Compensation and Reimbursement

Appropriate Housing

Demonstrating Value and Cultivating Dreams   113

Home Student Considerations

Confidence (Program Location)

Relationship to Home Curriculum

Language Standards

Credentials of Instructors

Program Cost

Housing

Instructional Facility

Student Abroad Considerations

Transfer of Credentials (relationship to accredited programs)

Language Standards

Credentials of Instructors

Program Cost

Program Support Issues

Maintaining Academic Standards

Establishing Clear Program Entry Standards

Program Relationship to Context

Approval Checklist

Choice of Partner (Peer or Greater) when relevant

Partner Resources (Library, Housing, Classrooms, Studios) when relevant

Nature of Partner Contract (cost per student, profit sharing, facility commitment, faculty contracts)

Home Institution Culture

Faculty Development Issues
> Faculty Exchanges between international base and Home base

Management Plan
> Advisory Boards
> Joint Institution Responsibilities

Fiscal Plan
  Accounting Procedures
  Tax Adjustments
  Per Diem Expenses

Legal Context of Host Country

Conclusion

Connecting International Programs with Home Institution Aspirations

Cultivation: where the dreams are.....

Fundraising has become an important part of a Dean's job. Coming from academic backgrounds, the skills necessary to create a development program are necessarily learned on the job and at first may seem onerous – after all, asking people for money is not the most enjoyable task in the world. However, if the emphasis is right – that is, the focus is on the future program/building/scholarships and it is the actual dollars that make it happen – the development of an exciting proposal and its matching to an appropriate donor can be a very rewarding experience. (Bob Greenstreet)

Workshop Agenda:

Friendraising and Fundraising
Developing the Plan
Telling the Story
Making the Ask
Role Play
Donor Maintenance
The Importance of Appreciation
Connecting Planning to Fund Development

Relevant Articles:

Fundraising 101
Jerold Panas, Linzy & Partners

The Tango of Solicitation
Donald Craig

Philanthropy, Self-Fulfillment, and the Leadership of Community Foundations
Joe Lumarda

Fundraising
Roger Schluntz

Prospect Management Guidelines
NC State University

Putting on the Ask
James Conaway

Working with Your Development Office
Ann Sundberg

Ten Questions Every Dean Should Ask
Bronson C. Davis

Popping the Question
Phillip R. Walters

No Chutzpah No Glory
Henry Rosovsky

Tricks of the Trade
Currents Magazine

The Six Essential Steps of a Capital Campaign
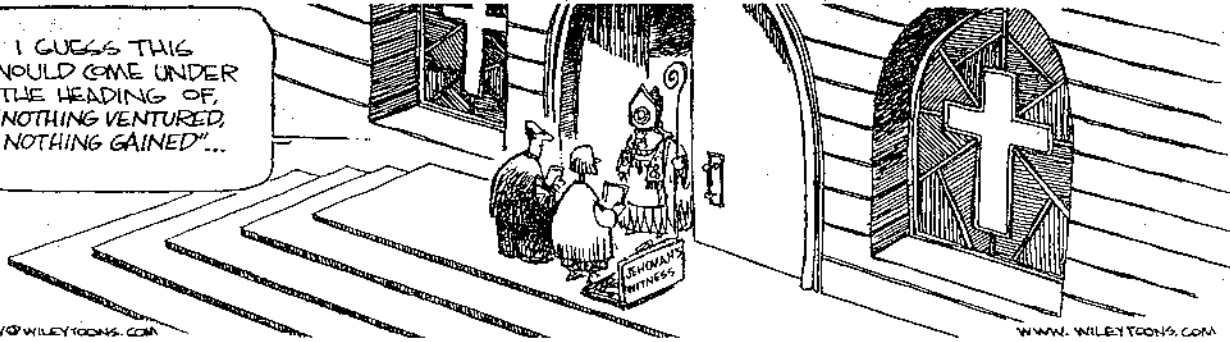David Heetland

No Chutzpah No Glory
Henry Rosovsky

Final Report
University of Wisconsin-Milwaukee

Fundraising 101

- **Somebody out there is asking**
  Fundraising Facts

- **Three Tips** for making the job easier
  Perception is reality – Be prepared
  The Importance of your own gift
  The necessity of a Plan

- **Night and Day**
  The difference between development and fundraising

- **"If you don't know where you're going, any road will get you there." The Plan**
  Donor Centered Development

- **Identifying** your major prospects
  "Make new friends" (Affluence and Influence)

- **Prioritizing**

- **Cultivation and Moves Management**
  Individual and group cultivation
  Matchmaking

- **Fundraising can't take place behind a desk**
  Measure a successful visit by what you learn about the prospect

- **Interest and Involvement lead to giving**

- **Why do donors give?**

- **The meanings of "NO"**

- **Life after "the ask."**

Stewardship. You thank the donor, inform the donor, recognize the donor, and thank the donor again, and again.

And the circle starts again.
Role Play (The solicitation from Hell)

What the Development Director needs from a Dean, and vice-versa.

Before Major Gift Solicitations Can Take Place, You Must Have:

Adequate Staffing

Financial resources

Trained personnel

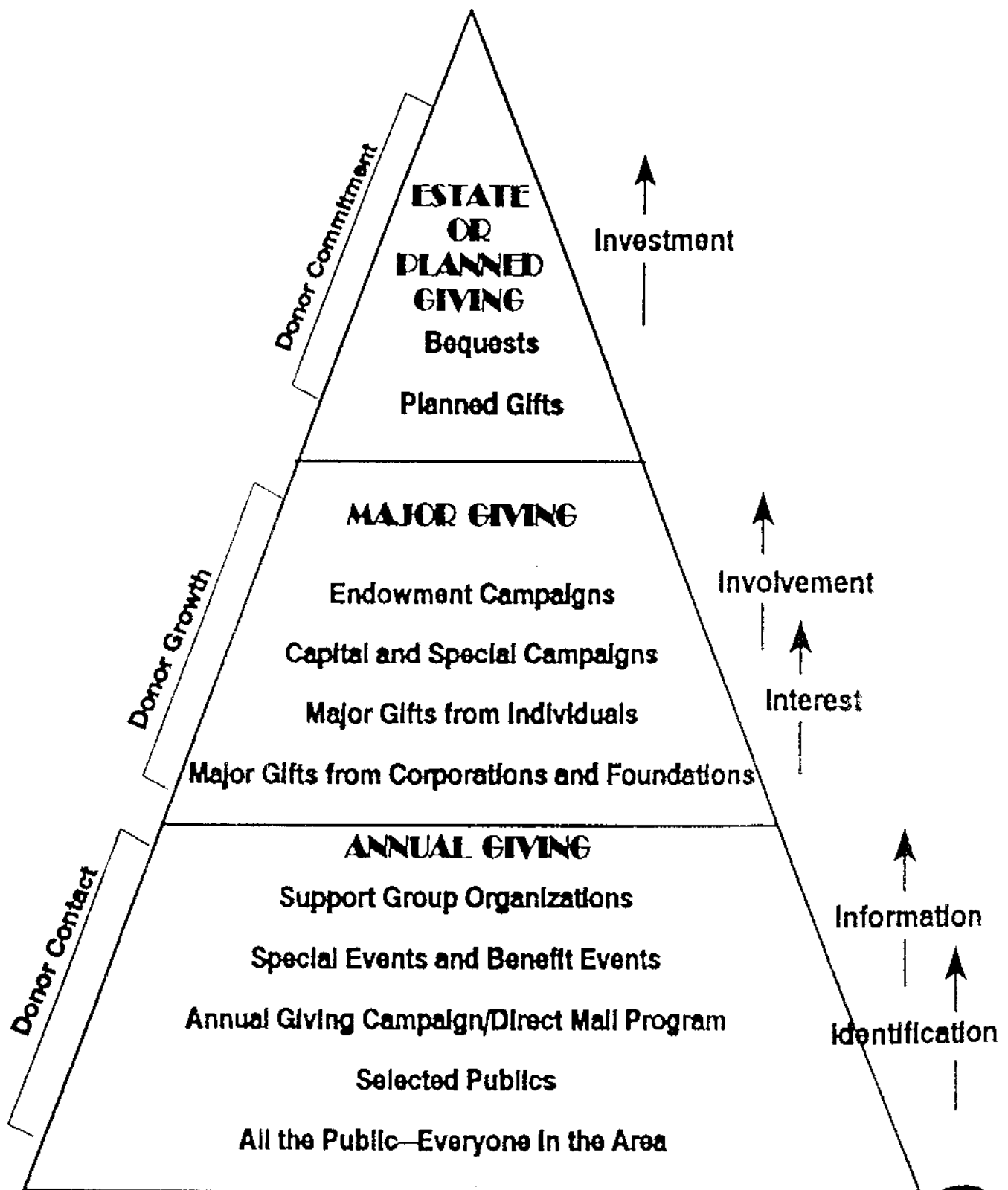A history of volunteer leadership

A proven base of qualified donors

Mechanisms for upgrading donors, a capacity for donor research

Systems to track and manage giving

Strategies to inform and communicate with donors

You need an aggressive; broad -based annual fund effort to build a foundation of donors. This activity will yield more than 90% of the number of gifts received, but just over 50% of the value of all gifts received.

Pyramid of Giving

ESTATE OR PLANNED GIVING

Bequests

Planned Gifts

Investment

Donor Commitment

MAJOR GIVING

Endowment Campaigns

Capital and Special Campaigns

Major Gifts from Individuals

Major Gifts from Corporations and Foundations

Involvement

Interest

Donor Growth

ANNUAL GIVING

Support Group Organizations

Special Events and Benefit Events

Annual Giving Campaign/Direct Mail Program

Selected Publics

All the Public—Everyone in the Area

Information

Identification

Donor Contact

Transparency B.2

NSFRE

	Annual Fund Gift	Major Gift	Ultimate Gift
Purpose	Operational Needs	Buildings, Equipment, and Endowment	Primarily Endowment
Types	Sustaining Gifts	Special and Major Gifts (10 to 25 times Annual Gift)	Generally Once-in-a-lifetime Expressions of Support (1,000 to 2,000 times Annual Gift)
Characteristics	Frequently Given Frequently Asked For Decision is Rational, Cerebral Decision Made Quickly Decision Can Usually be Made Without Professional Assistance Decision Often Made Without Spouse Approval	Infrequently Given Infrequently Asked For Decision Becomes Emotional, Visceral Stop-and-Think Gift Takes Longer for Decision Nurturing Fundraising Spouse Almost Always Involved	May Involve Combination of Giving Methods. Often Deferred Long Term Relationship Building Decision Becomes Increasingly Emotional Takes Longer and More Study for Decision Receives Professional Input from Others The Consequences of a Poor Decision Become Greater
Strategy	Sell Special Packages Special Projects & Activities Seek Broad Based Support and Peer Involvement Begin Lifelong Relationship Acquire, Renew, Upgrade Little Cultivation Required CULTIVATE [ASK]	Market Institution's Mission & Special Opportunities Focus on Select Audience (Financial Capability + Interest + Involvement) Foster Strong Personal Relationship Leverage Association of Staff, Partners, Volunteers Prior and Regular Cultivation CULTIVATE [ASK]	Total Commitment to Institution's Mission Estate Planning Service & Special Opportunities Educate Prospects Regarding Planned Giving Vehicles Create Bonding Relationship Leverage Close Relationships of Staff, Partners, Volunteers Intensive Cultivation CULTIVATE [ASK]
Methods	Direct Mail Telethon Mass Marketing Special Events Local and Community Programs Personal Solicitation of Prospects Affinity Programs	Personal Solicitation (several contacts) Special Events (to focus attention and cultivation) Direct Mail (for information, cultivation) Initiation of Stewardship	On-Going Stewardship Personal Solicitation (a number of contacts) Educational Seminars Direct Mail and Topical Newsletters (for information, cultivation) Special Projects and Events for involvement and cultivation
Recognitions	Giving Clubs Plaques, etc.	Naming Opportunities Lifetime Giving Recognitions Wall "Hall of Fame"	Heritage-type Club Naming Opportunities Lifetime Giving Recognitions

The Progression of Giving Copyright © Institute for Charitable Giving, 1995

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	Fund Raising Potential	Usual Allocation	Volunteer Time	Staff Time	Planning Time	Cost	Other Benefits	Board Commitment
Personal Solicitation	Excellent	• Operating • Capital	Heavy	Heavy	1 year	• Staff • Materials	P. R.	Total
Capital Campaign	Excellent	Capital	Heavy	Heavy	1–2 years	• Staff • Materials	• P. R. • Forces long range planning	Total
Grant Request	Excellent to moderate	Program	Light	Heavy	6 + months	Staff	Forces program analysis	Total
Event	Excellent to poor	• Operating • Program • Endowment	Heavy	Heavy	1–2 years	• Staff • Materials • Facility	• P. R. • Outreach • Builds camaraderie	Total
Member-ship	Moderate	Operating	Moderate to light	Heavy	Ongoing	• Staff • Materials	• P. R. • Volunteer recruitment	Total
Auxiliary/ Friends	Moderate	• Operating • Program	Moderate to heavy	Heavy	Ongoing	• Staff • Materials	• P. R. • Outreach	Total
Phonathon	Moderate	Operating	Heavy	Heavy	2–4 months	• Staff • Materials	P. R.	Total
Planned Giving	• Excellent • Long range	• Operating • Capital • Program • Endowment	Moderate to light	Initially heavy	Ongoing	• Staff • Materials	Could provide agency stability	Total
Tribute/ Memorial	Minimal	• Operating • Program	Minimal	Minimal	Ongoing	• Staff • Materials	P. R.	Total
Direct Mail Campaign	Minimal	• Operating • Capital • Program • Endowment	Minimal	Moderate	3 months to 1 year	• Staff • Materials (Can be high)	P. R.	Total
Endow-ment Campaign	• Excellent to moderate • Long term	• Operating • Program • Capital	Moderate to heavy	Moderate to heavy	Ongoing	• Staff • Materials	P. R.	Total

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CFRE Class 7/26/00

1. Fundraising is as much relationship building as it is raising money.

Dynamics of Relationship Building
80% of gifts come while people are alive
5-10% comes from planned gifts

2. What motivates people to give?

- Bottom 3 reasons
  - -- Tax consideration
  - -- Appeal of the promotional materials or a slick proposal (in fact if it's too slick it could work backwards)
  - -- Guilt or obligation, only works to a certain level

- Top 6 reasons
  - -- Belief in the mission
  - -- Community responsibility or civic pride
  - -- Fiscal financial stability of the organization (an organization needs to sell the mission and show financial responsibility & good management)
  - -- Regard for the volunteer leadership and regard for the staff leadership (The staff is important to the process, if you represent the organization well you can show the financial responsibility of the organization. Volunteers show that they believe in the organization enough to give of their money and sometimes more importantly their time.)
  - -- Service on a Board or Committee (involvement is the key to leadership and cultivation is the key to a successful solicitation.)

3. Decision Making Process

Donors Process	Development Process
Attention	Identification
Interest	Cultivation
Desire	Solicitation
Action	Stewardship
	(Follow through when the gift is made)

*The process is circular
- We often skip the cultivation because it's hard to define and get a handle on. Institutions are impatient with the cultivation process – it takes too long, we want the money now. YOU CAN NOT SKIP THIS and be successful.
- Remember that the best cultivation is stewardship.

- We need to stay with our donors – if they make a gift, of any size, be sure to thank them a lot. If the gift they make is significant, say thank you then show them what their money did. Every gift should receive 7 thank-you's – just find a way to do it.
- When marketing our case for support it is important to get people excited about the benefits. It's not the number of computers or the square footage it's the valuable research to mankind and the touching of individual lives that will sell the project. Kodak doesn't market superior glossy paper; they market remembering those special moments.

3 Types of Gifts

- Annual or Sustaining gift
  - Usually a small amount
  - A quick and easy decision
  - Develops a habit of giving
  - Provides a basis for fundraising
  - It's frequently given and frequently asked for

- Major Gift
  - Infrequently given gifts
  - Different level of decision making – this is a stop and think gift
  - Usually for a specific purpose
  - Entails extensive decision making that could involve others
  - Should be about 10 times the annual gift amount

  - The major difference between the sustaining and major gift is that the later is a nurturing process as opposed to and asking process
  - When the size of a gift decision grows the prospect's needs and motives take longer to develop – the more they give the more they have to love you. Prospects needs are likely to involve outside input like a spouse, accountant, attorney etc. Their needs will more likely be expressed very <u>rationally,</u> however the decision will become more <u>emotional.</u>
  - The gift at higher levels must adequately satisfy the needs of the donor.

- Ultimate Gift
  - 1000 – 2000 times the annual gift
  - requires advanced awareness and understanding of the prospect/donor to develop commitment to the organization

- When a gift moves from sustaining to major or ultimate or becomes a stop and think gift, all communication must be personal
- The gifts are a means to an end NOT an end onto themselves

4. Cultivation – Moves Management

- Major prospects aren't always who you think they are, they don't fit into a nice little profile, because of this your need to take them one at a time, however the same elements should be found for each.
    - ID the **natural partners**, the people who already have a relationship with the prospect. They can be staff, alumni, deans, professors, board members or top donors. Their jobs are as follows:
        - Provide information to assist in developing a strategy
        - Assist in the cultivation process – issue invitations etc. Most board members and others enjoy doing this.
        - Assist in the solicitation – this is a maybe and can be considered later.
    - ID the **primary players,** these are the natural partners with the most leverage, you use these people as need through the cultivation process.
    - **Moves Manager** – or the staff person who monitors the progress and maintains adequate and sufficient contact with the prospect.
        - Develop strategy for each prospect
        - Track the relationship between the prospect and the organization
        - Plan contacts or moves
        - Use natural partners and primary players to make the contacts
        - Continue to adjust the strategy and gather information

Two types of Moves
- Foreground – a contact made with a specific prospect in mind. A visit to their office.
- Background – a group activity attended by 1 or more major prospects.
- Moves need to be done via visits, phone calls or letters and can be done by natural partners, primary players, or you.
- Each prospect should have one contact per month (12 per year) and 4-5 of these should be personal.
- A move is defined as the consciousness penetration of an opportunity or the acquiring of information or the securing of involvement.
- During cultivation you should be doing 80% of the listening.

Setting objectives for a move
- Don't fall into the traps
    - Too general
    - Unrealistic
    - Fundraiser driven – don't measure by what you tell them but what they tell you.
- Before you make a move determine the best possible outcome and the minimum acceptable outcome.

5. Determinates of Success

- **Who Asks** – they need knowledge, commitment (if a donor at some sacrificial level) and passion. *A peer will have leverage to a point, i.e. I will donate just because Bob asked me but only to a certain dollar level.
  - Good reasons for the staff to ask instead of the volunteer – it's a complicated differed gift – the volunteer is really bad at the "ask" – volunteer won't ask – volunteer is not at the appropriate giving level.
  **Bad reason – the volunteer always gets off script and they're hard to work with – they take too much time to coach etc.
- **What and How Much** – BE SPECIFIC
  - You look more professional and you minimize confusion.
  - If you're not sure how much or the exact program do a pre-proposal proposal. Start out saying that you're not going to ask for a gift now – you just value their opinion and would like some feedback about some programs and the funding for them. Start at the top and work down. Just gather the information and come back with the proposal later.
- **When** – When you and the strategy team feel it's right. Use the natural partners to help make this decision. Don't cultivate forever.
- **Where** – Do the solicitation where they are most comfortable. Their home would be best. You are more open to a positive outcome if you are comfortable.

Why a Donor Says "Yes"

Responding to donors' needs

The need to memorialize or honor expected or loved one

The need to perpetuate values or aspirations

The need to believe

The need for recognition or status

The need for helpful perception of ...

The need to respond to the person asking

The need to give something back

When Does "No" mean No?

"No" has many different interpretations

Not forever

Not the frame of mind

Not in the interest

Not in the project?

In a survey of 100,000 agents these were the reasons for "No"
Misstated or incorrect

Premature Response – not enough qualification

Failure to ask for a specific product

Customer uninterested

Failure to establish rapport

Follow-up not thorough

Misunderstanding customer and prospect

Failure to explain reasons for rejection

Failure to ask forward

Poor closings

Nonverbal Communication Nightmares

Avoids eye contact

Refuses nonverbal praise

Thinks about other things

Assigns more than one meaning

Creates distraction

Sits away

Maintains a neutral face

Big smile

Respond to interruptions

Closed body

THE NINE ESSENTIALS YOU HAVE TO COVER

There are nine areas you will need to describe and interpret. They almost always comprise the subject matter of the case. They need not necessarily follow in the order shown below.

The History of the Organization. This will be particularly important if your roots are deep and your heritage rich. Why and how did you come into existence? What issues caused your formation? Describe the social and demographic setting. Describe in dramatic terms your incomparable mission. But keep this all brief. Remember you are making the case for your future and your dreams—not your distinguished past!

The Problem and the Opportunity. A statement of the social problem which creates the need for the particular project or program. Describe the compelling opportunity and challenge for service that is presented to your institution at this time. Write about the urgency. Keep in mind that people are most persuasively motivated by what saves lives or changes lives. Do not describe how the proposed program will help the institution—write about how it will help people. It is important that the case has a larger platform than the institution itself.

Proposed Solution. The institution's plan for solving the problem, and why it seeks this particular opportunity for greater services.

The Institution's Unique Role. Why your particular institution is best qualified to respond to the problem, meet the challenge, render the proposed service.

The Goals. A description and the justification of fundraising projects.

The Fundraising Equation. In the financing of the proposed plan, who should be responsible? What are the sources of funding that will combine to make the goal? What part does private philanthropy play in that equation?

The Fundraising Plan. How you propose to raise the required funds and any evidence that this plan will be successful.

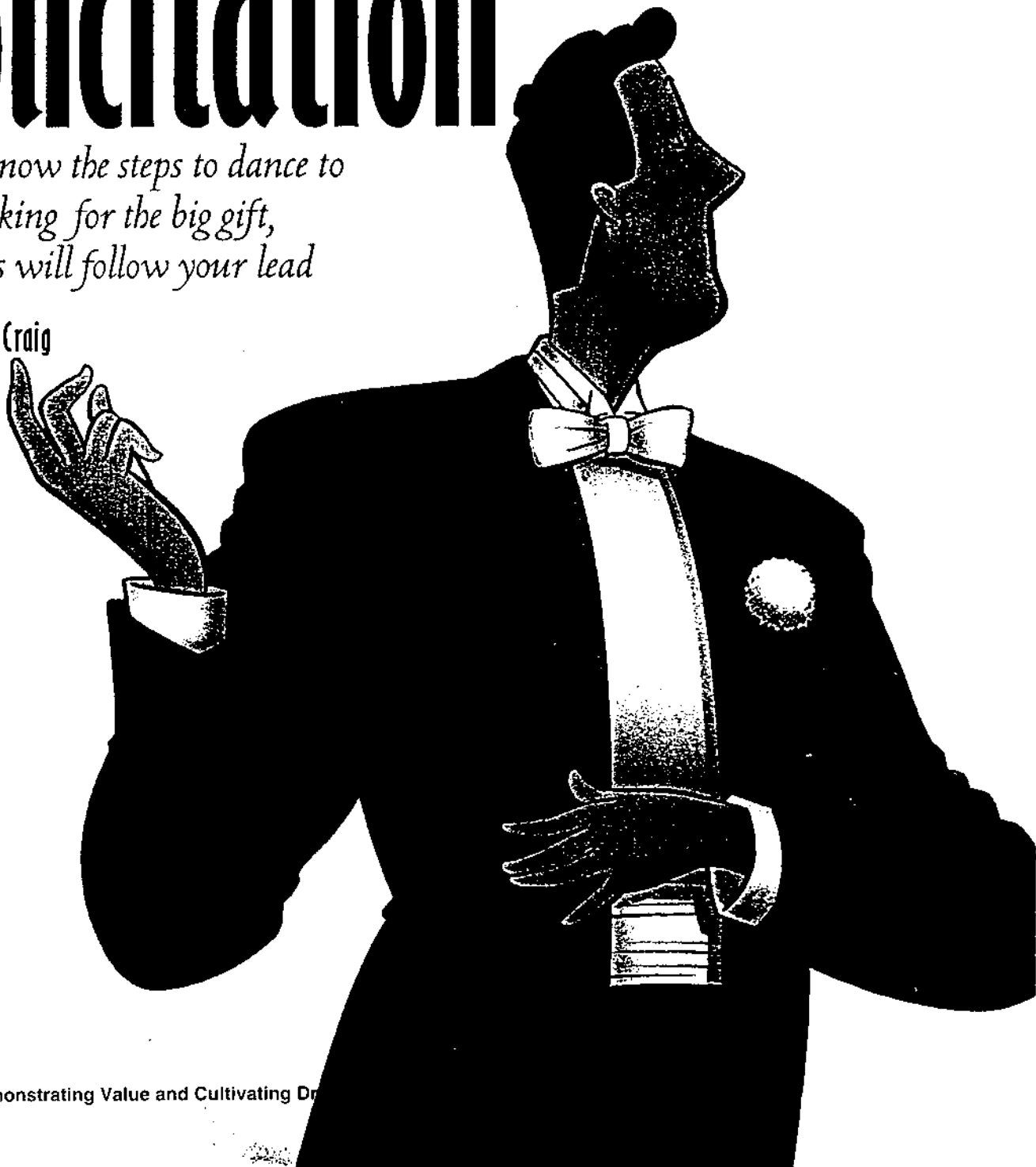How to Give. Statements concerning the nature and kind of gifts you seek.

Leadership. The names and qualifications of those who will lead the fundraising program, as well as those who will be ultimately responsible for the program and policies for spending the money.

Jerold Panas, Linzy & Partners

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The Tango of Solicitation

*If you know the steps to dance to
when asking for the big gift,
prospects will follow your lead*

By Donald E. Craig

Back in the 1960s, when I was just starting out as a fund raiser, I went on several calls with a trustee named Barron Segar. Barron was the most optimistic person I'd ever met. He also taught me the value of preparing for a solicitation and working through it according to a script—no matter what.

One day we visited a man I'll call Peter. Barron opened the conversation with a reminder that he had sold Peter some property that was truly a great buy.

"It was the worst purchase my firm ever made," Peter replied.

Undaunted, Barron recalled the marina he'd sold him as "the diamond in the crown of our region."

That marina was the second worst purchase he'd ever made, Peter said—second only to the first property.

Barron then looked the man squarely in the eye and said with enthusiasm, "Peter, Don has something exciting to share with you!"

Yes, we did close a gift that day. As we

Donald E. Craig is principal of his own fund-raising consulting firm in Virginia Beach, Virginia.

drove back to the school, Barron told me I'd done a good job. "But," he added, "it wouldn't have been as easy had I not prepared him first."

Amazing? Not really. Fund raisers don't arrive at calls like that without good reason. A carefully planned course of research, cultivation, involvement, and intuition all build up to one conversation. And just as the preliminary steps follow a pattern—however varied—so should the solicitation itself.

All those calls I made with Barron and other fine mentors followed a formula. I'd get the appointment, make the visit, ask for the gift, and usually close successfully. But the more I began to improvise, the more barriers developed and the longer it took to persuade potential donors to invest.

So don't improvise—even if the prospect resists your opening lines. At this point, what you say and how you say it may make the difference between getting the suggested gift and getting a much smaller one, or none at all. This article describes what has worked well for me in more than 2,000 solicitation calls. I believe these tips will work for you, too, whether you're a volunteer or on staff.

Basic steps

First, let me offer some overall advice on handling a major solicitation. Just as certain movements are basic to all kinds of dances, certain tenets underlie nearly every approach to a prospect.
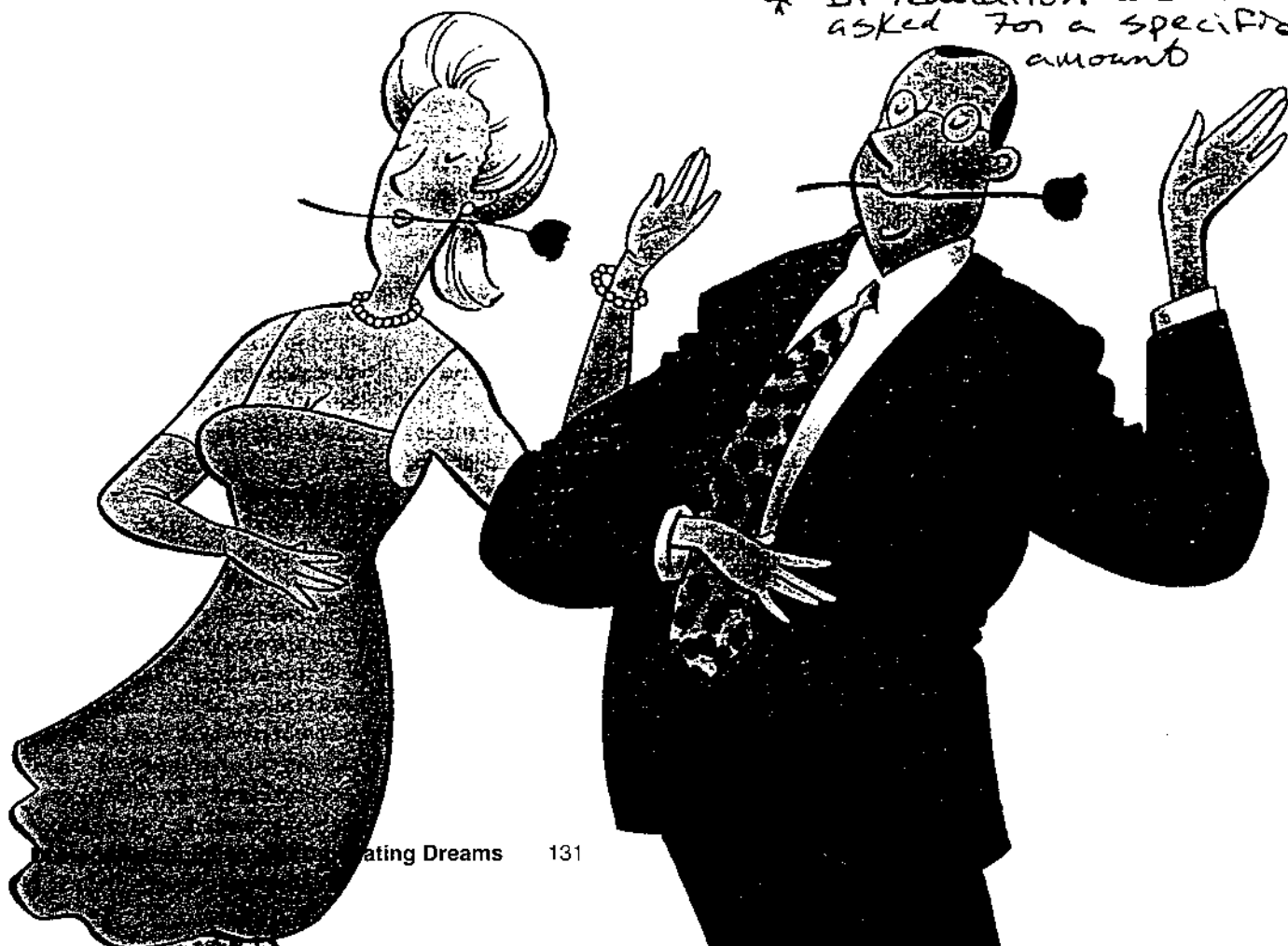
• *Never solicit alone.* You were chosen as the best person to make each call assigned to you. The person suggested as your co-caller is your complement—whether a staff member or a volunteer. If he or she becomes unavailable after you've set the appointment, you must have a substitute. Unless absolutely necessary, don't delay setting up the appointment because you are trying to coordinate three calendars.

• *Beware of small talk.* There's a difference between chatting to get comfortable and chatting because you think it will soften a person. The latter seldom works.

So present the ask quickly. Afterward, wait for an answer. There is a tendency to want to keep talking, but don't do it.

• *Don't mention an actual dollar figure.* Rather than asking the prospect to consider a specific pledge amount, use ranges like "upper leadership" and "lower leadership." This allows consideration of a

In Federation - we always asked for a specific amount

*R*ehearse everything. Planning who will say what boosts everyone's confidence and increases the chances of success.

range of opportunities, possibly including lifetime gifts and after-death gifts. For example, "Terry, as you think about investing in this campaign, would you consider being one of the five people in the leadership category?"

• *Focus on your mission.* Don't get distracted. Often donors will talk about their many community and family responsibilities. Your job is to invite them into a partnership with you. Hear what they have to say, but don't let it influence your plan.

The toughest part will be taking in what they say without appearing to throw it aside. After hearing information that appears to be a barrier, try this: "Terry, you have always done so much for your children, it must make you feel good" or "Terry, I'm hearing what you're sharing with me while knowing how important you are to the success of this project. It sounds like you may want to tailor your participation so it can blend in with your other responsibilities."

When you hear the answer, clarify it and stay on topic: "That's a wonderful gift, Terry. How might you plan to schedule the payments?" Or, if the answer was no, you could reply, "Terry, I'm concerned that something might be wrong because your interest has always been so high when it comes to supporting the campus."

• *Rehearse everything.* My No. 1 rule is this: Be prepared. A rehearsal will let you anticipate some barriers that you may encounter.

Your call partner might say, "Terry has five children, all of whom are in private schools right now. What will we say if he brings this up?"

I'd suggest that we say, "You must feel good, being able to do so much for your children." Then I'd recommend to my partner that we go right back to our script. Planning who will say what will boost everyone's confidence, ensure smoother delivery, and increase the chances of success.

Making the appointment
With the basic rules out of the way, let's go on to the specifics of setting up a solicitation visit. This may be the most challenging part of the call.

So get right to the point. Don't say, "Hey Terry! Been fishing lately?" You didn't phone to talk about fishing. However, if Terry asks if you've been fishing lately, answer the question with enthusiasm and interest. Then your phone conversation might go something like this:

You: "Hello, Terry, this is Don Craig. Terry, you know I'm seriously involved with the campaign for the campus, and I need to see you personally so I can bring you up-to-date and invite you to be involved with us. Is Tuesday or Wednesday the better day for us to get together?"

Terry: "Don, I hesitate to get together because I don't think I can be involved in the campaign. I contribute to the annual fund, but I'm not interested in doing more."
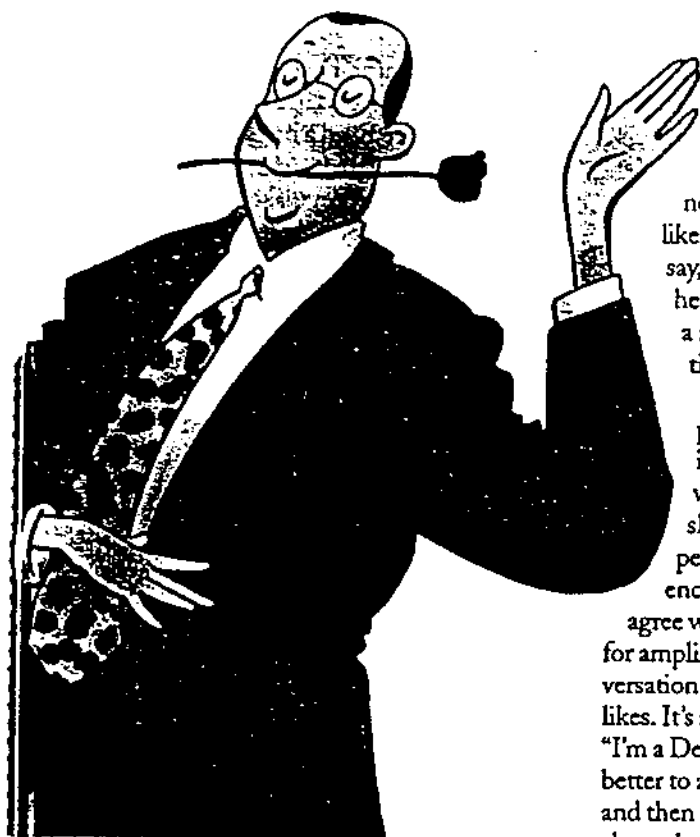
You: "Terry, it's important that I see you. I promise that the choice to be involved is yours. This campaign is the most important in our history. All I'm asking for is an opportunity to invite you into the partnership with us. I understand you may have to evaluate circumstances. But you know me well enough to know that you can be honest with me and I will respect your opinions. What time suits you on Tuesday or Wednesday?"

However your conversation goes, never solicit gifts or pledges over the telephone. Personal calls work much better. Here is one scenario:

Terry: "Don, tell me how much you're looking for and maybe we can accomplish this over the phone. I truly dislike fund raising and all its implications."

You: "Terry, I just don't feel comfortable handling this over the telephone. What does your Tuesday look like? We could do our business and then have lunch."

If you do end up meeting for a meal, never solicit over food; tell the server you

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that you most like?" or "How did the campus most benefit your life?"

Notice these are not yes-or-no questions. Don't ask, "Did you like the president's speech?" Instead say, "What did you like best about her speech?" That gets people into a real conversation—and a positive one.

Use this chat to help your prospect recall the values of the institution. Rather than explain why you like it, ask what he or she likes best about it or what person on campus most influenced him or her. That way you can agree with the answer, enjoy it, and ask for amplification rather than fill the conversation with your own interests and likes. It's a bit like saying to someone, "I'm a Democrat. What are you?" Much better to ask, "What's your choice?"— and then find interesting things to say about that choice.

A good way to pose the ask is to thank the person for cumulative giving, not just for last year's gift. This especially helps if you want to establish a foothold in planned or ultimate giving. Don't say, "Thanks for last year's $1,000; could you give $1,000 again?" Instead, say, "Thank you for giving $7,800—you're a true supporter. Would you help us even more with $10,000?"

But don't just ask for money this time; ask for a leadership gift or pledge. Even if you think you've asked, you really need to say the words: "I want to invite you into a partnership with us by asking you to become one of our four leadership givers."

As you say this, point to a section of the campaign gift table in your volunteer kit. Then, because volunteers and researchers have probably suggested a gift level, add, "The trustees have asked me to invite you to..." or, if you are a trustee, "The other trustees and I invite you to...."

Handling objections

If the prospect hedges or turns down your initial ask, keep the conversation going. If he or she won't go for the big amount, ask about spreading the amount over time: "Would this be possible if you could pay quarterly?"

If the answer is still no, ask if he or she could do it by taking more time or combining the cash portion with a planned gift. If the answer is still no, display the

want to get your business done first. Say to your potential donor, "Terry, let's order a beverage and then get our affairs out of the way before we order our meal." Then say to the server, "Please bring us iced tea and leave us undisturbed for about 10 minutes." This sends a clear signal to Terry that you are going to conduct some efficient business.

The best setting for a call is where you'll have the fewest interruptions. When the choice is a restaurant, I always call ahead to request a secluded table. When the choice is an office, I ask if someone can hold incoming calls for seven or eight minutes or, if I have a video to show, whether we can move to a conference room with the right equipment.

The toughest place to chat is a home, because children and telephones will demand attention. Also, the prospect will want you to feel comfortable—and tea or coffee just gives you another item to balance.

Making the call

Once again, rehearsal is crucial. Discuss how you will open the call, who will outline the case and make transitions, and how you'll pose the ask. Plan what to say if the prospect says no or responds with a much lower gift or pledge.

Then, at the visit, set the tone with the most important thing you can say about the campaign's distinctive value and cultivate his interest like "What is it about the campus's plans

Dream come true.
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Big ideas need a big forum.
That's why the University of San Francisco created an oversize case statement for its $75-million, 1992-96 campaign. Ideas stand out in the 9-by-13 "Building a Bold Tomorrow" booklet, which combines striking black-and-white photography with gold highlights in text. The matching athletics brochure is also eye-catching. For a big sample, here's an idea: Contact Arceil Juranty in the Office of Development, USF, 2130 Fulton St., San Francisco, CA 94117-1080.

He's makin' a list...
Make a list, check it twice. Santa's not the only one who racks up frequent-flyer miles. If your job has you out and about, you'll appreciate your colleagues' advice on packing smart, keeping in touch with the office (cheaply), visiting donors, and more. These 50 tips made up a 1996 District I presentation called "Maximizing Your Time on the Road." To check the list for yourself, request a copy from Anne Berry, VP for Institutional Advancement, St. Michael's College, Winooski Park, Colchester, VT 05439.

gift table and say, "If you're not comfortable here, where do you see yourself fitting into the leadership group?" With these proposals, you'll make every possible effort to avoid "bottoming the ask."

In any case, don't engage objections directly. "I know how you feel" is not a good response; you really don't know how others feel. It's better to reply, "Thank you for sharing that with me" or "I'm sorry you've had that problem. Is there something I can do to help?" or "Let me give your message to the head (or dean or president) and ask her to get back to you."

And if the prospect seems irritated, don't assume the worst. Actions and expressions don't always express a person's inner feelings.

Once when I asked a potential donor to name distinctive things about our institution, he answered, "Inferior faculty, inferior students, and an inferior university!"

This was a problem. I couldn't say, "Thank you for sharing that" or "This is something I should report to the chancellor." Nor could I say, "You're wrong" or "You don't understand."

But I could say this: "John, I'm embarrassed that I thought I knew you so well and thought you to be interested, and that I was wrong. It is inappropriate for me to invite you into a partnership with us today."

At that point the prospect left. But I called later that day and asked if I might come see him. It had dawned on me that he was a person of aggressive and critical speech; I needed to see whether he meant what he'd said.

When I arrived, the same hostile words began to come out. Now was the time to test whether he was really angry. After about 10 minutes, I said, "John, may I interrupt you for a minute?"

"What do you want?" he growled.

"Do you want to make this pledge payable in one year or over time?"

To my surprise, he roared, "Four years!" and then went back to deriding the institution.

After another five minutes, I said, "John, may I interrupt you again?" Again he gave me permission. I asked, "Do you prefer to pay this pledge in June or December?"

"November!" he shouted.

I handed over the pledge form. He signed it, screamed for his accountant to come and make a photocopy of it, and thanked me for coming by.

What did I learn? That word and tone are not necessarily good indicators of interest or decision. Even a no can sometimes mean yes, so you're wise to probe any objection a prospect makes.

A trustee and I once invited another trustee to consider a pledge at the top of the campaign gift table. The trustee responded quickly and sharply, "No! No! No!" He folded his arms and turned away from us.

Silence. Knowing something had to be done, I said, "Tom, it appears that today was a bad day for this call."

"You bet it is," he replied. "My discretionary money is gone for this year."

I asked, "If you could begin your pledge next year, would that be acceptable?" And with that simple proposal, we went on to close the gift.

However, where appropriate, you will want to say things like, "With your permission I will pass what you said on to the school head. When I do, may I have permission to use your name?" or "What you said is very difficult for me to hear" or "Will your feelings prevent you from investing in the program?" No matter what, always leave a call on a positive note. Remember, every call is a prelude to the next meeting.

Closing the gift

Once you've gotten the donor's OK for a gift, test the response as many times as you need to. You should be totally clear about what terms you're agreeing to. Then thank the donor, saying that you or others from the development office will be in touch soon, and make a polite, sincere, and appreciative exit.

On every one of my 2,000 solicitation visits, all those people who responded positively did so because they wanted to give—because they understood that philanthropy is what empowers institutions.

One donor told me, "Don, all I've ever been able to do is make money. I would love to do what you do—teach. But I can't. My conclusion is that the only thing for me to do is make a lot of money so I can help you and the institution do what you do best."

That's the kind of comment that makes solicitation calls so worthwhile. When you hear something like that, you won't forget it. And by following the advice laid out here, you too will feel the satisfaction of bringing a donor and an institution together. ◼

Philanthropy, Self-Fulfillment,
and the Leadership of Community
Foundations

BY JOE LUMARDA

The usual question echoing in the hallways of nonprofit organizations is, What do donors want? The more pertinent question is, What do donors need? One way to answer this question is to examine the remarkable success and consequent challenges of one of the fastest growing sectors of American philanthropy: community foundations.

These institutions were founded almost a century ago by banks to manage the disposition of charitable trusts and bequests to their charitable beneficiaries. Community foundations grew at a relatively slow and steady pace until the introduction of the Tax Reform Act of 1969, which placed harsh restrictions on private foundations. Community leaders and financial institutions saw how community foundations could provide a permanent, accountable, and flexible alternative (with greater tax benefits) to private foundations. With an emphasis on social sector knowledge and donor service, these philanthropic vehicles quickly became part of the toolbox of estate-planning attorneys, accountants, and financial planners.

Two other changes aided this growth. Beginning in the mid-1980s, community foundations began recruiting and hiring full-time asset development professionals (fundraisers). After years of emphasizing grantmaking, the field recognized the need for balance—for people to market and manage the relationships with donors and their advisers. The second change was the introduction of donor-advised fund services. In the past, community foundations managed donor assets after the donor's death (one wit described them as "the United Way for the dead"). Donor-advised funds are for the living. People donate to the community foundation and receive the same tax benefits as when they donate to a public charity. The donor frequently advises the fund, regularly recommending gifts to nonprofit organizations. This opened up a new constituency and source of dollars and donor service for the community foundation.

Today there are more than 500 U.S. community foundations serving every major metropolitan area, with total charitable assets of approximately $30 billion. The California Community Foundation, where I work, grew from less than $20 million in 1980 to more than $500 million in 2000. The field grew similarly. According to the *Chronicle of Philanthropy* (Nov. 10, 2000), "Community foundations' assets have more than doubled since 1995 and more than tripled since 1994. Gifts to community foundations rose more than $3.6 billion, a 28 percent increase from the year before. Community foundations gave out $1.9 billion in grants, an increase of 26 percent from the $1.4 billion distributed in 1998."

A Hierarchy of Donor Needs

What does this growth say about the original question, What do donors need? To answer this, I turn to Abraham Maslow and his well-known hierarchy of needs.

Maslow asserted that human needs are organized in a pyramidical hierarchy, with the fundamental needs for survival, food, and shelter at the base. At progressively higher levels are found the needs for security and social interaction. At the highest level is the need to learn, grow, and reach one's potential, to be (in his terminology) self-actualizing. As lower needs become reasonably satisfied, successively higher needs become influential in motivating human behavior. When a lower need remains unsatisfied, factors such as learning, creativity, innovation, or self-esteem remain insignificant.

This hierarchy first influenced the field of human resources management. A generation ago the majority of

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personnel directors used it as a policy guide for motivating employees. More recently it seems to have lost popularity. But within the donor context, Maslow's hierarchy yields significant insights for the management of all nonprofit institutions. The key is to use the hierarchy to address the right question: What does the donor—not the organization or the employee—need?

Although not all organizations are in a position to meet the needs of a donor, community foundations are particularly well positioned to provide a flexible and freely chosen means to satisfy a donor's needs, dreams, and desire for self-actualization.

The progressive needs of donors parallel Maslow's hierarchical framework. Most donor needs correspond to a management challenge.

Physiological Needs ‹ › Operational Effectiveness

The first and most basic needs noted by Maslow are the physiological. Without food, air, and water, the other needs will never become important. What are the air, water, and food of the community foundation? The operational counterparts are (1) the ability to receive dollars, (2) proficient grantmaking administration, and (3) the regular conveyance of information.

When a donor first approaches the community foundation, he or she must feel complete trust in the ability of the organization to receive and recognize the asset, be it cash, real estate, stock, small business interests, retirement plans, intellectual property, tangible personal property, and so on. Most community foundations have grown steadily in their capacity to handle complicated
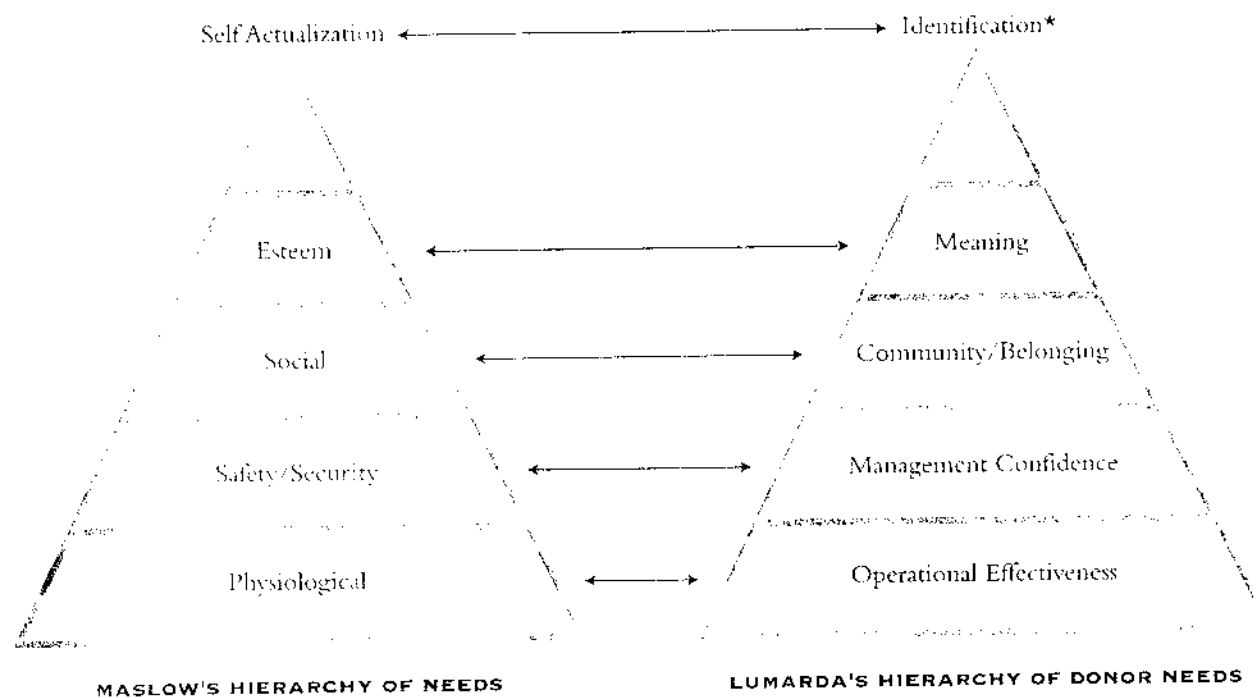
assets. The following questions are key to evaluating the donor's initial and ongoing transactional experience and the community foundation's competence:

- *Are you available?* How long does it take for you to get back to me?

- *Are you competent?* Can you be a charitable giving resource to me and my advisers?

- *Are you honest?* Will you tell me you don't know when you don't?

- *Are you ethical?* A growing number of charitable tax scams are disguised as legitimate techniques. A related question is, *Can you say no?* Community foundations are judged as often by the gifts they reject as by those they accept.

The next basic need is grantmaking administration. When donors first come to the community founda-

tion, they see their assets going into a segregated fund, typically with their name on it. From this fund they will make grants to their favorite charities. They see the word *foundation* and at that moment, quite naturally, simply ignore the word *community*. They focus on the word *foundation* as it pertains to their first, immediate, and familiar grantmaking needs.

Donors' needs evolve as the service moves from gift completion to grant administration. Donors must feel confident that their funds are handled well as they are contributed to the community foundation, and they must know that there is commensurate efficiency as funds are granted. These needs are most apparent with donors and their advised funds. The three A's of community foundation grant administration are *accuracy*, *alacrity*, and *acumen*.

Self Actualization ←——————————→ Identification*

Esteem ←——————————→ Meaning

Social ←——————————→ Community/Belonging

Safety/Security ←——————————→ Management Confidence

Physiological ←——————→ Operational Effectiveness

MASLOW'S HIERARCHY OF NEEDS   **LUMARDA'S HIERARCHY OF DONOR NEEDS**

*Paul Schervish Identification Model

To meet these needs, community foundations are increasingly expediting and customizing service for donors. Accuracy ensures that all the grantmaking i's are dotted and t's are crossed for each donor and its recommended grantee: Did we note their name correctly? Did we send the grant to the right branch of the Salvation Army? Though a community foundation is in control of the donor-advised grantmaking process, alacrity, or promptness, should be expected from a professional grantmaking organization. Finally, acumen, which stands for the value-added insight that a community foundation provides to a donor, is best represented by the question, Is there anything I should know about this organization?

This last item points to another basic need of the donor: information. Through the Internet and other vehicles of contemporary media dissemination, people can get their stock quotes and bank balances at the click of a mouse. The immediacy of information affects the foundation–donor relationship. Donors desire more and more information more and more quickly. So community foundations have added staff to support the needs of donor advisers as they pursue their charitable objectives—whether those charitable objectives include a simple grant or full analysis of their favorite issue.

Management Challenge 1:
How do we build a workforce of community foundation knowledge workers?

If our goal is to provide efficient transactions and cogent information, what type of workforce do community foundations need? Community foundation employees must be the kind of knowledge workers described by

Peter Drucker, that is, "people with knowledge [who] take responsibility for making themselves understood to those who do not have the same knowledge base. It requires that people learn—and preferably early—how to assimilate into their own work specialized knowledge from other areas and other disciplines."

The new "it" of Drucker's comments is a culture of knowledge and service. This culture places emphasis on continual learning and sharing among staff, donors, other foundations, and the community. This means that employee attitude and fit with such an environment is just as important as (if not more important than) technical skills or experience. One example that Drucker frequently cites is the work of the hospital nurse: if you feel that the technical expertise of a nurse is the only requirement for the job, then you've never been taken care of by a nurse! According to Drucker, the most important job of the nurse is to exercise compassion, to be fully present for the patient, and to be willing to go the extra mile.

What does the donor—not the organization or employee—need?

Similarly, these characteristics are needed for the community foundation knowledge worker: a compassionate nature, a communicative style, intellectual curiosity, and a passion to serve donors and the community. The last aspect is important for customers—the donor typically comes to the community foundation table with passion for a cause. That enthusiasm and commitment must be met in kind. There is a scene in the movie *The Color of Money* in which Paul Newman and Tom Cruise accurately depict this intangible attribute of the community foundation knowledge worker. Newman's character explains that skill with the cue stick around the pool table is secondary to "the art of human moves." It's

this art of human moves that is essential for dealing effectively with donors and their advisers, with nonprofit organizations, and with our fellow employees.

Security ← → Management Confidence

Maslow describes the need for safety from the perspective of a dependent child. In order for children to live without undue anxiety or fear, they need to know that their well-being is by and large secure—that is, that what is being fed to them daily is hazard-free and good, that there is a relative order and predictability to their days, and that they are protected in times of emergency or chaos.

How is this need analogous to the donor's experience? When a gift is given to the community foundation, the donor loses control of those dollars because the Tax Code requires this loss of control to receive the corresponding tax benefit. This leaves the donor in a position of total trust and dependence on the community foundation. Testamentary gifts add an even greater level of faith in the institution's future. There is another, more extreme, aspect of dependence: the person making a charitable bequest will not be around to make sure his wishes are being honored.

There are three ways in which donors require confidence in the security and management of the community foundation: (1) fiscal security of the dollars, (2) trust in the culture and people, and (3) confidence that their charitable wishes will be honored faithfully—within reason.

Because of the availability of investment information, donors and their advisers put community foundation

Employee attitude and fit are just as important as technical skills and experience.

personnel through their paces when it comes to an explanation of investment policies and practices. Historical returns, asset allocation, expense ratios, and risk tolerance are the inquisitional hoops that we must jump through to satisfy a donor's need to ensure fiscal competency.

Whatever the donors' personal investment inclinations, they all have the same concern: safety. Even the most experienced and highly risk-tolerant donor will often say, "I hope you are not too conservative, but I don't expect you to invest your funds like I do." They seem inherently to know that we need to answer not only to them but also to the whole community, not to mention state and federal regulatory agencies, and even to future generations.

The second aspect of the need for security is the donor's confidence in the community foundation's corporate culture and people. Very often, potential donors will conduct extensive due diligence on these issues. Trust in the future is attained only through a clear elucidation of past performance and current demonstration of the corporate culture.

Finally, donors need to know that their charitable wishes will be followed now and in the future. Unfortunately, trust in the nonprofit sector and its assets has recently been called into question. The scandals involving United Way of America, fundamentalist religious groups, and the Foundation for New Era Philanthropy have sown seeds of suspicion within the potential donor community. Activities within other sectors of philanthropy have not helped. Some private foundations, for example, have recently gained notoriety for their U-turns in grantmaking

policies and priorities despite the clear intentions of their founders.

Donors do not always base their judgment on the assumption that good words and intentions indicate reliable management and positive outcomes. Each year, more and more community foundations are asked, "How do I know you are who you say you are?" Donor due diligence is not a bothersome process; rather, by establishing a relationship, a donor rebuilds trust in the nonprofit sector as a whole.

Management Challenge 2:
How do our spirit and
our practice of openness
ensure and demonstrate
security and trust?

The work of community foundations is a case in which familiarity does not breed contempt—it breeds confidence. As contradictory as this may sound, a community foundation will ensure institutional security by living in a glass house. The donors, the nonprofit community, and the public in general must have freedom to evaluate information about the way community foundations operate, manage funds, assist donors, make grants, and set priorities. Lack of active, forthright knowledge breeds insecurity.

The community foundation must be a leader in the spirit of full disclosure of financial information to the community. For example, the California Community Foundation was one of the first foundations of any kind to post its full annual report, audited financial statements, and IRS 990 tax returns online. The use of the Web is ideal not only for such disclosure but also for

sharing grantmaking guidelines and processes with the community.

The greater commitment to institutional openness needs to correspond to community foundations' own growth. Many institutions, whether nonprofit, for-profit, or governmental, tend to become more withdrawn and distrustful as their size increases. As a friend in the entertainment industry has commented, "Stardom can breed suspicion." But it is precisely at this time of great growth and increasing influence that community foundations must accentuate openness and disclosure as part of their commitment to the community.

Social Belonging ↔
A Community of Donors

Maslow believes that the higher needs begin with the desire for social and emotional belonging. At this stage in the hierarchy, he notes, "the person will feel as keenly as never before, the absence of friends, or a sweetheart, or a wife. Or children. He will hunger for affectionate relations with people in general, namely, for a place in his group, and he will strive with great intensity to achieve this goal."

By definition, the community foundation is a natural community of donors, living and dead. No other institution in the world can so powerfully and credibly state the claim of partnerships with thousands of donors, each with a personalized philanthropic mission.

Heretofore, donors to the community foundation did not know their institutional neighbor funds (donor advised funds in particular). Each fund acted very much like an island unto itself. More and more, people wish

Lack of knowledge breeds insecurity.

to belong to something quasi-familial that still allows them independence. This is proven each time I show potential donors the community foundation's annual report. Their eyes make four noticeable actions. First, they look for someone they know. They are searching for familiarity in our list of donors to bolster their confidence and comfort level—someone to call to ask how this philanthropic arrangement goes.

Second, they survey the leadership, the board of directors. "Is there anyone here I know, whom I can contact or whom I recognize?" This roster is a primary indicator of organizational personality—and they wish to know if they could get along with these people

Third, they look at the number of donors to the community foundation. "Is this popular or elitist? Am I the first one in line to this organization? How many other people have come before me and are still here? Finally, where does the foundation make its grants? Do I feel comfortable with the priorities and values of the organization?"

Today, community foundations bring donors together. At my community foundation, we invite donors to regularly scheduled gatherings with prominent speakers on timely national or local community issues. At these meetings, donors become acquainted with one another, share their charitable interests, and possibly forge philanthropic partnerships that might initiate collaborative or enhanced grantmaking.

Other community foundations are searching for ways to meet this growing social need. The SV2 program started by Community Foundation Silicon Valley is a specialized

A powerful virtual community for foundations could be created in the years ahead.

donor collective. Donors, most of whom are Silicon Valley high-tech executives or engineers, contribute to a fund and participate in a communal grantmaking process. Many community foundations hold an annual meeting for the entire community, where donors, grantees, and community leaders gather to receive a state-of-the-foundation report and to network among themselves.

Management Challenge 3:
How do we use technology to create a better community of donors and foundations?

Collectively, community foundations control more information on local nonprofit organizations than any other group of similar institutions nationwide. Currently this information is shared via phone, fax, and e-mail. A powerful virtual community for community foundations could be created in the years ahead. The potential exists for aggregating and disseminating this vast and valuable programmatic information via a common network. It could be used by, say, donors in Los Angeles seeking the best child care center in their hometown in the Midwest. Imagine, moreover, that community foundations conducting local studies on school reform could access and download hundreds of white papers covering this issue from San Francisco to Chicago to New York. Private foundations could access the opinions of local community foundation program experts on such specialized issues such as the environment, the arts, or animal welfare.

This brings new meaning to the term *community of donors*. Using technology, the community of community foundations could be both a repository for a vast

wealth of local knowledge and a place to interact with like-minded supporters or learners.

Esteem ←→ Meaning

Maslow contends that the need for self-esteem is "based on the real capacity, achievement, and respect from others." He asserts that you must first have esteem for yourself and then desire the esteem of others. What community foundations often experience is somewhat different.

Donors naturally come from a position of abundance. In our society, such abundance naturally attracts the esteem of others. In the nonprofit world, this is most readily apparent in the way we recognize donors—with names on buildings, award events, and the like. These are time-honored methods that have produced much good in this country. For many, however, such lavish recognition is seen as exchanging gifts for esteem.

The esteem of others may come from position, money, or power, but it is the inner search for meaning and purpose that provides a sense of security, contentment, and true self-esteem. In the article, "Do You Have the Will to Lead?" philosopher and business consultant Peter Koestenbaum noted, "Unless the distant goals of meaning, greatness and destiny are addressed, we can't make an intelligent decision about what to do tomorrow morning, much less set a strategy for a company or for human life. Nothing is more practical than for people to deepen themselves. The more you understand the human condition, the more effective you are as a business person."

Nothing is more practical than for people to deepen themselves

What is the significance of all this talk about meaning for donors and the community foundation? Our type of foundation is not accustomed to giving the quality of recognition that many major donors traditionally receive. We do not name buildings or give big awards dinners. Community foundations can facilitate grants that support such activities, but it is not the way we operate our business or acknowledge our donors.

Community foundations are in the exclusive position of being public charities that can, to use Koestenbaum's phrase, assist a donor in examining the "distant goals of meaning, greatness and destiny." Community foundations do this best by matching the needs of the donor to the needs of the community.

Many donors who come to community foundations are what may be called "accidental philanthropists." Ask them how they made their money and they'll simply say, hard work and being at the right place at the right time (in other words, they were lucky). Ask other donors why they are giving and they will say half-jokingly that their accountant stressed the need for a deduction, and of course they wish to give back to the community. Ask them what they want to support and they will say their alma mater, their children's school, their church or temple, some causes that their friends support (the social need), and some organizations they read about in the mail.

Then we ask our questions: But what do *you* wish to give to? What do *you* feel passionate about? What do *you* love about your community? These questions are met with blank stares, a glance at their direct mail brochures,

and then a moment of unaccustomed introspection with respect to the individual's personal feelings about the community. What follows later is often a steady stream (that may turn into a flood) of feelings, experiences, opinions, and passion (for children's health, education, pets, domestic violence, and the like). This list sets the framework for our relationship: go here, don't go there; go slow on this, I want this tomorrow; let me know what you find, I want to see for myself. This is the first step in defining philanthropic meaning, which in many ways affects and forms personal meaning.

Management Challenge 4: How will the community foundation serve the "New New" donor?

In a recent issue of *Fast Company*, a gathering of leaders ("Fast Pack 2000") from fast-growing (mostly high-tech) companies, business thinkers, and educators convened to discuss a wide range of topics, including "Can Hope Scale Up?" A friend of the community foundation world, Bill Strickland was one of the first speakers. He told the story of his enormously successful Manchester Craftsman Guild and Bidwell Training Center in Pittsburgh. The first response in the roundtable discussion came from Gil Bashe, CEO of HealthQuest, a health care and marketing services startup:

"My reaction to everything you have told us is that everything you are doing is spectacular, but it isn't good enough. Here's what I mean. You can go from city to city in the United States and find people who are creating powerful institutions that deal with kids and poverty. St. Louis, Seattle, Boston, San Francisco and other cities across the country have these programs. But that's not enough. You tell us it could take 30 years or more to return hope to our inner cities. But we don't have 30 years. It's got to happen in 5 years. So the question is, How do we get programs like yours into 100 cities within 5 years? We need to figure out how to get that done, because the problem is growing faster than the solution."

As Gil Bashe applauded Bill Strickland, I applaud Gil's sense of urgency. This example, and my experience, show that these are the identifiable tendencies of the new (which often means high-tech) donor:

Do it themselves. Often their answers lie in a new organization instead of supporting the tried and true. This entrepreneurship could be very good for the nonprofit sector.

Do it fast. From 30 years to 5—this is an admirable goal.

If it doesn't happen, then what? This is the main concern for many nonprofits. Beyond the aggressive goal and initial pledge, what other commitment is there? And if this pledge is not met in five years, then what?

Self Actualization ↔ Identification

Introducing the highest need, Maslow states, "We may still often (if not always) expect that a new discontent and restlessness will soon develop, unless the individual is doing what he is fitted for. A musician must make music, an artist must paint, a poet must write, if he is to be ultimately happy. What a man *can* be, he *must* be. This need we may call self-actualization."

> *What you are doing is spectacular, but it isn't good enough.*

Maslow uses the examples of a musician, an artist, and a poet in his definition. It can be assumed that any vocation, if it satisfies and completes the individual, may lead to self-actualization. But my experience offers an alternative path to this higher state, and this is what, in closing, I want to share.

Time and time again, donors tell me that if there is one thing that wealth gives them, it is a greater sense of freedom. Wealth allows the freedom to choose a new avocation separate from their wealth-building focus. Boston University researcher and sociologist Paul Schervish, an expert on the subject of wealth and philanthropy, has observed that "the fact that the wealthy do not have to work ironically results often enough in their wanting to work; they are free to select and shape their work so that it becomes a source of satisfaction, self-actualization, and effective accomplishment."

For some, self-actualizing wealth leads to founding a new business; for others it means more time with the family; for many, it signifies an opportunity for volunteerism and philanthropy. I have found that donors typically are looking for some kind of fresh start. "Financial security is here," they say, "now I get to do something worthwhile with my spare time and money." They also claim, "Now I get to do something good," or "Now I get to have some fun," or "This is like a second career." Some will use the existentially transformational language of "I'm a different person." Schervish talks of *adoptive philanthropy*: "Where donors support individuals on the basis of a feeling of surrogate kinship." *Kinship* is an interesting choice of term. It connotes a familial relationship. Adoptive philanthropy allows a donor to share the experience and vulnerability of the recipient. "There but for the grace of God go I."

This impulse is understandable for organizations such as the Salvation Army or the family-counseling agency, but do donors really achieve an equal identification with a community foundation? They do. I recall some years ago a very exigent donor, who was near death, saying, after he'd checked out our organization from top to bottom, "I guess you'll be me. . . ." By this he meant that he expected the community foundation to be like himself in the years to come—in all his wisdom, inventiveness, entrepreneurship, risk-taking, stubbornness, curiosity, and humor.

That dying donor had a greater identification with the customized vehicle our organization provided than with the actual causes to which his money would flow. He identified not with the ultimate scholarship recipient but with the entity—the community foundation—that would be his eyes, ears, and spirit. Over my five-year relationship with this man, we worked together through all the needs, from basic to higher, from transaction to transformation. The flexibility, the permanence, and indeed the soul of the community foundation allowed him to view philanthropy as his final and best calling and, I am convinced, as the means to his ultimate self-actualization.

Such a passing on of trust and responsibility can be awe-inspiring. Some time ago, during a long-range planning session of the California Community Foundation, Peter Drucker quipped, "One of the main reasons you exist is so that donors don't look stupid many years later." The attendees enjoyed a good laugh at that remark, but Drucker remained dead serious. He went on to say that this type of confidence is not to be taken lightly. Giving over one's judgment, reputation, and philanthropic persona is a special and serious business. ∎

FUNDRAISING...

Roger L. Schluntz, FAIA
Professor and Former Dean, University of Miami
November 1996

*Ten Strategic Mistakes and Fatal Flaws for Architecture Administrators**

1. **Indifferent Leadership**
    To be successful, fundraising must become an administrative *priority,* not something to do when you "get around to it" or when you have some free time. An on-going and *scheduled commitment* to a proactive agenda is essential. Toward this end, you must be enthusiastic, persistent, and convey--at all times--a contagious sense of optimism.

2. **The "Lone Ranger" Affliction**
    A broadly based, team approach is critical to success. You will have to *make* friends and *cultivate* friends. The unique resources and manpower that can be provided by alumni, practitioners, faculty, and the "beneficiaries of design services" are essential to the effort. If these crucial groups and individuals are to be mobilized, they must "buy into" your fundraising mission, specific objectives, and strategies. (The capacity to effectively *delegate* cannot be over-emphasized.)

3. **Inadequate Planning ("Winging It...")**
    A good *plan* will encompass a clarity of purpose, probable sources and funding expectations, and the identification of the resources necessary to undertake the fundraising effort. The lack of a rational plan will almost certainly ensure administrative inefficiency and lost opportunities down the road. And having an *adopted plan* won't hurt when someone upstairs asks, "What the h--- do you think you are doing...?".

4. **Failure to Link Needs with Interests**
    Prospective donors have many choices of where to give; your suggested need must be comprehensible and compelling. The first rule in sales, "never try to sell something to somebody without first understanding what he/she wants," applies equally to fundraising. It is very rare that a donor is without individual interests and expectations. This does not mean that you should not explore a range of specific needs *("opportunities").* It is not uncommon to discover that, once understood, the breadth of program activities so vital to the enrichment of the architectural program will also be intriguing to a potential donor.

5. **Failing to Cultivate Potential Donors**
    It is rare that an individual or corporation will respond positively to solicitations that are easy to ignore. Cold calls and form letters received by an individual or organization with whom you have little or no acquaintance are often more irritating than helpful. Cultivating prospects means developing a genuine interest and understanding of other people and a sincere appreciation for their respective agenda. This is not accomplished overnight nor by staying close to your office.

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*Adapted from Development Today, Jan Stutzman, JLA Publications, Cambridge, Massachusetts.

6. **Neglecting to Establish Endowments**

Permanent accounts have three advantages: (1) the gift received keeps on giving, year after year; (2) various programs and activities can be *institutionalized*, the resulting and continuous stream of revenue affording some degree of permanence while also limiting the need for time-consuming "start-ups;" and (3) a financial cushion is provided for that inevitable "rainy day" that, sooner or later, will come. While some major donors and most foundations and agencies will want to tie their funding to immediate actions, many alumni (some who instinctively presume their annual gifts are paying for fancy lunches and faculty boondoggles) are very responsive to efforts that are intended to sustain the school and its programs in perpetuity.

7. **Failure to Solicit Leadership Gifts**

Ultimately, *most* of the money resulting from a successful fundraising effort will come from a few sources, perhaps only one or two, rather than from many. Determining *who* is in a position to make a major commitment is obviously the first step. Research, cultivation, and extreme forbearance are frequently necessary. Disappointments will probably far out number the successes, if *any;* and deferred gifts (e.g., wills, trusts) will likely aid your successors more than you. But try you must.

8. **Insufficiency of Perseverance**

Fundraising, it should be obvious, is not an activity for the faint of heart or for those needing instant gratification. It takes time to develop strong and broadly based support-- from alumni, professionals, and other *friends of architecture.* Planning, research, and cultivation could test the patience of Job. (If you are willing to take "no" for an answer, you probably should find a capable and high-ranking assistant.) The trick is essentially two-fold: (1) don't lose the vision and (2) keep tracking the various fundraising initiatives and your prospects. In time, your accomplishments will be directly proportional to your persistence.

9. **Lack of a Coordinated Effort**

Most universities and institutions have fairly specific rules governing the solicitation of gifts, both large and small. Other deans can be helpful in explaining to you what these are and what they mean relative to your ideas and desires. While you may feel these protocols are unduly restrictive and give the advantage to schools who need help the least, there are reasons they exist. There may have been a time when it was smarter to "ask for forgiveness than to ask for permission," but such a strategy is risky at best. A successful administrator is usually one who is familiar with the resources and personalities of the institution's Development Office and has figured out how to make the *system* work for the advantage of the architecture program.

10. **Forgetting to Say "Thank You"**

Beyond the common courtesy, it is a serious mistake to assume that the act of giving is its own reward. Donors, almost without exception, are highly motivated by *public acknowledgment and sincere acts of appreciation.* Remember also, the individuals most likely to give to your future fundraising efforts are those that have given previously. Having made a contribution, the donor (big or small) can be considered an essential part of the team. And in this business, your are going to need *all* the friends you can find. So whatever you do, don't forget them.

NC State University
Prospect Management Guidelines
March 2002

These prospect management guidelines are intended to be donor-driven, in other words, to help the donor make the gift in the manner and to the area of the university they prefer. Many potential donors have multiple interests, and these interests may change over time. Prospect management can help ensure coordinated solicitations that incorporate multiple gift designations. Deans, faculty and volunteers are an essential part of this coordination, in addition to the prospect manager.

From a university perspective, prospect management maximizes a potential donor's giving capacity in a coordinated way. Prospect management focuses the efforts of development officers on a limited number of top prospects. Full-time fundraisers can manage approximately 100 – 120 prospects. Development officers with significant administrative responsibilities may only be able to manage 25 prospects. The goal of prospect management is to ensure that solicitation of top prospects is carried out in a timely and effective manner.

What is the role of the prospect manager?

The role of the prospect manager is to manage the contact with and the solicitation of a prospect in a coordinated way, not to prevent the prospect from being solicited. The prospect manager must be alert to multiple interests of the donor, and to engage the appropriate individuals on campus to further that interest.

When must I register a prospect?

You must register only qualified individual major gift prospects of $25,000 [$5,000 over 5 years] or more.

There is no need to register prospects not capable of giving at the $25,000 level. If an individual's capability is unclear, the development officer may register this person until they are qualified. Prospects must have demonstrated an interest in the area they are being registered to.

Once the assignment has been made, no one may contact the prospect without the prospect manager's approval. Exceptions to this are solicitations for $1,000 or less made via letter or email. All solicitations made in person, regardless of the amount, must be approved by the prospect manager.

How many people can be registered to a prospect?

A prospect is registered to one primary manager. Up to two additional development officers may be added to the team if the prospect has multiple interests.

Development officers wishing to be listed as team members must first discuss their plans with the primary manager. Once listed, team members must consult the primary manager before contacting a prospect, and primary and team members must inform each other after contacting a prospect.

How long is an individual prospect registered?
An individual prospect is registered for six months, with an automatic renewal for another six months if no one else requests clearance. Reassignment is discussed at the six-month interval if no activity is recorded on the database and someone else has requested clearance. If there is one year or more with no activity, the prospect manager will be encouraged to consider dropping the individual as a prospect or reassigning the prospect to another prospect manager.

When are prospect registrations discussed?
Prospect registration is discussed at monthly prospect management meetings, chaired by the Associate Vice Chancellor for University Development, and staffed by the Director of Prospect Management and Research. At these meetings, new requests are reviewed, as are requests for reassignment. These meetings are also the forum for okaying renewals, and for determining the best assignment for newly identified prospects.

When can I solicit individuals not registered to me?
As part of a specific fundraising project, one-time gifts of $1,000 or less may be solicited from individuals registered to other staff members via mail, email or other mass means.

If the solicitation is by mail, the development officer guiding the project must contact the Director of the Annual Fund prior to the mailing. The Director maintains an ongoing calendar of these mailings and shares it with others. The development officer may also inform colleges or programs with registered donors in the audience targeted in the mailing.

Special fundraising projects might include gifts for a student project, a faculty member's retirement, or a university-wide capital project. Other areas of interest must be acknowledged in the solicitation, for example "I know you have other interests at State, but I hope you will join me in making a gift of $1,000 to the NC State Family Scholarship Fund."

The only individuals exempted from these guidelines are those with a "do not solicit by mail" code for all mailings or solicitations (currently fewer than 1600 individuals).

How are faculty and staff treated?

Faculty and staff are solicited by Annual Fund once a year, and have the option of giving to their college or to another area. The Annual Fund will review faculty and staff who are registered major gift prospects with their manager to determine if they must receive this solicitation or not.

How are corporate and foundation registrations handled?

Corporations and foundations with multiple or university-wide interests are registered to a member of the Corporate and Foundation Relations staff. This staff member then coordinates proposals to these entities. Corporations and foundations with a singular or focused interest, such as aerospace engineering, may be registered to a particular development officer just as an individual prospect may be.

How are disagreements about prospect assignments resolved?

If development officers are unable to resolve disagreements between themselves in a collegial manner, they will need to make their case for prospect assignment at the monthly Prospect Management meetings. Criteria to be considered include expressed interests of the donor, giving history, previous contacts, and progress toward solicitation. The Associate Vice Chancellor for University Development has the final decision authority for prospect assignments.

Can I recruit someone for my board or volunteer committee who is already on another board or committee at NC State?

You can recruit a volunteer who is already on another board only if you have first discussed your plans with the development officer who oversees the other board. You must also first contact the development officer if you plan to recruit board members who are registered their college or program.

Announcing new board or committee members will help make other development officers aware of these relationships. Volunteer service must also be noted on their Advance database record. These guidelines include board members of pan-university organizations like the Alumni Association, the Board of Visitors, the NCSU Foundation board, etc.

How must I get the word out about alumni events or fundraising events for new projects?

Alumni events, whether initiated by the Alumni Association or a college, must be announced via email or at a meeting to other staff. Fund raising events for new fundraising projects (not ongoing ones like the Arts NC State gala) must also be announced in this way.

Putting on the Ask

By James Conaway

College fund-raising has become part art, part science, and part grubby hunt for more and more money. Heightening the pitch: the amazing stock market.

"One wants one's name in stone."

The director of planning for Harvard University's faculty of Arts and Sciences was giving me a tour of the campus. He pointed to the archway over the Chemistry Department and told me he once sent a prospective donor a watercolor rendering of the arch with the man's name inked in, to give him an idea of what the arch would look like if a sufficiently large donation was made. n That particular ask was not successful, but many others have been. Philip Parsons, the director of planning, is just one of the dozens of people affiliated with the university who direct wealthy individuals toward its many projects, such as Loker Commons, a new student union, renovated with an $11 million contribution from Katherine Bogdanovich Loker. Her largesse provided, among other conveniences, handsome study/dining cubicles, a Tex-Mex counter, and E-mail-retrieval systems. Her name is in stone.

Another large gift involved the renovation of Memorial Hall, a Victorian Gothic structure described by Henry James as a "great, bristling, brick Valhalla" and a dramatic contrast to Harvard's prevailing Georgian rectitude. That renovation was accomplished with $15 million given by Walter Annenberg. His name is not in stone but in wood, in big gilt letters over the doorway of what is now Annenberg Hall.

Bill Gates and Steve Ballmer directed $20 million of their $25 million pledge toward the construction of a new computer-science and electrical-engineering center. It will be dedicated to their mothers, whose maiden names, Maxwell and Dworkin, will be in stone.

The word for gifts like these, in the argot of capital campaigns, is "transforming," but not in this one. ("No one transforms Harvard," one official said.) The proper phrase here is "principal gift." The man who suggests how such gifts may be made, Charles Collier, works in a modern office building, his yellow suspenders and matching tie more Wall Street than Harvard Yard. Collier obviously enjoys being the senior planned-giving officer. "Giving to Harvard, Amherst, or Pomona," he explained, "is an investment in society. I call the people who do this agents of change."

The newsletter Collier produces for Harvard, Capital Ideas, suggests ways of becoming an agent of change. In it he proffers "gift devices," which vary from charitable remainder trusts to donor-advised funds to outright gifts of money and real estate. There are many examples, some ingenious. Whipple V. N. Jones, class of '32, gave Harvard most of the stock in his Aspen ski resort, which Harvard sold. Jones is paid a lifetime income from a trust Harvard set up, with tax advantages all around. Explaining motivations for giving, Collier said, "Successful people at some point like to move from success to significance. To push the spiritual realm--to endow is to get a bit of immortality."

Principal gifts are also a concern of Harvard's vice president for alumni affairs and development, Thomas Reardon, who speaks of Harvard's valuable "product," a word that in Henry James's day would have been restricted to corn or pig iron. As Reardon sees it, the quality of that product is inherent in the results of Harvard's research and in the success of its graduates. "An investment in Harvard offers the best chance of contributing to the betterment of the country," he said. Harvard is now receiving, on average, more than $1 million a day in new charitable donations--part of the endgame of one of the most ambitious capital campaigns in the history of university fund-raising. More than $2.1 billion will have been banked when Harvard's seven-year drive ends in 1999. But in its ambitious drive for funds, Harvard hardly stands alone. Stanford, the first university to undertake a billion-dollar capital campaign, back in 1987, raised $313 million last year--beating out Harvard by $4 million.

These are propitious days for many institutions of higher learning. In academic 1995–96, the last year for which totals are available, colleges and universities raised $14.25 billion in donations, an increase of 12 percent over the year before. Capital gifts, which accounted for about half the giving, rose by almost 16 percent, more or less paralleling the 14.6 percent rise in the New York Stock Exchange Composite Index.

During the past two decades, while tuitions were also making their most precipitate climb in history, I put three children through college. Like many college graduates and parents of graduates, I am grateful for the education but puzzled as to why, after all the tuition bills have been paid, I am continually asked for even more money. Why are America's colleges in a flat-out charity race despite, in many cases, already comfortable revenue streams and ample endowments?

The answer given by the universities is generally in two parts. The first is that they want and/or need the money. "Harvard Yard is an icon," Parsons, my guide, said of the effects of expendable capital on the expansion and upkeep of an institution. "The physical surroundings of a school are what live in memory."

Maybe so. But why does Harvard need a $2.1 billion capital campaign when it already has an endowment of almost $10 billion--the largest in the country and more than the annual gross domestic product of many nations--as well as regular yearly income akin to a healthy corporation's and millions more from annual giving?

Thomas Reardon listed the restrictions on the endowment that prevent spending more than about 5 percent of it a year, the falloff in federal funds for research, and the costs of student aid, maintaining the facilities, and salaries. Yet Harvard could still get along very well with a lot less. For instance, the university takes in enough in donations alone in a couple of months to cover a year's aid to undergraduate students. Income from tuition and fees last year totaled half a billion. The largest minority at Harvard is said to be professors without endowed chairs, and much of that white linen in the Faculty Club is occupied not by frayed tweedy elbows overlaid with leather patches but by pinstripes and stonewashed silk, so where's the need?

"Because of strengthening markets, we're in a unique time to create an ability to grow," said Reardon. "People ought to give to Harvard out of its potential, not its needs." This, then, is the second part of the answer: Colleges ask for money because they're discovering all sorts of ways to get it.

Harvard, with the extraordinary success of many of its graduates and their interest in maintaining the institution that shaped them, is particularly poised to get it. "Any fool can raise money for Harvard" is the witticism within the fund-raising community, "and many do." But the extent and the intensity of the effort is something else entirely. Among the "Gift Opportunities" listed in Harvard's campaign brochure:

You may establish a "named" scholarship fund for an undergraduate for $250,000 or a Kennedy School of Government professorship for a "distinguished public service practitioner" for $2.5 million.

Your gift of $7 million will complete the conversion of the Harvard College Library's card catalog to electronic database.

A $50 million gift will enable you to name the Harvard Law Library after yourself or, presumably, your mother.

UNIVERSITY OF MICHIGAN: 246,709 DONORS AND COUNTING

Big capital campaigns were once associated with cushy private schools, but public universities are now similarly engaged. In fact, "the fund-raising offices of the publics are being given goals that are unrealistic," said David Morgan, vice president for research at the Council for Aid to Education.

But not at the University of Michigan. Seven years ago it set a goal of $1 billion to be raised in a capital campaign, the first announced by a public for such a figure. By campaign's end this September, Michigan had exceeded that goal by 20 percent. The figure sounds a bit more reasonable than Harvard's $2.1 billion, since Michigan has 36,000 students in Ann Arbor and a relatively small endowment of $1.7 billion, and Harvard has 18,000 students and a huge endowment.

Michigan's fund-raising had previously been "low-key and laid-back," according to Roy Muir, associate vice president for development. This changed in the 1980s because "we needed the money." The elimination of federal grants has meant that Michigan, and other schools, must scramble to replace a considerable chunk of income that went to support many things, from laboratories to scholarships. State support has also been dropping--it is now less than 25 percent of the budget (or about $250 million), down from a high of 70 percent.

This situation is mirrored in most states, Muir said, as tax revenue in the past two decades has found its way increasingly into social programs, Medicare, and prison construction and less into higher education. Michigan's $250 million will probably be further reduced in years to come, not because of a taxpayer backlash against higher education but because of the realization by state politicians that the university can be "user-financed"--that alumni represent a vast, tappable source of money.

The university employs about 100 people in the development office to do the tapping and another 100 in the 18 individual schools and 25 institutes. Regional staffs evaluate and approach likely donors in various parts of the U.S., a demanding endeavor, since Michigan pumps out about 5,000 undergrads each year. (There are 30,000 Michigan alumni living in California alone.) The cost of raising money with a permanent staff is between 10 and 15 cents on the dollar, a respectable figure in the industry.

A recent breakdown of donors in Michigan's capital campaign showed the vast preponderance of donors in the lowest category--$1 to $24,999. Those 244,033 donors accounted for $138 million, which seems impressive. The next most populous category--$25,000 to $99,999--had only 1,598 donors but accounted for about $75 million. There were 912 donors of between $100,000 and $999,999; 106 between $1 million and $2,499,999; 36 between $2.5 million and $4,999,999; and 24 givers of $5 million to $50 million. The relatively few donors--2,676--in the top five of six categories accounted for 86 percent of the total, or $824.5 million. (There is no breakdown of the numbers of people giving $100 or less, but they are considered important. Their money is not earmarked and is available to the deans to accomplish those things they think most necessary.)

The person in charge of principal gifts at Michigan is Chacona Johnson. She started the campaign by looking to "donors who had the capacity to give more and then moved to alumni we knew of who had the same capacity." A principal gift in 1990 was $2.5 million, but the figure is going up to $5 million. Alumni donors in this category receive renderings of a campus building that can be hung on a wall, as a token of appreciation, and are listed in various "presidential societies" named for deceased university presidents. "We're starting new societies for $5 million and $10 million donors," said Johnson. "We don't have enough dead presidents and may have to use past large dead donors or living presidents."

Michigan's fund-raising rhetoric, like its capital-campaign brochure, is more modest than Harvard's. Thomas Kinnear, Michigan's vice president for development, has an MBA from Harvard and an Ph.D. in business from Michigan and so knows a bit of both worlds. In contrast to Harvard, he told me, "our needs are infinite. We've put a good dent in them, but there's still a lag in the endowment, scholarships, building, maintenance, retrofitting." The $1.2 billion pales somewhat before the notion of Michigan's infinite needs. "We celebrate for five minutes and get on with it," said Kinnear.

FRIEND-RAISING AT DARTMOUTH AND A FORCE NAMED NAHM

Schools used to simply court wealthy widows and others with the help of college presidents, trustees, deans, and the occasional professor. Then in the early 1970s came a more systematic pursuit of donations through the application of marketing techniques; what had been a genteel pursuit took on a certain beady-eyed quality. It was recognized at the smaller Ivys that simply graduating remained the greatest achievement in many an alumnus's life and that these potential donors were easy to find and more likely to give, even if only in small amounts, than the graduates of other schools.

Alumni volunteers were enlisted to call up former classmates and say, in effect, "We don't like doing this, but the old place needs our help." (This is known in the trade as friend-raising.) Alumni magazines joined the effort, and class reunions were imbued with the importance of giving competitively. These were visited by former sports stars and other campus bigwigs to make the generic ask, and classes were pitted against one another to see which could raise the most money, in the process proving the greatest loyalty and worldly success.

Dartmouth's class of '53 raised $1 million for its 25th anniversary, the first class anywhere to raise such a sum, but regional schools were making gains, too. One overachiever, Centre College in Danville, Kentucky, with fewer than 1,000 students, moved into the rearview mirrors of Dartmouth, Williams, and Princeton in the late 1970s after hiring a fund-raiser named Rick Nahm, who broadened the base of alumni contributors there from about 19 percent to more than 70 percent. "Until then," said Nahm when finally I caught up with him at Knox College in Galesburg, Illinois, "campaigns had been targeted to a few people of means."

Few schools were interested in getting people to give $10 or $50 or $100. The Ivys' alumni could afford to give and had large personal and professional stakes in their alma maters' ongoing reputations. Nahm realized that this was true for Centre's alumni as well. Indeed, he said, success of his fund-raising "hinged on the alumni's sense of connectedness to the institution." Fund-raisers there "understood that the broader the base, the higher the pyramid." Nahm decided to ask for money "in a more concerted way," specifically from alumni who had rarely been contacted. Using the techniques of market segmentation, he divided the alumni into categories. "We looked at those from different generations, at married couples who had gone to Centre, at those who had children still attending Centre, at those in and out of Kentucky." He spent money to clean up the database, acquiring real addresses and telephone numbers, and relied on telemarketing volunteers, especially fellow alumni, to make the ask.
"We talked to them on their own terms," Nahm said. "We could appeal to them if they were younger, for instance, by naming the current faculty, or by telling the older ones, 'Your gift will ensure the continuing quality of professors,' and naming some of the old faculty. We appealed differently to women and to men, to those with kids and those without, and so on."

Centre passed Williams and Princeton in 1981 in percentage of alumni participation. Dartmouth, still the leader, overreacted to this mid-continental parvenu and issued lapel buttons: go Dartmouth, beat Centre. "That backfired," said Nahm. "It made our alumni mad and spurred them on." Centre passed Dartmouth the following year with 74 percent alumni participation, dominating the category, and raised $30 million in the process, a lot of money for a school its size.

Nahm went on to the University of Pennsylvania, where, according to one observer, "he put handles on things we didn't know were there" and led a successful campaign for $1.4 billion that ended in 1993.

PRESIDENTS EVERYWHERE MAKING THE ASK

I am the very model of a modern college president. / I'm always on the job, though nearly always a non-resident, / I tour about the country to assemblies gastronomical / And make all sorts of speeches from sublime to broadly comical, / I keep the trustees calm and the alumni all benevolent, / Restrain all signs of riot and publicity malevolent. Harold A. Larrabee, author of rhymes about college, 1936

Rick Nahm is now president of Knox College. This is instructive. The best person to massage prospective donors and make the ask is the president; fund-raising experience is considered good preparation for prospective candidates for college presidencies, and expectations by the trustees and governing boards of successful campaigns have helped create a singularity in the profession, and a degree of stress, not previously known.

Six months after Harvard's $2.1 billion capital campaign was publicly announced in May 1994, the president, Neil L. Rudenstine, withdrew from the fray because of what a spokesperson at the time termed "severe fatigue and exhaustion." This was attributed to the demands of stewarding a fine, contentious university, which Rudenstine was attempting to reorganize. Some of the demands related to money: how much of it the individual schools got and what would be left for the president's discretionary spending. Rudenstine would not discuss this with me ("The public-affairs people keep him under tight wraps," explained a member of the development staff); he did recover and carry on and is fund-raising still, but the implication of cozy university culture portrayed in the capital-campaign brochure seems at steep variance with the reality.

There was a time when presidents came directly from the professorial ranks. But no longer. John Brademas, president of New York University from 1981 to 1992, had been a "doer," from the realm of politics. The former Democratic whip in the House of Representatives raised $800 million for NYU. Brademas is now president emeritus, with his own nexus at the university, the new King Juan Carlos I of Spain Center on Washington Square South, built with $9.7 million Brademas raised from Spanish industrialists. "The king was just here for the dedication," he told me when I called him. "So was Hillary Rodham Clinton." Brademas is known for pursuing the wealthy and famous. He brought to NYU extensive contacts in and out of government and increased NYU's public exposure by granting honorary degrees to the likes of King Juan Carlos, François Mitterrand, Shimon Peres, and various academic luminaries. He joined corporate and other boards--NBC, RCA, Loews, the New York Stock Exchange--and energetically sought money here and abroad. "Having tea with Paulette Goddard meant pink champagne at four in the afternoon," he recalled of his meeting with the silent-film star and widow of Erich Maria Remarque, author of All Quiet on the Western Front, to discuss her involvement with NYU. "She said she wanted to leave money to NYU, but not for 'bricks and mortar.'" That visit was worth about $20 million; now NYU has a Remarque Institute and a couple of Remarque professorships. Two calls from Walter Annenberg were worth $2 million, Brademas told me. "'John, I'm going to give you $1 million.' A week later he called and said, 'John, you will recall that I said I would give you $1 million. I have learned that you intend to name the Graduate School of Public Service after Robert Wagner'"--a former mayor of New York City--"'so I'm going to give you another $1 million.'"

The call from "a lovely widow of an Italian pharmaceutical manufacturer," the Baroness Mariuccia Zerilli-Marimo, was worth $5 million. "She took me and my wife to a hilltop in Castelgandolfo and said, 'John, I will build a center here.' I said, 'Mariuccia, I am your friend, I cannot take your money for a center [in such a remote location].' I made another suggestion." Now NYU has Casa Italiana Zerilli-Marimo, an on-campus center for the study of Italian culture. "There's a danger," Brademas said, "of getting presidents so focused on raising money that they don't lend a sufficient intellectual dimension to the school. We need more of what Daniel Boorstin calls secular archbishops," such former university presidents as Kingman Brewster of Yale, Clark Kerr at the University of California, James Conant of Harvard, and Father Theodore Hesburgh of Notre Dame. "These were people with something to say about the wider society."

Today's presidents are viewed by their development staffs not so much as avatars who will live on in the imaginations of matriculating students but as emissaries of the moment to the graduates of the past. Required in presidents is a rhapsodic view of bricks and mortar suffused with sentiment that can be effectively projected to donating alumni (often in videos made for the purpose). The role of procurer/builder is a tricky one, however, and the emphasis on fund-raising in the public perception of presidents is unfortunate, in the opinion of Sheldon Hackney, president of the University of Pennsylvania from 1981 to 1993. "Certainly fund-raising is important, but it's just one of the things a president must do." Hackney estimated it took up about a third of his time--and he helped raise more than $1 billion during his last four years at Penn.

The notably amiable Vartan Gregorian, the former president of Brown University who recently went to the Carnegie Corporation of New York, said he spent between 40 and 50 percent of his time raising money. "Those presidents with an educational vision who have survived," he said, "are an endangered species."

DESTINATION RHODES: A NAME, NOT A DIRECTION

Some years ago I received a telephone call from a young woman working for Rhodes College, a small liberal-arts institution in Memphis, Tennessee. I had attended it in the 1960s, when it was known as Southwestern, and the caller wanted to place my name in competition for a distinguished-alumnus award. Shortly thereafter I received a letter from Rhodes asking for a sizable--for me--donation. I thought the call and the letter more than coincidental and did not make the donation (neither did I receive a distinguished-alumnus award).

On a subsequent visit to Rhodes, I found new, expensive "collegiate Gothic" buildings next to the old ones and an iron fence surrounding the campus that created an impression of exclusivity and wealth previously not there. The school, in my day, had been a place removed from the small-mindedness that reigned in much of the South. The president then, a dignified, somewhat stuffy former professor named Peyton Rhodes, seemed genuinely concerned about academic freedom and the quality of intellectual life. After he retired, he was dismayed by the news that Southwestern was to be re-named for him, part of an effort to revamp the school's image and its finances--so dismayed that he considered suing to prevent it. The idea of the name change came from the man who had taken over as president, James Daughdrill. He liked "Rhodes" because, as he told me later, it was "a name, not a direction." Geographical confusion was done away with; "Rhodes" was easier to list on scoreboards and the like because it was short.

Daughdrill had operated a carpet-manufacturing plant, attended Presbyterian seminary, and "pastored," he said, before taking over Southwestern, another job involving appeals for funds. The new name, Rhodes, he said, appears in the Bible. "It was one of Paul's destinations." It is also the name of a famous, diamond-mining racist, Cecil Rhodes, who contributed heavily to education. The natural inclination to associate Rhodes College with Rhodes scholarships has benefited the college "obliquely," Daughdrill admitted.

Southwestern had run a deficit before Daughdrill arrived and had only a small endowment, but that began to change soon after the new name was announced. Rhodes's first capital campaign, announced in the 1970s, was later extended to 12 years. (An extension is considered by many in the industry to be a tacit admission of failure; a successful "quiet" or "nucleus" phase of two years, in which a third of the prospective total is raised before the campaign is announced, is standard and is a hedge against the embarrassment of a failed campaign.) But today the endowment sits at $160 million, Daughdrill said, and Rhodes's current capital campaign, due to end in December 1998, is going well. Rhodes now attracts more applicants and more qualified ones--enrollment has risen from about 1,000 to about 1,500. The school is even raising money abroad, as many are, soliciting former foreign students and parents of current ones, adding a new country to its solicitation list every year.

Daughdrill's fund-raising is described by some who keep track of these things as "aggressive" and by Daughdrill as "joyful, if assertive." Acknowledging that not everyone on the faculty appreciates his style, he said of his detractors, "They're on the spending side; I'm on the income side. Faculty demand of administration a paternalism that protects them from the vagaries of the budget. At the same time they resent the paternalism they demand that gives them the autonomy they enjoy." He denied any linkage between Rhodes's offers of distinguished-alumnus awards and requests for money. "Giving is a channel of grace," he added.

Keeping the channels of grace flowing is becoming more and more specialized. It is now possible to receive an advanced degree in fund-raising. For instance, at Peabody College, the business wing of Vanderbilt University, a new master's-degree program in institutional advancement

focuses on such issues as alumni relations, educational fund-raising, corporate giving, estate planning, planned giving, and capital campaigns.

$20 MILLION TOWARD A TRULY DEMOCRATIC SOCIETY

Tax advantages, perks, acclaim, and attention all go to the big donors, but they are still giving away significant chunks of their worth. I wondered what the primary motivations were for this kind of philanthropy. I put the question to the head of Harvard's Overseers' Visiting Committee to the Center for International Affairs, a self-made millionaire named Sidney Knafel, a Harvard alum (AB '52, MBA '54) who invests in small technology companies. Knafel recently gave $20 million to Harvard to build a center for government and international studies. He did it, he said, "to make a difference."

Knafel operates out of the 33rd floor in a building just off Park Avenue in Manhattan, the walls hung with beautiful, expensive antique maps from a collection that has attracted the attention of the Library of Congress. He could as easily have bought more maps or underwritten a variety of social or cultural programs, but he chose instead to give to his alma mater. "Harvard sets the standards," Knafel explained. "Everybody looks to it for curricula, for example. If I add to the substance of Harvard, I'm raising the standard of the standard-bearer."

Such trickle-down academics is postulated upon an irony for the rich: examples, not money, best serve society. Such examples are embodied in courses, attitudes, and other less quantifiable indexes; the wealthy donor who perpetuates them will be remembered as an integral part of a rare and valuable institution. Knafel believes that "academic freedom is the requirement for a truly democratic society"--and also that "academic freedom can only come from private and independent education, and the only way to fund it is with private funds."

A certain exclusivity seems inevitable. "Harvard could admit 4,000 students instead of 2,000," he said, "and they would be just as good students. But it wouldn't be the same education."

INSATIABLE APPETITES, SMALL-DONOR FATIGUE

According to Peter Buchanan, the outgoing president of the Council for Advancement and Support of Education, a lobbying group, "of broad concern to philanthropists" is the "clearly unethical practice of raising money that is supposed to go toward societal good but instead goes into the pockets of professional fund-raisers." At some colleges and universities, there is a tradition of avoiding professionals hired for a fee; the fear is that if the president becomes too dependent on a fund-raiser the fund-raiser will be in a position to demand increasing commissions.

Buchanan, who raised money for Columbia University from 1982 until 1990, does not see this as a significant problem. Neither does he consider the fund-raising demands made on college presidents today as terrible. "Certainly more of their time is being spent on it, and that can be deleterious," he said. "But being president is an increasingly complex job, and that has more to do with societal pressures. The institutions are going crazy. They're complicated and bureaucratic, with a highly heterogeneous student body. None of this is a result of fund-raising distractions, but part of bigger problems. We have a lot of imperfect people in an imperfect system, throwing money at things."

"A downturn in the [stock] market will make things tougher," explained David Morgan of the Council for Aid to Education. "Contributions are up, but gift income as a percentage of all [college and university] expenditures hasn't really changed." The narrow gap between funds raised and funds spent can be directly attributed to "the insatiable appetites of the schools," according to Larry Weber, who served as vice-chancellor for institutional advancement at the University of Pittsburgh. He and others in the business agree that schools need to restructure and make themselves more efficient. But evidence suggests that success in getting money has altered perceptions of how much is needed and wanted. "Colleges and universities lack the will, or the ability, to impose management controls on spending," I was told by a university fund-raiser. "They

just tweak it around the edges. The large units within the universities fail to live within their budgets, but no one loses his job because of it. And if a department head does live within his budget, he makes enemies."

Another problem, in the view of CASE's Buchanan, is the increasingly steep pyramid of givers and a steadily dwindling base. The emphasis on major gifts means fewer people involved in the big financial decisions in the future and a proportionate reduction in mid- and low-level giving so assiduously courted a decade ago. Donations in some categories have fallen off.

This donor fatigue may amount to a backlash but could also be the result of resource allocation-- more effort expended on mega-donors and less on the smaller ones. Whatever the cause and effect, the impression I got in talking to college graduates around the country--in what would be considered the lowest, most populous category of givers and potential givers--was bemused skepticism about the actual needs of alma maters and a hardening of the old philanthropic heart by years of ardent donation grubbing. According to Buchanan: "People are saying, 'What's my $10,000 worth when others are giving so much?'"

Meanwhile the capital campaigns, annual funds, and bequest requests continue apace.

The University of California at Berkeley is conducting a $1.1 billion campaign scheduled to conclude in 2001, and another public, the University of North Carolina at Chapel Hill, is planning a $1 billion campaign. Columbia University hopes to raise $2.2 billion by 2001. Stanford expects "cash in the door," as the development office put it, to amount to $290 million in fiscal 1997, without the assist of a campaign, and Dartmouth's class of '53 intends to raise $10 million by its 50th reunion in the year 2003, which would be another first. Little Rhodes College had brought in more than $113 million when last I spoke to them. And, oh, yes, Harvard. It had raised $100 million or so just in the time it took me to research and write this article.

James Conaway is a contributing editor to Worth. His last story was on Stephen King, in the December/January 1997 issue.

ACSA Administrators Meeting
New Deans and Department Chairs Session
November 11, 1998

Fund Raising 101: Working with your Development Office

I.   The basics of philanthropy in an educational setting

      A.   Why do people give
           They are asked!
           They believe in the cause, program or institution
           They have a meaningful relationship with the solicitor
           They have an intense interest in a particular program
           They are grateful for what they got and want to give back
           They want to be recognized
           They want to create a memorial to someone
           They feel peer pressure
           Theyíre leaders in the organization and giving is expected
           They want to challenge others to give
           They believe giving is good business
           Giving is a family tradition
           Giving is part of their financial or estate planning
           Giving has tax advantages

      B.   The development cycle from the institution's point of view
           Identification
           Involvement (cultivation)
           Solicitation
           Stewardship

      C.   And from the donor's point of view
           Information
           Interest
           Involvement
           Investment

      D.   Pyramid of gifts
           1. Generally, 90% of the funds come from 10% of the donors

II.   Fund Raising in a University Setting

      A.   The Advancement Model
           1.   Alumni Relations
                 Clubs: geographic and school/college-based
                 Events: reunions, tailgates, receptions, etc.
                 Marketing: credit cards, merchandise, license plates, etc.
                 Services: career development, student recruitment, etc.
                 Publications: alumni magazine (sometimes)

           2.   Communications (Public Affairs)
                 Press Office
                 Creative Services - publications, video production, web page
                 Community Relations
                 Government Affairs (sometimes)

3.   Development
        Annual Fund: phone/mail, class agents, etc.
        Major Gifts
        Corporate/Foundation Relations
        Planned Giving
        Regional Programs

4.   Advancement Services
        Gift Processing and Reports
        Prospect Research
        Database Management
        Event Planning (sometimes)
        Financial Management and Investments

B.   Centralized vs. Decentralized Development Offices
        Reporting relationships
        Salaries and expenses of fund raising
        Most are a hybrid

C.   Public vs. private universities
        Separate foundations
        History and experience in fund raising
        A few words on athletics and fund raising

III.   What can a Dean expect from the Development Office(r)

A.   Expertise, experience and focus
B.   Identification and research on prospects (including prospect tracking)
C.   Preparation in advance of making a solicitation: briefing memos, scripts, etc.
D.   Keeping track of what needs to be done to follow-up
        After the solicitation has been made
        After the gift has been given
E.   Periodic reports on progress to goal

IV.   What does a Development Officer expect from the Dean

A.   Time on your calendar
B.   The ability to speak eloquently about your school/college and its programs
C.   Academic priorities that we can tie to fundraising
D.   Enthusiasm
E.   Fearlessness

V.   What actually happens in a major gift solicitation

Introduction: establishing rapport, "small talk"
Discussion of the program, the need, and confirming the donor's interest
The "ask":   includes possible negotiation of terms of the gift
The "close": how and when to follow up

A Role Play demonstration

VI.   Questions

TEN QUESTIONS EVERY DEAN SHOULD ASK

What deans need to know about fund raising
by Bronson C. Davis

You've just been named dean. Many hours in the stacks and the classroom have produced scholarly tomes, satisfied students; and academic promotions. You have served on countless committees and done a distinguished stint as a department chair. Your time has come. Your destiny and the school's are intertwined.

You are eager to lead, prepared to lead . . . except in one area that you glossed over in the interview process: fund raising. The president feels your school must build a viable advancement program, and this is one subject you never studied.

Being a good scholar, you may decide to approach this matter methodically. You make up a list of questions and begin your research by interviewing successful deans and development

officers around the country. Here's what they would tell you.

1. Why should I do fund raising?

In a time when increases in tuition breed complaints and controversy; when state budgets suffer from multiplying pressures, and when the federal government is drowning in red ink, private fund raising offers institutions the best hope for growth in revenue. This is particularly true for institutions with young or undeveloped advancement programs whose alumni and friends are directing their philanthropic dollars elsewhere. If these institutions invest time, energy; and money, along with persistence and imagination, they have an excellent chance of living up to their fundraising potential.

Fund raising can also allow you to

live up to your potential as a dean. A new endowed chair can attract the scholar around which you can build a program. Scholarship funds help your school to attract more diverse or more talented students. Seed money makes possible new ventures that bring your faculty to the front of their field and attract other research funding. If you can match your plans for innovative and important projects with energized major donors, you can accomplish your agenda for your school's future.

Also, you have an obligation to those who follow you. Much of your development work will consist of building relationships and laying foundations. The fruits of many of these endeavors—particularly in the wills and trusts area—will not be yours to enjoy. But it's not difficult to imagine

the impact a $500,000 bequest for scholarships will make when it comes through 15 years from now. You may have gone on to glory elsewhere, but your successors will toast your far-sighted leadership, and historians will be kind.

2. What is my relationship to the development office?

This will vary depending on whether your university has a centralized development operation or a decentralized one. In a centralized arrangement, all fund raising goes through a single institutional office. That central office might assign a staff member to handle fund-raising projects for one or more specific schools. Or the office might concentrate on soliciting unrestricted funds and handle school assignments on a project-by-project basis. This arrangement is common in small institutions, where a central operation that pools all resources is generally most cost-effective.

In a decentralized or "constituency-based" system, a school hires its own development officer. That person reports to the dean, devotes all of his or her time to the school, and has an office based within the school. This most often occurs in large or well-established institutions, where individual academic units have broad or

wealthy constituencies and thus can afford to maintain their own development operations.

These arrangements as I've defined them here are extremes; many institutions combine elements of centralized and decentralized organization. For example, your central development office might assign a staff member full-time to work for your school. That person might keep an office in your school's building but report to the chief development officer. Or you and the development office might share both the cost of and the control over a particular fund raiser.

Whatever the situation, it is important that everyone understands who sets the fund-raising priorities for the school. In a decentralized operation that's usually the dean, so you need to make sure your development office or officer knows those priorities and can provide a plan for meeting them.

In a centralized structure, the president or other institutional officials might weigh each dean's recommendations against all others and in light of institution-wide needs. In those

cases, it's often the "squeaky" dean who gets the attention, though notice will also go to the dean who has shown he or she is willing to devote time to fund raising.
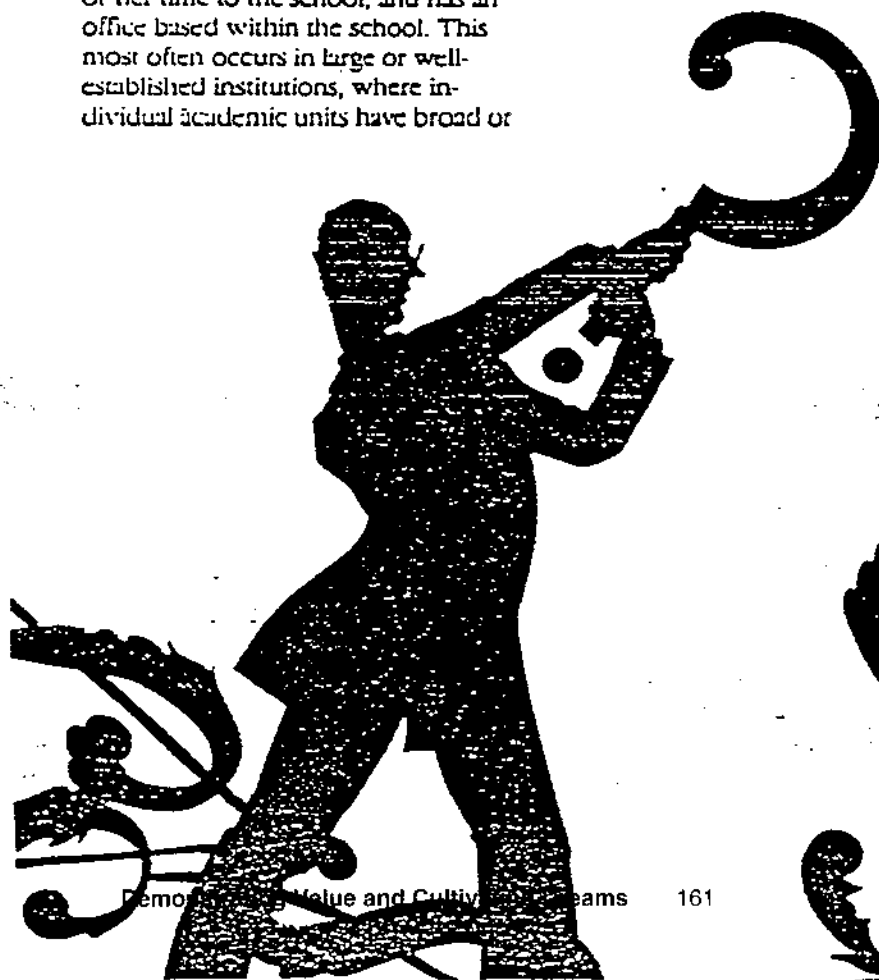
3. How much do I need to know about the institution's fund-raising operation?

Even if you're raising funds for your own purposes from alumni and friends you consider yours, remember that you're not working in a vacuum. Fund raising you do for your school may have procedural, legal, and ethical implications for your institution's total development program.

The development office, in turn, sets policies and procedures that will affect your fund-raising activities. The wise dean understands the rules of the game. Before you start asking for gifts, you need to know your university's policies on such matters as:

- approaching corporate, foundation, and individual prospects;
- accepting and managing gifts of endowments, restricted and unrestricted funds, property and equipment, and capital funds;
- following up gifts in probate and planned gifts—such as those involving wills, charitable trusts, or pooled income funds;
- working with prospects whose children are applying for admission.

Donors will expect the dean, as the school's CEO, to know these policies. That's because most donors see the university and the school as, if not synonymous, then parent and child in

the same family. It's tempting to blame the university for difficult policies or to circumvent inconvenient procedures, but in the end that can cause problems for the institution as a whole and alienate donors who hear conflicting messages. It's better to struggle intensely within the walls of the university to get such policies changed than to show a disorganized or discontented face to key constituents.
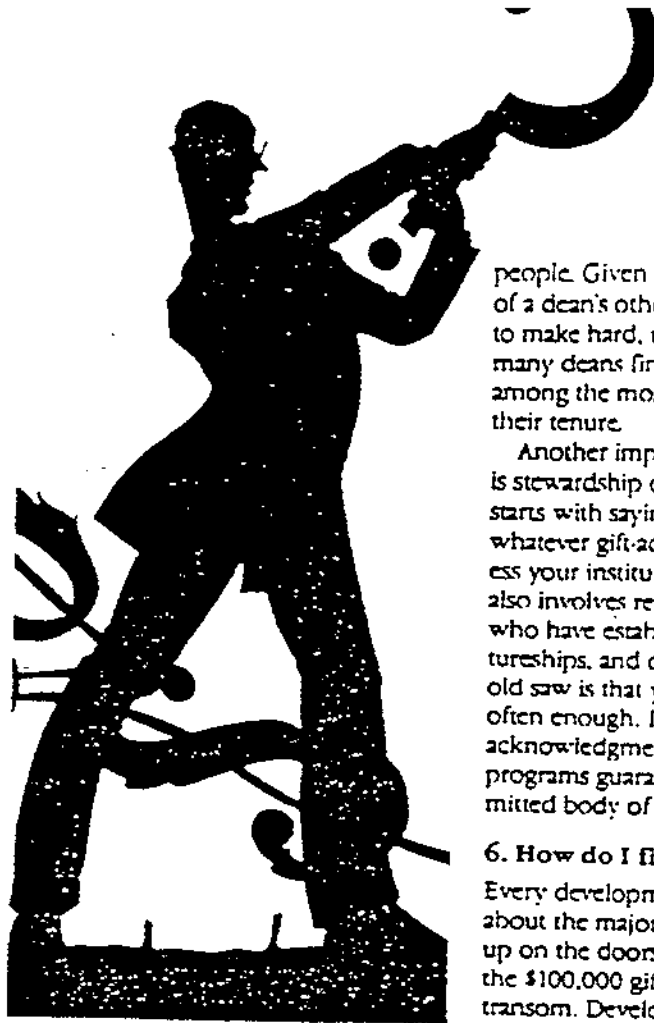
4. How can I best integrate fund raising into the workings of the school?

Again, this will vary depending on whether you're operating in a centralized or decentralized development scheme. Whichever structure, there are two important considerations.

First, you must give development high visibility so that your school's faculty and key constituents understand that fund raising is a priority for you. When faculty members are aware of the time you are committing to advancement, as well as of the success you achieve, the more likely it is that they will participate in the process themselves. And the more prospective donors see that others are giving and that the school is serious about fund raising, the better the environment for philanthropy will be.

Second, make sure the appropriate development officers participate regularly in the dean's council and faculty meetings. The better understanding the development officers have of your school's academic work, projects, and priorities, the more effective they will be in representing your school and articulating its case for support.

Bronson Davis is executive director of Medical Center Development at Vanderbilt University, a private institution in Nashville, Tennessee. He is responsible for fund raising for the medical center and the schools of medicine and nursing, which enroll 1,300 students and residents. Before taking that position in 1982, he served as director of development for Vanderbilt's College of Arts and Science and later as director of undergraduate development programs, which included responsibility for four different schools and colleges.

5. What are my primary fund-raising duties?

Two of your primary duties are to set the school's fund-raising priorities and to represent the school to key alumni, parents, corporations, and foundations. But even beyond responsibilities as the school's chief representative, you are responsible for actually asking for gifts.

Most of your own development work will be in the area of major gifts. In a mature program, the bulk of your gift dollars—perhaps 90 percent—comes from a small group of top donors, perhaps 5 percent or less of your entire donor population. The time you spend cultivating and soliciting these people will be a primary influence on their giving. Most deans keep a list of top prospects—perhaps 25 to 50 people. (I doubt any dean would be physically able to work with more than 100 major gift prospects.)

Development officers spend years honing their skills in direct mail, phonathons, and other annual fund activities before they get to work in the major gift vineyards. Deans begin there. This can be enormously rewarding work, and it puts you in contact with some of the world's most successful, fascinating, and committed

people. Given the stress and pressure of a dean's other duties and the need to make hard, unpopular decisions, many deans find development to be among the most enjoyable facets of their tenure.

Another important fund-raising duty is stewardship of gifts received. This starts with saying thank you through whatever gift-acknowledgement process your institution has established. It also involves reporting back to donors who have established scholarships, lectureships, and other endowments. The old saw is that you cannot say thanks often enough. It's true. Effective gift acknowledgment and stewardship programs guarantee a loyal and committed body of donors.

6. How do I find major donors?

Every development officer has a story about the major donor who showed up on the doorstep one morning or the $100,000 gift that came in over the transom. Development officers also know that for every surprise major gift there were 99 others that came the old-fashioned way: through the tedious process of identification, carefully planned involvement, special cultivation, and well-orchestrated solicitation.

You can find potential major donors in many places. The obvious place to start looking is your school's alumni body. Also consider people involved in related academic programs, such as art associations, continuing education, corporate liaison programs, or friends groups. Look carefully at grateful parents and health-service patients. And don't forget "sidewalk alumni"—that is, local residents who feel as though they're part of the campus community. What all these people have in common is involvement with your school.

Your development officers can determine which people among these groups have the resources to give major gifts. Sad to say, not everyone who is involved with and excited about your school has the potential to become a major donor. Unless you have a limitless supply of time—and who has?—you must focus your efforts where they'll do the most good.

Once you've identified the people with the ability to give, it's up to you to encourage their desire. Typically,

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major donors spring from the ranks of annual fund donors and are nurtured in gift clubs and donor societies. You can cultivate them further by enlisting them to serve in designated volunteer positions with your school, such as posts in the school's alumni association or seats on a deans' advisory council or visiting committee. Such opportunities allow individuals with major gift potential to participate in the life of the school.

Another avenue for finding major donors is to become a volunteer yourself for other community activities. When you serve on the board of the symphony, the United Way, the chamber of commerce, or other such groups, you meet business and civic leaders as peers, and you learn first-hand the perspective of a volunteer. Moving out of the ivory tower can bring new respect and friendships that may prove helpful in your own advancement program.

7. What is the best way to ask for a gift?

There have been many articles on the techniques of soliciting. (One appears in this issue on page 34.) With experience, you'll develop your own style and sense of timing. But here are several philosophical guidelines for you to consider:

• *Careful planning is as important to solicitation as it is to writing monographs or grant proposals.* Before you visit a prospect, know as much as you can about him or her and have a clear plan for the visit, including the amount you intend to ask for.

• *Make a $1,000 gift of your own.* This gives you the right to ask others to contribute. It also gives you a philanthropic stake in your own school, which lends a surprisingly valuable perspective.

• *Remember that you are not asking for money for yourself.* You are seeking an investment in the school in which you are investing not only your own money but also your life's work. This outlook can make a difference. Let it show.

• *Strive for competence* This was a concern when you were teaching a class and when you led a faculty senate meeting, and it should be a concern

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The prospect knows your mission. Carry it out with grace and aplomb. Do not be deterred from asking for the gift. If you don't ask, you'll leave feeling like a dolt, and the prospect may agree with that judgment.

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when you make a fund-raising call. The prospect knows your mission. Carry it out with grace and aplomb. Do not be deterred from asking for the gift. If you don't ask, you will leave feeling like a dolt, and the prospect may agree with that judgment.

8. Where can I find help with fund raising?

As the school's program develops, it will be necessary for you and your development officer to recruit and develop other participants. When appropriate, ask the institution's president to make leadership gift solicitations. Cultivate and involve trustees, particularly those who are graduates of your school or have a special interest in it. They can represent the school's views to the board and help solicit fellow trustees and heavyweight prospects.

Within your school, you can recruit development players from three groups. The first is your own administrative staff, including associate deans with a special flair for representing the school and articulating its case. Look also to faculty who demonstrate interest and talent. They can be invaluable for alumni programs, reunions, and special meetings with key prospects.

The third group is students. Most big donors enjoy meeting students, and many students appreciate the opportunity to shepherd around campus leading professionals and corporate moguls who are there as visiting speakers or in other academic capacities. Organize students as ambassadors and involve them in your work. Instill in them the importance of philanthropy. Remember, students will soon enough become soldiers in the alumni army. Deans who do a good job with them will have a ready-made cadre of officers for future campaigns.

Your school provides two other sources of advocates and solicitors. Parents of students have a prized investment in your school, and some will already be donors themselves. During their child's tenure, these parents will have a deep commitment to the school and be willing to help with both giving and getting.

Finally, enlist professionals in your school's discipline who live in the local community, even if they're not graduates of your school. These people may enjoy the opportunity to participate on a dean's council or board of visitors that puts them in touch with students and professors in their field. Given a positive experience here, the transition to advocate and solicitor is easy. Boards and councils are also good training grounds for future trustees of the institution—who will bring to that role a special understanding of your school.
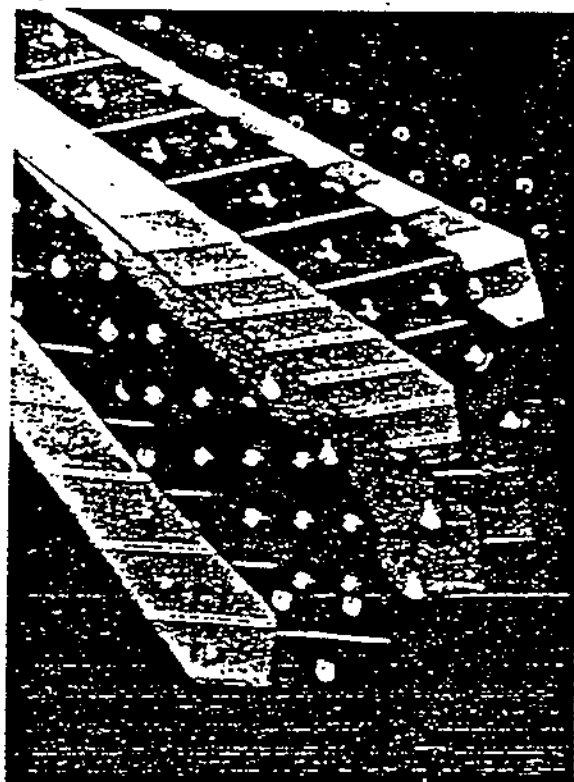
9. How do I maintain ties with alumni who are far away?

Developing support away from home base takes special effort. The school is competing with philanthropic projects and programs in alumni backyards. This is why quality publications and alumni outreach programs are particularly important.

Be alert to whether the school is well-covered in university publications. You might consider creating a school publication to nurture the bond between alumni and the school [For more information on doing this, see the article on page 54.]

Encourage faculty to be involved in institutional alumni programs. Raise the flag in distant regions through din-

ners and special programs designed specifically for school alumni. This gives you the chance to visit with key alumni on their turf and also to gather opinions on the effectiveness of programs and proposed new initiatives.

Also important are the events that bring alumni back to campus, such as homecoming and reunions. If possible, try to arrange school-related activities during these celebrations. Promote these events vigorously and pay attention to programming. Ask your alumni office for lists of graduates of your school who are registered for campus events. You might want make special arrangements for special prospects.

10. How much time should I expect to devote to fund raising?

Having read this far, you may expect the answer to this question to be 100 percent, and you may be contemplating becoming a provost or, better yet, a professor again.

Remember that, as the term itself implies, development involves a process of gradual expanding and unfolding to realize potential. Be wary of people who say they can deliver—or who expect you to deliver—a full-blown fund-raising program in 60, 90, or 360 days. It takes time.

In the beginning, a dean with a good development officer may only devote 10 percent of his or her time to the process. As the program expands, you'll need to spend more time. During campaigns you might spend as much as 60 percent of your days on fund-raising activities. But to do that, you need to have been successful in recruiting and training supporting players who can help you. You'll also need a crack administrative assistant and able associate deans who can pick up various deanly responsibilities. It's helpful to have an understanding spouse, too.

That scenario might send you reeling. But if your development program reaches this level of activity, it could well provide the most gratifying moments of your tenure, when each of those paper goals becomes a tangible reality. If that happens, you might indeed give up being a dean. The academic world can always use another good president. **case**

POPPING THE QUESTION

The successful fund-raising visit
by Philip R. Walters

You've worked your way into a prospective donor's schedule. You've armed yourself with research on the donor, facts and figures on your school's needs, and a true belief in your cause. You've rehearsed your presentation and chosen your arguments. And now there you are, face-to-face with the prospect.

From this moment on, your success depends on more than your knowledge, needs, or desires. It depends on your sales skills—because calling on donors is really selling. Great fund raisers are really great salespeople: They've learned to do the basics well.

If you want your call to succeed, you must follow these simple sales basics. At best, you'll come away with a gift. At the very least, you'll leave the donor feeling no worse about your

Philip R. Walters, a planned giving officer for Wheaton College in Illinois, recently retired from civil law practice to raise funds full-time for Wheaton out of Winter Park, Florida. This article is adapted from a presentation he gave to the Christian Stewardship Council. The article is printed with permission from FRI Monthly Portfolio newsletter, which published a three-part summary of Walters' presentation. To get a free reprint of all three parts, starting with tips on how to prepare for a fund-raising visit, write to ... Box 365, Ambler, PA 19002-0365, or call (215) 646-7019. Subscriptions to FRI Month-...

school than when you started. And that means that perhaps the next visit will get you the gift.

Open with finesse

How you engage people in your first five minutes together has a huge bearing on what you're going to come out with at the end. Your main goal when you first meet prospects is to get them to like you and trust you. So make them comfortable.

Smile—almost to the point of a grin. Look them square in the eye; avoiding eye contact when you meet someone destroys all possibility of success. Greet them with a sincere compliment. If you're relaxed and confident, your prospects will feel the same way.

You'll have already prepared your presentation, so you know basically what you're going to propose. At this stage, concentrate on asking penetrating questions and listening actively to the answers. If you choose questions that help you make strong emotional contact with your prospects, the answers will help you determine the values they want to perpetuate.

In fact, you can use questions to lead the conversation to your cause's strongest selling points. But try to let the prospects discover those points themselves. Remember, if you state something, they may doubt you. But if they say it— even if guided by your questions—the statement is true.

smooth way to lead into your presentation. Make the transition with a sentence like, "Let me tell you how we're trying to meet those needs," or "Here is something we're doing that you ... be interested in," or "I'd like to s... with you how we're planning to handle that problem." You then launch into your rehearsed presentation.
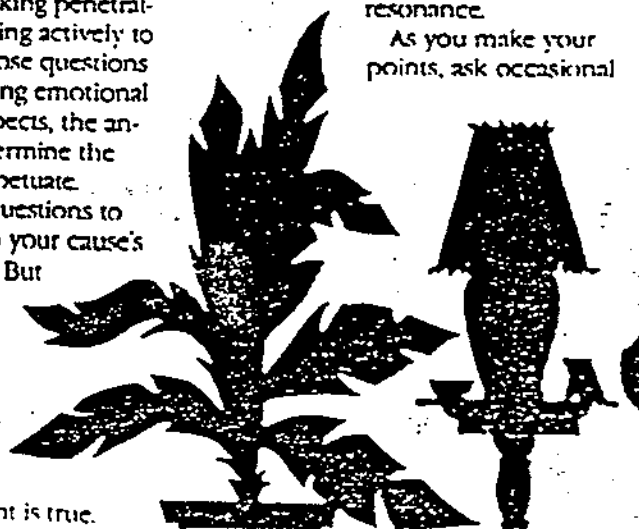
Present with poise

Your presentation is nothing more than preparation for the close. Here are essential points to keep in mind as you make your case.

1. *Control the prospects constantly with eye contact, questions, and listening.* Arrange the physical setting so you can look them directly in the eye as you talk. If you detect that they are hard of hearing, try to sit around a table; it will create better resonance.

As you make your points, ask occasional

"tie-down" questions. These are small phrases—such as "Isn't it?" "Can't we?" "Don't you agree?"—that you can add to the front, the middle, or the end of a selling statement. A tie-down elicits an easy yes. After all, if what you say represents truth as your prospects see it, won't they respond by agreeing? And when they agree that something you've mentioned meets their needs, they move a step closer to accepting your proposal, don't they? But don't overdo, or they'll discover your art.

2. *Choose your words carefully.* When you're planning your presentation, look for words that are charming, eloquent, picturesque, exciting, and creative. Use lots of short, punchy words. The more short words you use, the more effect a few long ones will have by contrast.

Learn to speak the lingo of the person you're with. Speak to a doctor in medical language. Speak to a developer in real estate and construction language. Speak to farmers, plumbers, or

businesspeople in their own special jargon. Remember that rapport flourishes on common ground.

3. *Keep prospects mentally and physically involved.* Ask questions that will cause them to think about the benefits of accepting your offer: "Mr. and Mrs. Smith, after we convert this piece of vacant land into a charitable remainder unitrust, how will you use the extra income? Will you buy something special for yourselves, or will you invest in the market?"

Keep them physically involved as well. Have them take something from you, turn the page for you, or write down figures as you look them up.

4. *Handle interruptions calmly.* If the phone rings, if the door opens and a strange head pops in, if dogs bark or sirens scream, sit patiently without showing any irritation. Use the time to review where you've been and where you're headed. Make sure you haven't overlooked any clue to closing that your questions may have uncovered.

Remember, any physical interruption causes a degree of emotional interruption as well. So you'll need to do a brief summary of the points your prospects have already accepted to bring them back to the emotional attitude they had before the interruption.

Answering objections

Most people will have some objection —large or small—to giving to your cause. In fact, people who don't object probably aren't seriously considering your proposal. Getting your prospects to declare their objections is an integral part of the sales process.

Learn to distinguish an objec-

tion from a condition. A condition is a valid reason for not going ahead—a block that you must accept. For example, suppose your prospect says, "Last week I was appointed chair of the new building committee at First Presbyterian downtown. I just pledged $500,000 over a five-year period, so I'm fully committed for the forseeable future." You knew from your research that the prospect had about $500,000 to give. But you couldn't have known he had already pledged it. Don't let a condition destroy your enthusiasm. Just develop the ability to swallow hard and courteously disconnect.

An objection, however, is your prospects' way of saying that they want to know more. Minor objections, such as, "We'll have to think it over," are defense mechanisms. People use them to slow things down. This doesn't mean that they won't give. They just want to mull things over before committing themselves.
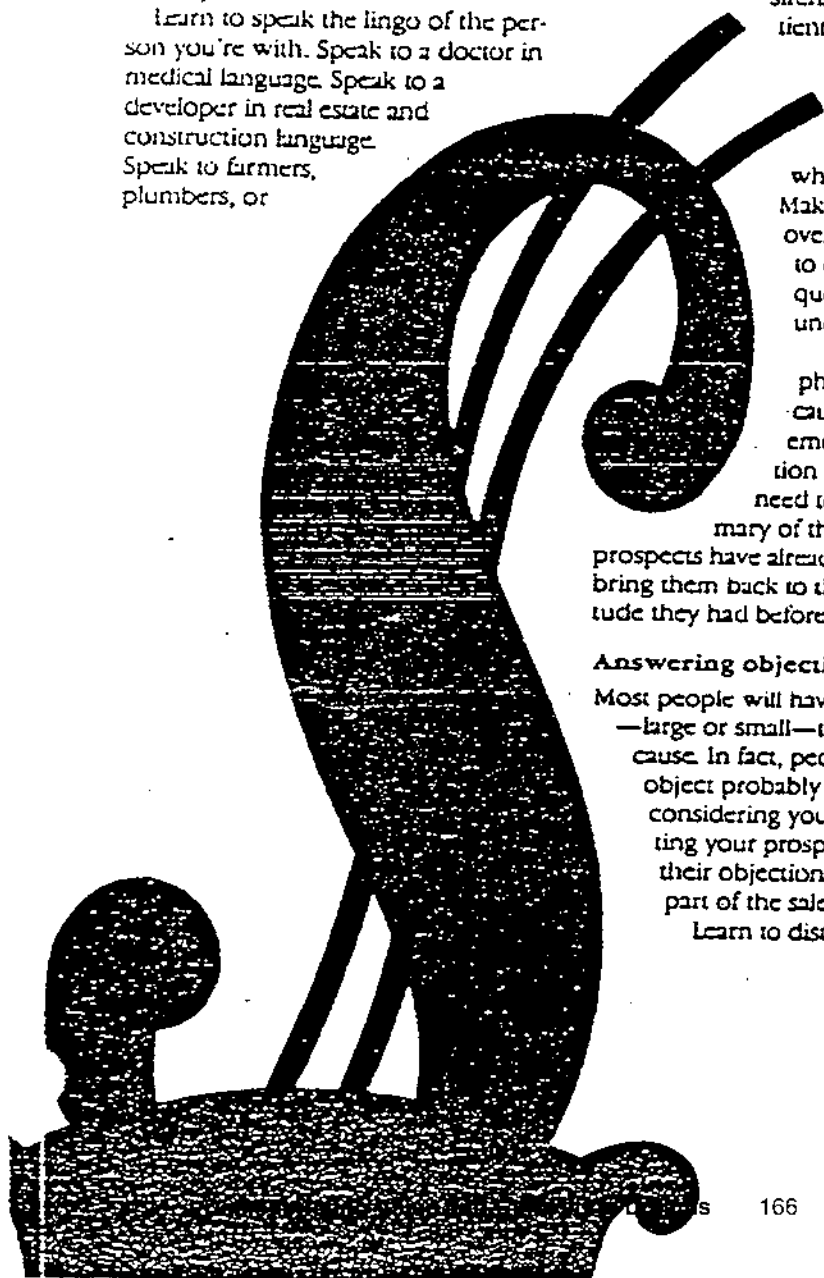
Don't argue or attack your prospects when they object. You may win the argument, but you'll lose the gift. Instead, adopt an objection-handling strategy that works for you. Here are the basics of such a system:

1. *Hear them out.* Don't try to interrupt and answer while they are still giving you their objection.

2. *Feed it back.* See if you can get them to answer the objection themselves. Sometimes you can change the tonal emphasis so they see their objection in a different light. For example, if they say "I couldn't *possibly* give you any money," try responding with "*You* couldn't possibly give us any money?"

3. *Question it.* Ask them, "Would you elaborate on that for me?" This is a mild version of asking "Why?" Do it seriously. Avoid any hint of sarcasm, impatience, or contempt. They'll often feel a strong pull toward removing the objection themselves. In any event, while they're elaborating, you have more time to decide what course will be best to overcome their objection.

4. *Answer it.* Ideally, you'll have an-

ticipated this objection and prepared a response in advance. But however you decide to answer, do it positively. Find common ground you can work from. "You know, Frank, you've put your finger on the main reason I started working for this institution . . ."

5. *Confirm the answer.* Don't just leave your reply hanging in the air. Maybe they didn't understand you or maybe they stopped listening before you got to the good part. After you've answered the objection in a way you feel should overcome it, confirm that you reached them. Ask things like: "That's the answer you're looking for, isn't it?" or "That solves your problem, doesn't it?"

6. *Change gears.* If they confirm your answer, go immediately to the next step in your sequence. Use body language. Make some appropriate gesture in a new direction, turn to the next page in your proposal, or shift in your chair. And accompany the action with a statement to provide new input: "By the way, did you know . . ." or "By the way, have you seen . . ."

Close with confidence

Closing is merely asking for the gift in a special way. It's the process of helping people make decisions that are good for them. By this time, you must be sure it would be good for them or you wouldn't be trying to get them to make the gift.

If the gift arrangement is simple, you might close at the first meeting. If it's complex, it might take several. The sequence is the same either way:

1. *Watch for go-ahead signs.* Any of a number of signs might signal that it's time to start closing. For example:

• The pace changes; the prospects suddenly slow down or speed up.

• They start asking lots of questions after having been silent for most of your presentation.

• They start making positive statements ("I've always believed in . . ." "I might be interested in . . .") or even just agreeable sounds.

• They start smiling or their eyes begin to light up.

• They say, "Will you go over that one more time?"

Don't feel obligated to finish your planned presentation if the buying

sign pops up before you're done. Go straight to the close.

2. *Make the decision for them.* Don't wait for them to initiate it. Decide in your own mind that, after all your research, preparation, questioning, and knowledge of their circumstances, needs, values, beliefs, and financial resources, the best thing for them to do is sign the pledge card, write the check, invest in the pooled fund, or whatever. Then lead them through that decision by making it easy for them. Work on things you've learned they like and feel are important. What appeals to you about the gift has no place in the picture at this point—it's only what appeals to them that matters.

3. *Don't change when you start closing.* Be friendly and speak warmly as you close. But don't change your tone, manner, or pace. If you do, your donors will sense your tension, become concerned that perhaps they're doing the wrong thing, and back out. Learn your closes perfectly so you can stay relaxed and alert.

4. *Stop talking after you ask a closing question.* If you say anything, you relieve the pressure on the donor to speak first, answer your closing question, and commit to making the gift. It takes skill, courage, and concentration to sit there and be silent.

5. *Try several closes if the first one misfires.* To give you confidence in closing, you really need to master at least five basic methods of closing, as well bridging sequences to get from one close to another. It's possible (but not likely) that you'll need to use all of them to close one gift. This takes real preparation, because you need to alter your closes to fit each donor.

Here are several starting points:

• *The basic written close.* The best closing technique of all doesn't even require a point-blank "ask." Once you've led them to the point of closing, just casually start filling out the paperwork. If your tactics are sound and your timing is right, frequently that's all it takes. Unless they stop you, you've won the gift. It's amazing how often they won't stop you.

When you sense the timing is right, ask a question related to the paperwork: "Mary, do you have a middle in-

itial?" When she gives it to you, continue asking other questions to fill out the pledge card or form you're using. When you finish, ask her to OK it.

• *The secondary-question close.* Build this around an involvement question—one concerning an issue that would arise only if they agree to give. For example, "By the way, George, are you going to keep our thank-you gift, or do you plan to give it to a friend or relative as a present?" If George selects either answer, he's confirmed that he's going ahead, and you did not force him to make a hard decision. You took him right past that point, and he'll appreciate it.

• *The similar-situation close.* Have ready stories about other donors who successfully worked their way through problems similar to those of your present prospects. Tell how those donors resolved the problems. Then revert to the basic written close when the timing is right.

• *The money-bracket close.* Instead of asking for a certain dollar amount, give them a choice of three figures: one twice as much as you expect th to give, one moderately higher than you expect, and one on target. Ask them which of these three categories they fit into most comfortably. When they tell you, you've closed them. Again, a soft close: You avoided the issue of gift-or-no-gift and made it easy for them to do what they want to do

• *The balance-sheet close.* This one works for the "I'll have to think it over" donors. Ask them, "If you thought it over and the advantages outnumbered the disadvantages, would you go ahead with the gift?" If they say yes to this—and who wouldn't?—then get out a piece of paper and write "Advantages" on the top left side and "Disadvantages" on the top right side. Draw a line down the center of the page, and then offer to help them think it over. Ask them to help you list all the advantages of giving. Be prepared to list 15 or 20 good points. Then ask them to list the disadvantages—but without any help from you. When the prospect comes up short in numbers of disadvantage say, "Well, it looks like the right thing to do is pretty obvious, isn't it?" And you've closed them. close
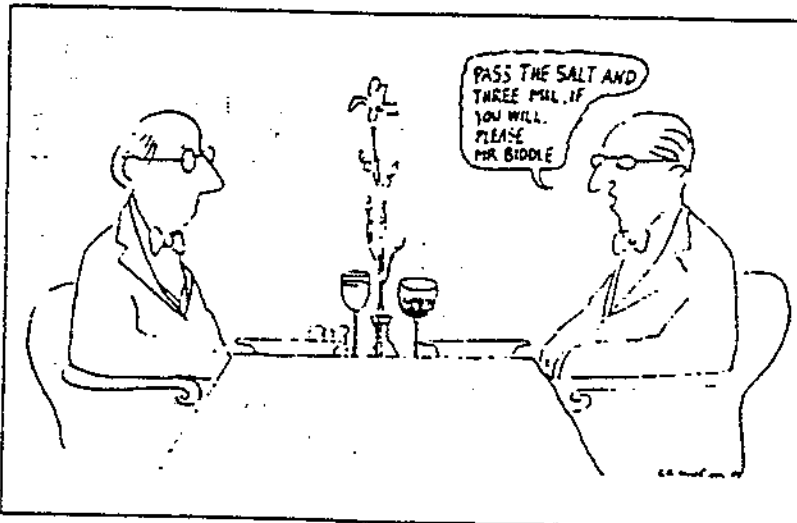
NO CHUTZPAH
NO GLORY

One dean's experience
by Henry Rosovsky

Fund raising will always be a principal obligation of senior administrators, no matter what is said when presidencies and such are offered to naive candidates. In the jargon of the trade, one must learn to become a "closer": someone who can shift from polite, frequently awkward preliminaries to asking for a seven-figure gift. It gets easier with practice.

I have been told that when Derek Bok was offered the presidency of Harvard, the senior fellow of the corporation told him not to worry about fund raising. He knew that if Harvard did its job well, financial problems would solve themselves. I wonder how often Mr. Bok recalled this hilarious bit of advice as he rose after dinner—dog-tired—in some distant city to deliver yet another speech: "I am delighted to be with you in Los Angeles, Chicago, Kansas City . . . "

Fund raising is necessary, but it is much more than a necessary evil. I grew to like it and never ceased to be amazed by the generosity of our alumni or the probing minds of many foundation officials. Asking for money is an excellent way to test the free market

Henry Rosovsky, professor of economics at Harvard University, spent 11 years as dean of Harvard's College of Arts and Sciences. He included this fund-raising advice in his reflections on "deaning," published in Harvard Magazine when he began a three-month stint as acting president of Harvard. Reprinted with permission from the January/February 1987 Harvard Magazine.

and to survey any constituency's priorities. Making the case and convincing a potential donor of its validity is healthy for all concerned. (One of my letters on behalf of our annual giving campaign was returned from Texas by a graduate of the Class of '48 with this note: "Harvard is a spent institution in a doomed country; both long overrated. Just try to make the best of it." Fortunately for us, and for the country, his views were not representative.)

Many in the university community have great trouble asking for money. All too often, visits whose intent is well understood by all parties lead to no conclusion—positive *or* negative—because it is so difficult to say: "We hope that you will contribute at least $1 million in support of our supreme effort to maintain the excellence of the university." Few individuals will make big gifts without being asked. Being Jewish, and therefore raised in circumstances where asking for and giving to charity are considered routine, is helpful. Understanding and practicing *chutzpah* is equally useful.

During the Harvard Campaign, I spent many hours with John L. Loeb, a well-known financier and philanthropist who had made some magnificent

contributions to us in the past. I hoped that he would be willing to endow 15 junior faculty positions, requiring nearly $10 million. That was not a small sum, even for Mr. Loeb. When the moment had arrived for me to "close," I asked President Derek Bok to come along. Having the top man at your side is an inestimable advantage—nearly a prerequisite for securing major gifts.

Our meeting took place in New York City at the Four Seasons Restaurant. We ate—I clearly recall—very expensive and delicious hamburgers. As the conversation gently evolved toward specific dollar amounts, our host inquired: "Are you asking me for $5 million?"

I replied: "Not quite, sir. My hope is that you will agree to give $10 million, so that others would be inspired to give $5 million."

John Loeb frowned, his face darkened. "Henry," he said, "that comes close to *chutzpah*." Then he added rather unexpectedly: "By the way, do you know how to spell that word?"

I indicated my ability to do so by grabbing a napkin and reaching for my pen. Suddenly the president of Harvard University snatched the napkin, printed *chutzpah* in large block letters on it, and gave it to Mr. Loeb. After carefully folding the napkin into a small square, Mr. Loeb put it into his vest pocket. The meal quickly ended, and we shuttled back to Boston.

A few days later there arrived the welcome news that the Loeb gift would be around $9 million. We had established that the value of *chutzpah* is about $4 million. case
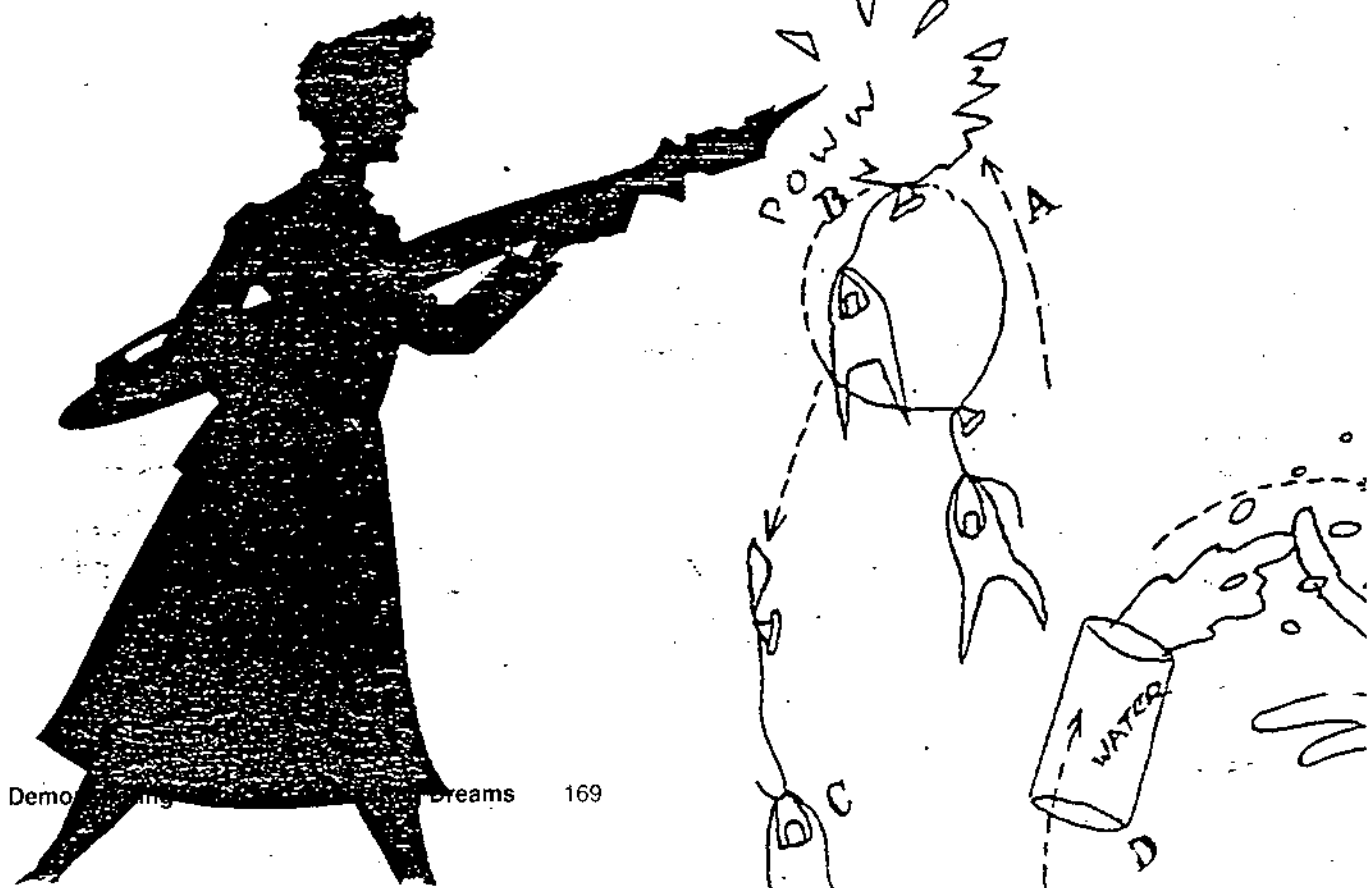
TRICKS OF THE TRADES

Special problems—and solutions—for specialized fund raising

You're an academic dean, and you've got a fund-raising problem. Maybe your school's only five years old and your 27 alumni "prospects" are still in debt. Maybe all your donors want to give fancy lab equipment and you really need cash to fund scholarships. Maybe you simply don't know how to find, or reach, or connect with the donors you need.

Whatever your difficulty, it's probably so specific that you think no one else has the same problem—let alone a solution. But don't give up. Few problems are unique. CURRENTS asked 600 deans and development officers from a variety of specialties what their worst problems are and how they tackle them. Even if you don't find your answer here, you may learn how to avoid someone else's troubles.

Problem: Your business school los its top annual corporate donors whe they were acquired in mergers.
Solution: Head off this problem by establishing contacts with key indivi uals, not just companies. "To ge know key business leaders, a bu. dean must be active in the communi Serve on chamber of commerce con mittees, especially those dealing with economic development. Be a memb

of the community's largest civic club. Volunteer for a nonprofit boards where you help raise money for someone else, such as Junior Achievement or United Way." —DEAN RONALD HASTY, *College of Business, University of Texas-El Paso.*

And don't forget individual donors. "Our largest gifts have come from individuals, not businesses! If we had overlooked personal gifts, we would have missed out on at least 50 percent of our contributions to chairs and professorships." —JAY DAILEY, *Director of Development, College of Business Administration, University of Central Florida.*

Problem: Annual gift income to your agriculture school fluctuates with crop and livestock prices, and besides, most of your alumni have their net worth in their land.
Solution: "Concentrate your efforts on major gift prospects rather than spending great amounts of time attempting to generate annual gifts. That is, employ a well-tuned 'rifle-shot' approach rather than a "shotgun' approach." —DEAN SAM E. CURL, *College of Agricultural Sciences, Texas Tech University.*

Problem: Yours is a liberal arts college, and alumni don't want to give because they don't see how the liberal arts prepared them for their careers.
Solution: "A good example is the cornerstone of success. Identify prominent individuals whose successful careers can be attributed to their liberal arts background. I've had some good results raising money from business folk with an orientation toward the skills a liberal arts education provides; we then ask their permission to use them as role models in our publications. And this year, as part of the university's centennial, we identified and recognized our 100 most outstanding liberal arts graduates. They come from all over the country and represent many professions. We're cultivating those people, and we're using them as examples as well." —DEAN

ROBERT A. WALLER, *College of Liberal Arts, Clemson University.*

Problem: You're with an arts school. Your alumni are starving artists, and your faculty can't express their vision in verbal terms.
Solution: Take advantage of the natural visibility of the arts. Instead of going to alumni, find prospects among their patrons—audiences and gallery visitors as well as corporations with arts interests. Then *show* your stuff. "The arts are supremely capable of taking their talents to potential donors and returning with major support." — DEAN JEROME M. BIRDMAN, *School of Fine Arts, University of Connecticut.*
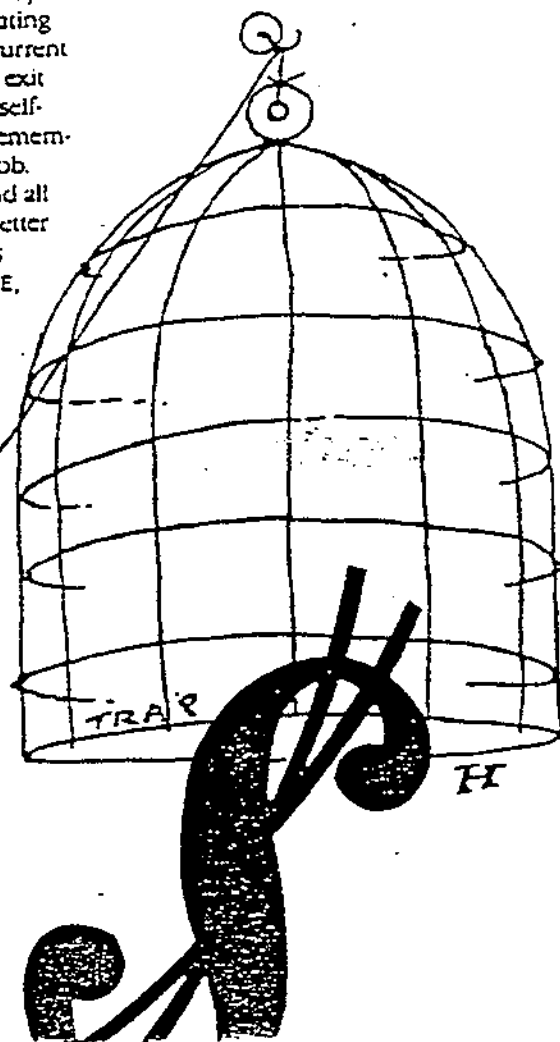
Problem: Graduates in your field are particularly transient, and you have trouble finding them—and keeping tabs on those with outstanding pledges.
Solution: "Develop some type of communication with graduates each semester to ascertain their new address, phone number, and employment. We require all our graduating students to provide us with a current mailing address as part of their exit interview. We also give them a self-addressed postcard so they'll remember to tell us when they get a job. Then every six months we send all 6,500 of our graduates a newsletter that include a form for address changes." —DEAN BOB N. CAGE, *College of Education, Northeast Louisiana University.*

Problem: Your alumni are in a low-paying, service-oriented profession—nursing, education, social work—and they have no money to give.

Solution: "Don't be afraid to cultivate wealthy parents and spouses! For example, social workers do not earn a lot and are primarily women. Their professional commitment and generosity are commonly shaken by family starting, on-the-job burnout, and the lure of salaries outside the field. Our challenge rests in locating those major donor prospects who either were born into a wealthy family or have married into one (frequently changing their names and deserting jobs). We've got to reach them before they burn out, marry out, or place out of the profession!" —RICHARD J. GERBER, *Director of Development and Alumni Affairs, School of Social Work, Columbia University.*

In addition, cultivate—and keep cultivating—the people who benefit from your alumni's service. "The good work of nurses who were our alumni caused one patient to contribute to our School of Nursing. Prompt and friendly communication from us resulted in a steady stream of gifts from that donor

and members of the family. In 1988, we'll award 17 scholarships just from their contributions." —DEAN PEGGY SULLIVAN, *College of Professional Studies, Northern Illinois University.*

Problem: Yours is a graduate school, and alumni are more loyal to their undergraduate institutions. Or, yours is a residency program, such as medicine or dentistry, and alumni trace their loyalty to their professional school.
Solution: Stay visible. "Get involved in both professional and lay organizations to be seen and heard on a regular basis. This is the first step in establishing or re-establishing alumni's relationship with the school." —TOM BURKE, *Director of External Affairs, School of Dentistry, Virginia Commonwealth University.*
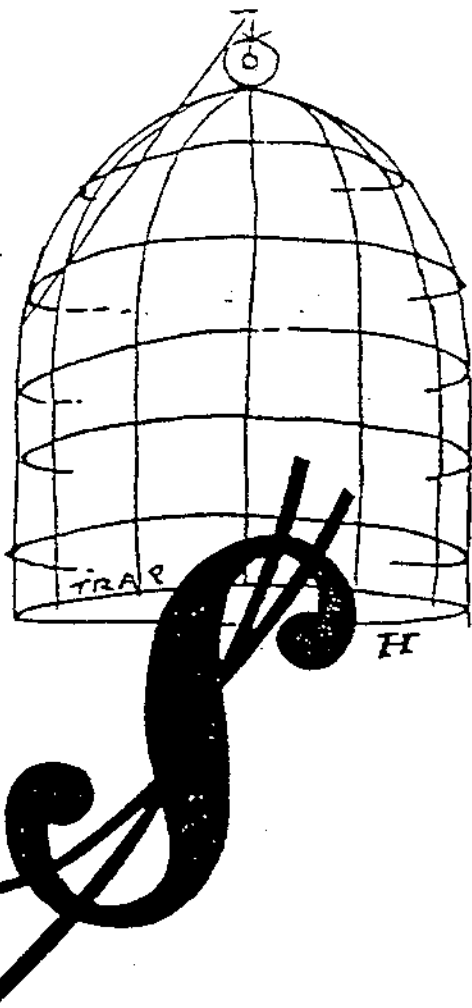
Problem: Your school spans many fields, and it's hard to get people interested in giving to something so broad and vague.
Solution: "Rather than pursue gifts under the umbrella of the college, we focus fund-raising efforts on particular professions. There is more appeal in seeking an endowed chair in physical therapy or clinical psychology than in the less distinct area of allied health." —DEAN RICHARD R. GUTEKUNST, *College of Health Related Professions, University of Florida.*

Problem: Corporations prefer projects with immediate benefits, and you need funds for basic research whose importance won't be appreciated for years.
Solution: "Present your ideas to higher-level corporate personnel who have responsibilities that force them to see beyond individual projects or products." —TANYA MINK, *Director of Corporate Relations, California Institute of Technology.*

"Straddle the two distinct communities: Learn and understand the priorities of the donor community and be able to represent them respectfully to the faculty. Conversely, learn how to translate the future significance of faculty research into immediate terms that can be understood and justified by the donors." —ROBERT V. CALLAHAN, *Director of Development, Rosen-*

stiel School of Marine and Atmospheric Science, University of Miami.

Problem: Companies want to give equipment, and you need funds for installation, maintenance, and operation.
Solution: Establish deeper connections for continuing support. "View your fund-raising work as long-term, inter-organizational development and not merely as fund raising. Corporations and other donor organizations are increasingly seeking deeper, more comprehensive interactions with a small group of key institutions in place of giving broad support to many." — DEAN RICHARD A. KENYON, *College of Engineering, Rochester Institute of Technology.*

Problem: Corporations don't find the humanities worth supporting.
Solution: Identify specific projects and target them carefully. "Corporate tie-ins exist, but they're usually indirect." —MARY MOYARS JOHNSON, *Development Officer, School of Humanities, Social Science, and Education, Purdue University.*

"Research to find the best match between specialties—especially inservice programs—and funding agencies. Then tailor the request to the donor's interests." —STANLEY MCKEN-

ZIE, *Acting Dean, College of Liberal Arts, Rochester Institute of Technolog.*

Problem: Your donors want to restrict their support to projects you don't really need.
Solution: "Work hard with firms and individuals to get their ideas and to share your vision of what your school is trying to accomplish. The more you each understand the other's vision, the more creative the fund-raising process can be." —DEAN RAYMOND E. MILES, *School of Business, University of California, Berkeley.*

Problem: You don't know what you *do* really need.
Solution: Determine your priorities with a long-range plan. Then use that plan to sell your biggest needs. "Develop a well-considered strategy for each project to capture the interest and the respect of prospects. Prospects want to feel confident that any support offered will be used to maximum advantage." —DEAN DONALD M. BOLLE, *College of Engineering and Applied Science, Lehigh University.*

Problem: You can't seem to get around to visiting prospects.
Solution: Use any trip as an excuse to do friend raising. "Every time you travel for a seminar, conference, etc., you should take a few hours to call on a prospective donor. Donors love to receive attention through such visits. —BOB E. GOLBERG, *Director of Development/Planned Giving, Mankato State University.*

Problem: You keep visiting prospects, but they don't ever make gifts.
Solution: Make sure the problem is you. "Look the prospect in the eye and *ask.* Closure is something that can disappear like the place settings between salad and dessert, buried in the pressure of the moment and the emotionalism of your case." —SANDRA DELLER, *Director of Development/Alumni Relations, Frances Payne School of Nursing, Case Western Reserve University.*

Problem: You just can't get the hang of (choose one or more) (a) big events, (b) small events, (c) writing proposa...

Demonstrating Value and Cultivating Dreams · 17

(d) writing thank-yous, (e) opening visits, (f) closing visits . . .

Solution: Practice. "Fund raising is as much a skill as an art. Not every event is going to be fruitful or flow effortlessly. Remain open to a variety of appeal methods: direct mail, small group solicitation, large receptions, breakfasts, individual solicitations, corporate and foundation solicitations, etc. You'll be better at some than at others, but practice at all of them will yield the most return for the school." —JAMES A. CAMPBELL, *Director of Law School Development, Fordham University.*

"You must be willing to cope with rejection. Too many deans don't like to be told no. Many avoid this word by simply avoiding the ask." —JOHN S. MERRITT, *Development Officer, School of Public and Environmental Affairs, Indiana University.*

Problem: You don't have the time to visit prospects, cultivate foundations, network with corporations, meet community leaders, attend fundraising functions . . .

Solution: The only solution is to make the time. "The dean must, unequivocally, be personally involved in fund raising. Donor prospects want to talk to the dean." —DEAN WILLIAM T. SNYDER, *College of Engineering, University of Tennessee, Knoxville.*

Remember that you're in for the long haul: "Development is not a short-term fix. You have to invest in a lot of fact-finding." —WILLIAM P. COSART, *Associate Dean for External Affairs, College of Engineering and Mines, University of Arizona.*

And enlist help when you need it. "Plan to spend 50 percent of your time working with donors and the other 50 percent trying to convince faculty to do some of the same." —TOM RITCHEY, *Director of Development, College of Business Administration, Pennsylvania State University.*

"Work, work, work." —DEAN WENDELL T. HILL, JR., *College of Pharmacy, Howard University.*

Problem: You don't know where to start or which way to turn.

Solution: The overwhelming consensus, from both training and development officers: "Work closely with and

learn to rely on your professional development staff person." —DEAN ROBERT POPPER, *School of Law; University of Missouri-Kansas City.*

Problem: You don't know anything about fund raising, and you want some good basic background.

Solution: First, read. The most-recommended sources: *MegaGifts: Who Gives Them, Who Gets Them,* by Jerold Panas (Pluribus Press, 1984); *Fund Raising: The Guide to Raising Money from Private Sources,* by Thomas E. Broce (University of Oklahoma Press, 1986); and *The Raising of Money,* by James Gregory Lord (Third Sector Press, 1986).

Then attend a conference on fund raising. Respondents cited three CASE conferences: "Development for Academic Deans," "Workshop for Newcomers in Development," and "Major Donor Solicitation." "The best resource is a colleague who has already done what you want to learn, so go to conferences and workshops to expand your circle of contacts and learn from the professionals." —HOLLY GLICK, *Director of External Relations, Hood Museum of Art/Hopkins Center for the Performing Arts, Dartmouth College.*

Problem: No dean has time for books or conferences. Are those the only ways to learn?

Solution: Maybe not. Listen to what these people say:

"Deans don't need something else to read. They should rely on the development professionals, commit time to meeting with alumni and donors and prospective donors, and learn by doing." —JANE SCHEIDECKER, *Associate Dean, Program Development, College of Arts and Sciences, University of Oregon.*

"I haven't met a dean yet who wanted to read about fund raising. Experience is about the only way to generate fund-raising skills." —WILL MELTON, *Director of Medical School Development, Yale University.*

"Get on the road for two or three days of intense eyeball-to-eyeball calls. That will do it every time!" —TED J. OUZTS, *Director of Advancement, College of Business, Florida State University.* CASE

The Six Essential Steps
Of A Capital Campaign

*Capital campaigns are intensive efforts dependent on major gifts.
To be successful they must be well planned and coordinated.*

By David Heetland, vice president, development
Garrett-Evangelical Theological Seminary

The late Thomas E. Broce defined a capital campaign in the following manner:

A capital campaign is a concentrated effort by an organization to raise a *specified* sum of money to meet a *specified* goal within a *specified* period of time.[1]

Broce's definition of a capital campaign is a tightly packed one. Let's unpack it piece by piece.

"Concentrated effort" means that an institution's leadership (staff and volunteers) will need to devote significant amounts of time and energy to this endeavor. The involvement and teamwork of a large number of people is essential.

"Specified sum of money" indicates that there is a clearly defined financial goal. Raising this amount is essential if the institution's organizational goals are to be accomplished.

"Specified goal" suggests that the institution has engaged in long-range planning. From this planning, specific organizational goals have emerged to address well-defined needs.

"Specified period of time" implies deadlines. There is some urgency to raise this money within those deadlines so that the

organizational goals can be accomplished.

Capital gifts are gifts received for specific projects over and above the annual giving budget. Oftentimes, the projects are related to facilities, such as a new building or an addition or renovation of an existing building. Capital gifts can also be received to build an endowment, or specific endowed projects, such as endowed chairs or endowed scholarship programs. Capital gifts most frequently are solicited during a "campaign," that intensive time described in Broce's definition.

Persons make major gifts to capital projects much more readily than they do to the annual budget because capital projects often have high price tags and also because capital gifts are frequently seen as more enduring

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A beautiful stained glass window adorns the chapel at Garrett-Evangelical Theological Seminary in Evanston, Illinois.

Persons find satisfaction in making major gifts that will have a lasting impact. Helping to build buildings, create endowments and establish other major programs offers this kind of satisfaction to many.

Institutions should not embark on capital giving programs simply to receive major gifts, of course, but trustees and administration should think creatively and plan boldly, recognizing that some people are looking for opportunities to invest themselves and their resources. One woman put it' well when she stated, "As we get older or see the end of an era, we give more thought to leaving a mark in the world. 'What difference will it make that I lived?' becomes an important question." Institutions have the responsibility to offer opportunities that will allow people to make a difference and allow us to strengthen our mission.

A capital campaign should not be entered into hastily, however. Because annual giving needs will continue in the midst of a capital campaign, an institution should not embark on a capital campaign until a sound and well-supported annual giving program is in place. Also, because most capital campaigns are intensive efforts which are dependent upon major gift support in order to be successful, it is critical that the campaign be well planned and coordinated.

The impetus for a capital campaign should be the institution's strategic plan. If a strategic planning committee is doing its work in a thoughtful and creative manner, it should be identifying a number of long-range dreams, goals and opportunities to be addressed. The dollars needed to bring about these dreams and goals form the basis for a capital campaign.

There are six essential steps in a capital campaign:

1. Planning. The first task in planning is to review the long-range plan. Which goals have the highest priority? Which goals have the greatest urgency? Those goals with both high priority and urgency should become the campaign goals. Identify several campaign goals so that the campaign will have broad appeal to a large number of people. These goals should be articulated in a succinct and compelling manner through a case statement.

Another important part of planning is to determine whether or not to use professional counsel. Professional consultants are never inexpensive, but this should not be the determining factor in whether or not to use their expertise. The late Harold Seymour reminds us that "you can't raise money without spending money, and within reasonable limits the return is likely to be commensurate with the investment." [1] Dollars invested in professional counsel are well spent if they enable you to reach your goals.

Of course, hiring professional counsel does not guarantee that a campaign will be successful. However, the likelihood for success is much greater, for professionals bring with them experience and expertise from many previous campaigns.

Professional consultants can be helpful

in a variety of ways. They can be especially valuable in testing the feasibility of the financial goals, creating a campaign plan and timetable, training staff and volunteers and supervising the overall campaign effort. Professional consultants can provide services at practically any level desired, from full-time campaign direction to part-time counsel on a retainer basis. Most professional consultants are quite willing to meet with organizations to outline their services and suggest options for consideration. If you are considering professional counsel, it is a good idea to interview several firms. Look for firms which have a good track record, are sensitive to your particular situation, and are willing to be flexible.
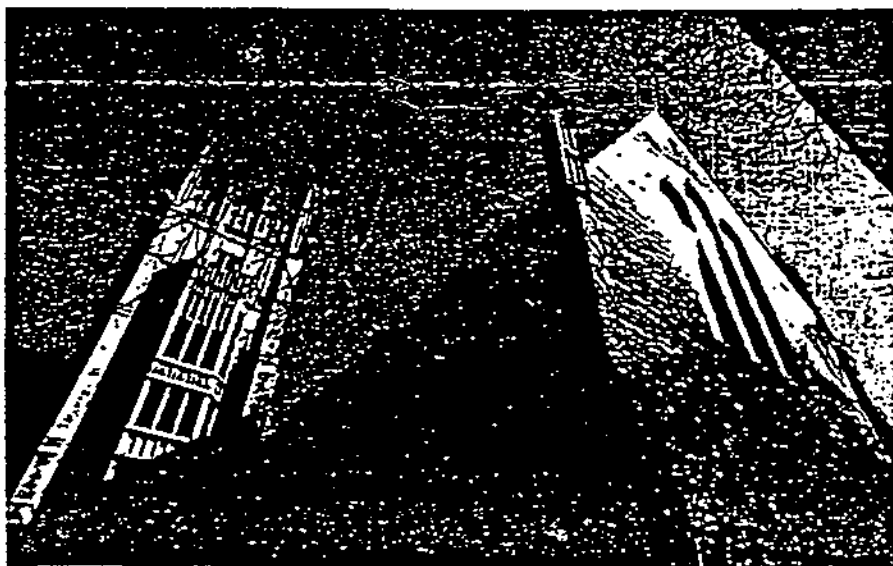
Note Of Reality

The final task in planning is to test out the reasonableness of the financial goals. This is generally done through a feasibility study in which a number of key individuals (20-50) are personally interviewed and asked to comment on the appropriateness of the goals, to identify those who might

be leaders in supporting the campaign, and to indicate their own level of support. Because feasibility studies are critically important in assessing campaign goals and determining campaign leadership, many institutions use professional fund-raising counsel to conduct them (even if they do not plan to use professional counsel for the actual campaign).

In addition to personal interviews, two other methods are commonly used by professional consultants in assessing the campaign goal. One is to seek to identify at least four names for every gift needed at the various giving levels. If such names cannot be identified, it suggests the prospect base is too small and the likelihood of receiving the appropriate number of gifts at that level is reduced. The other method is to rate all prospective donors and then plan for only half of the prospects to give and at half the level they are asked to give.

Engaging in such assessment will add a note of reality to the campaign goal and may suggest revision. Leaders may discover that the goal is too modest and that other long-range goals also should be ad-

The continuing and successful Drawing for Excellence campaign enabled officials to begin making the seminary accessible to the handicapped. An elevator was installed in the chapel building.

dressed in this campaign. Or they may discover that the goal needs to be adjusted downward. A challenging but realistic goal is far better than one which has little possibility of being reached.

2. *Organization.* Once a feasibility study has been conducted and a decision has been made to move ahead with a capital campaign, organizing for it should begin. If professional consultants are to be used, bring them in at this point (if they have not already been brought aboard) as they can be most helpful in the organizational step.

A campaign steering committee should be recruited to coordinate the campaign. The committee's responsibilities will include developing a fund-raising plan, determining campaign policies, soliciting major gifts, providing overall management of the campaign, and appointing other committees as needed. This committee will be critically important to the success of the campaign.

complished by keeping the number of campaign committees to a minimum and involving volunteers in a variety of short-term projects throughout the campaign.

The campaign timetable deserves particular attention in the fund-raising plan. A timetable is necessary to keep the campaign progressing toward the goal in a timely fashion. Dates for completing certain phases of the campaign should be noted. Completion dates should be set for when the major gift solicitation will take place, when the public announcement will be held, when general solicitation will begin and, most important, when the campaign will conclude. Professional fund raisers agree that a completion date for a campaign is vitally important, providing the necessary urgency to bring a campaign to a successful conclusion.

Again, timetables vary considerably depending upon local situations. However, it is unusual for an institution to gear up for a capital campaign in less than a year (sometimes it takes several years). Conducting the campaign may take another year or two.

table, which indicates the number of gifts needed at various levels. In preparing such a table, plan that anywhere from 10 percent to 20 percent of the goal should come from one donor. The gift table is then completed by doubling the donors and halvi gifts. Once such a table is prepa should be revised as necessary, based on the number of potential donors and th reasonableness of the dollar figures at bot ends of the table.

Many capital campaigns are develope around a theme, and thus materials display ing this theme (including stationery, pledg cards and brochures) will need to be d veloped. Regarding campaign material Broce quotes an important maxim, "Fe people give money because of publicit but fewer give without it." [ ] Developin campaign materials which can inform a inspire is important; however, these ma rials will not win the campaign by the selves.

3. *Major gift solicitation.* Major gift licitation should begin before the campa is publicly announced. Major gifts will c tinue to be sought throughout the durat of the campaign, but it is vitally import to seek and receive some major gift comm ments before the campaign ever offici begins. These gifts will set the pace for campaign and will raise the sights of ot who will be invited to give once the c paign is officially launched.

The importance of major gift solicit can be understood when one realizes the success or failure of a camp depends upon one or two major not uncommon for one or two gifts t count for 20 percent of a campaign Thus, the importance of major gifts f success of a campaign cannot be stressed.

Make It Personal

Professional fund raisers sugge proper approach in soliciting major "top down, inside out." This phrase that you begin soliciting those who top prospects for major gifts (the t and work down (focusing on the n prospects, and then on the rest). At th time, you begin soliciting those w closest to and most involved in the the institution and work your wa those who are least involved. The t pects will thus be those who hav gift potential and who are also de volved in the life of the institu number of the major gift prospect be on the campaign steering comm cause this group is most deeply in the success of the campaign an soliciting other major givers.

Major gift prospects should, c be visited personally. Once stee mittee members have made mitments, they can begin Solicitors should visit those lar interests and who can mak ments in a range comparable to th

"To strongly urge (as one's c definition for the word solicit, a

The Smith Tower was named after president Dr. Horace Greeley Smith who guided the seminary through the lean years of the Depression.

and persons should be chosen who are capable and enthusiastic supporters and workers.

The fund-raising plan will need to address such questions as the following: How will the annual fund drive be handled during the campaign? What special events will be held to inform and inspire persons? How many volunteers will be needed and how will they be recruited and trained? What other committees will be needed to make this campaign effective? What will the campaign timetable look like? No simple answers to these questions can be given because they depend upon the size and makeup of your institution and the campaign goal. Whatever the situation, a guideline should be to keep the organization as streamlined as possible, and at the same time seek to involve many people as possible in the work of the campaign. These twin goals can be ac-

Actual receipt of gifts is often spread over a three-year period. Offering a three-year pledge period allows persons to make much larger commitments than would be possible in a single gift. Longer pledge periods are not recommended, however (even though this now seems to be the craze), as new goals will emerge which need addressing.

Campaign policies that will need to be determined by the steering committee include such items as whether planned gift commitments will count toward the goal and what non-cash gifts, such as securities and personal property, will be accepted. Other policies may need to be determined as special situations arise.

A final task in the organization step is to prepare the campaign materials. The most important campaign piece will be the case statement, and particular care should be devoted to making sure it is attractively prepared. Another important piece is the gift
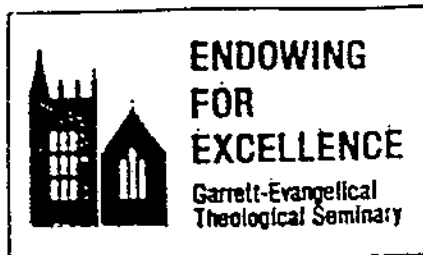
describes the solicitor's responsibility. Persons calling on others should be prepared to discuss why they believe this campaign is important and to urge support for it. They should share enthusiastically why they are investing their time and money in this effort, and they should be prepared to indicate the level of their financial commitment. In so doing, they demonstrate the depth of their commitment and invite by example.

Solicitors should also be prepared to share the range of gifts needed (a copy of the gift table is a handy resource at this point) and to indicate what they hope the person will consider giving (this amount is determined by the steering committee, or persons it appoints, when the prospect rating is done in the organization step). The latter is most important because people want and need to know what is expected of them. If done in a gracious way, people will welcome this word.

Naming opportunities are sometimes attractive to major donors. Include such opportunities in a campaign and describe these opportunities at the time that persons are asked to consider a gift. Persons can be inspired to make larger commitments than planned if they see an attractive opportunity to honor a loved one or preserve the family name through a gift.

Finally, solicitors should be prepared to discuss giving methods, informing the prospect that pledges can be spread out over (x) number of years and that, in addition to cash, commitments can be fulfilled through gifts of securities and real estate or planned gift arrangements (if indeed the institution is prepared to accept such gifts). If a prospect is not prepared to make a decision, the pledge card should not be left. Instead, an appointment should be made for a follow-up visit in a few days. In a second visit, the importance of the campaign can again be stressed, any questions can be answered and a pledge can be received.

4. General solicitation. A good share of the work is done before a campaign is ever officially launched. Indeed, many fund-

The logo for the Endowing for Excellence campaign.

raising consultants suggest that 40 percent to 50 percent of the goal should be pledged before publicly announcing a campaign. This early pledge amount allows the campaign to be launched on a very positive note and also enables the public phase of the campaign to be conducted at a rather brisk pace.

Campaigns are often set in motion with kickoff events. A kickoff event needs to be planned and orchestrated carefully so that people leave with excitement and expectation. The CEO should set the tone with an impassioned presentation about how achieving the campaign goals can enrich the institution and its mission. The case can be presented by the chairperson of the steering committee. This presentation might be followed by several short endorsements from key leaders who have made substantial commitments, and who can speak with warmth and intensity about why the campaign is deserving of each person's generous support. The event's finale should be the announcement of the campaign total achieved up to that date.

Keep In Touch

General solicitation should follow soon after the kickoff event while enthusiasm is still high. The same principles used in major gift solicitation apply here, with individuals being personally visited wherever possible and invited to consider a gift level recommended by the steering committee. Additional solicitors can be recruited from the ranks of those who already have made commitments.

The challenge in general solicitation is to sustain the momentum of the campaign. Unless the solicitation is completed fairly soon after the kickoff event, enthusiasm probably will begin to wane. Regular communication and publicity should be a top priority for the steering committee during this phase in order to keep the importance and urgency of the campaign alive. A campaign newsletter can be especially effective. It can restate the importance of the campaign goals, announce the pledge totals, report news of important developments, feature personal testimonies and pay tribute to volunteers. A crisp, cheery newsletter distributed on a regular basis can play an important role in moving the campaign along.

The challenge gift is another effective means of keeping the campaign moving. One or more individuals make a pledge that is dependent upon additional gifts being received within a certain time period. A challenge gift made toward the end of the campaign can be especially helpful in motivating those who have not yet responded to act before the deadline. It can even encourage additional gifts from those who have responded earlier. The steering committee may wish to invite a major donor to consider a challenge gift, or the committee members collectively may decide to offer such a gift themselves.

5. Celebration. The successful conclusion of a capital campaign calls for celebration. A celebration should provide opportunity to offer thanks to those who gave unstintingly of their time and talents to help assure the campaign's success. In an atmosphere of fun and fellowship, persons who played key leadership roles in the campaign should be recognized and thanked. In addition to words of appreciation, appropriate mementos, perhaps relating to the campaign theme, could also be presented to those who provided outstanding leadership.

6. Transition. While the afterglow of the victory celebration still lingers, leaders should begin the transition step. The first task is to do a complete evaluation of the campaign. This evaluation should include a review of campaign materials, events, committees, timetable and any other important areas unique to that particular campaign. In each area of concern, that which worked well and that which did not should be noted. Because capital campaigns are only occasional events, this evaluation should be written and preserved for the future.

Preparing a record of the campaign is equally important, and the record should be as complete as possible. In addition to the written evaluation and samples of campaign materials, the record should include copies of the following: original goals, actual results, comparison of the gift table to actual commitments received, minutes from committee meetings, a final budget report on campaign expenses, campaign policies statement, projected and actual timetables, and a list of all pledges and campaign reports. Although such infor-

President Neal Fisher and Cultivating Dreams Philip Bash (right) and William Hutchinson (left), presided over the Endowing for Excellence campaign, which surpassed its goal by more than $2 million.

tion should be readily available and therefore relatively easy to put together, many organizations forget to do so once a campaign is over. This record should be preserved as a reference for future campaigns, and there will be future campaigns!

Because capital campaigns frequently involve multiyear pledges, another important transition task is to ensure that pledges are properly recorded and that a system is set up to send out periodic reminders. Again, neglect of this step can mar a successful campaign with a disastrous conclusion.

A final transition task is to begin identifying other projects and programs worthy of capital support. You will not want to begin another campaign for at least three to five years because pledges to this campaign need to be completed before another campaign is launched. In between major campaigns, however, you can lift up additional projects and programs which do not require the intensity of a campaign but, nonetheless, invite capital support. Some who have had their sights raised during a campaign will welcome these opportunities to respond. If the strategic planning committee continues to do its work on a regular basis, a ready list of dreams, goals and opportunitie capital investment should always be a able.

In summary, a capital campaign prov an institution with many benefits:

1. It enhances the visibility of t and programs of the institution and , an opportunity to lift up important pr ties.

2. It allows the institution to address portant long-range goals.

3. It expands the horizons of donors, helps them to grow in their financial port.

4. It provides opportunities for per to make major gifts to the institution w they might otherwise not make towarc annual budget.

5. It broadens the institution's sur base and often brings about a new lev support to the annual budget.

6. It enables the institution to enlist involve new volunteers and train new l ership.

The benefits of an effective capital paign thus go far beyond dollars recei and institutions would do well to con an occasional capital campaign as an in tant part of a well-rounded developr program. ◆

Thomas E. Broce. *Fund Raising*, 2nd edition (Norma. University of Oklahoma Press, 1987), page 44
Harold J. Seymour, *Designs for Fund-Raising* (New McGraw-Hill Book Company, 1966), page 17.
Broce, *Fund Raising*, page 50.

David Heetland is vice presiden development at Garrett-Evange Theological Seminary in Evansto linois. He is an ordained U Methodist minister and a memb the South Dakota Annual Confer Prior to coming to Garrett-Evange Heetland served as a local church tor, a campus minister and assc professor of religion, and a univ administrator. He is the a' recently published book, i *tals of Fund Raising*. Heetland na written numerous articles and bo views and is a frequent pre: speaker and consultant to va groups.

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SHAPING the FUTURE
Final Report

The Shape of Things to Come

by Robert Greenstreet, Dean

This year marks the 25th anniversary of many events which will go down in the annals of history: the landing on the moon, Chappaquiddick, Woodstock, and the opening of the UWM School of Architecture and Urban Planning. Many things have changed from when the School took its first "small step", but one of the most important was taking a "giant leap" into the future with the successful conclusion of the *Shaping the Future* campaign.

I am pleased to announce that, due to the hard work and diligence of our many volunteers, the campaign has raised $3.4 million, exceeding the $3 million goal established in 1990. Special thanks go out to David Kahler, President of Kahler Slater Architects and chair of the *Shaping the Future* campaign. Working closely with the UWM Foundation and myself, he provided the leadership and determination necessary to bring this campaign to a successful close.

Along with our new $18 million building, these gifts will enable us to shape the future of our state and the School for years to come. As the only nationally accredited architecture program in Wisconsin and one of only two in urban planning, it's a challenging responsibility to be wise stewards of the funds that have been so generously given to us. We are excited about the new programs, institutes and studios that have been established through so many of your gifts. Thank you for your faith in our stewardship and shared vision for the School's future. Please read on to see the shape of things to come.

Bob Greenstreet, dean of the School of Architecture and Urban Planning (left), and David Kahler, president of Kahler Slater Architects and chair of the Shaping the Future campaign, in the School's new building.

Shaping the Future Campaign Team

David Kahler, President and CEO, Kahler Slater Architects—Chair

Dick Van Deuren, Reinhart, Boerner, Van Deuren, Norris and Rieselbach—
Major Gifts Division Co-Chair

Tom Smallwood, Borgelt, Powell, Petersen & Frauen—
Major Gifts Division Co-Chair

Beth Partleton, (M.Arch '79) Senior Project Manager at Miller Brewery—
Individual Gifts Division Chair

John and Norene Thiel, (both BSAS '71, M.Arch '73) owners of Thiel Visual Design—
developed campaign theme, logo and printed materials

Michael Hatch, Foley & Lardner—Corporate Division Co-Chair

Steve Kent, Robert W. Baird—Corporate Division Co-Chair

Jean Friedlander, community volunteer—special Campaign advisor

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Planning, not just for fundraising but for the future direction of the school, is a vital part of the development process if it is to succeed. Careful planning, realistic goals, involvement of key individuals, and clear articulation of the outcome, coupled with good communication are all important aspects of a successful campaign.

And the *Giving* is Easy...

The Alumni Dean's Club

Saying "thank you" isn't always easy, especially when you want to say it in a monetary way. Beth Partleton (M.Arch '79), senior project manager at Miller Brewing Company, explains. "Like many alums, I wasn't able to write a check that is commensurate with my interest and feeling for the School. I'm glad we were able to develop a way for alums to make a significant gift that provides for the future."

That "way" of giving is called the Life Insurance Endowment Plan. And the easy part of making it significant is through the purchase of a $50,000 life insurance policy, naming the School as beneficiary. By contributing $1,000 a year for five years, this unique plan gave the first 20 alums the exclusive opportunity to establish a $1 million scholarship fund for future SARUP students. Dean Robert Greenstreet said, "this effort provided the campaign with the initial momentum it needed to generate support throughout the rest of the state. We couldn't have reached our goal without this special group of alums."

An Exclusive Group

Through their generous support, the following 20 alumni have made an impact for future SARUP student scholarships. The Alumni Dean's Club members have their names permanently placed on the donor recognition wall in the new SARUP building, and serve as an advisory group for the School and Dean Robert Greenstreet.

Beth Partleton

David Bader M.Arch '86
John Cain M.Arch '77
Charles Causier MUP '79
Cherie Claussen BSAS '75. M.Arch '77
Cynthia Ethington M.Arch '81
Jack Fischer BSAS '76, M.Arch '78
Pat Frost M.Arch '77
Mike Janssen BSAS '71, M.Arch '74
Kevin Kemp BSAS '81, M.Arch '84
Lisa Kennedy-Kimla BSAS '81, M.Arch '84
George Meyer M.Arch '84
Robert Monnat BSAS '79
Todd Montgomery MS '75, Ph.D. '84
Beth Partleton M.Arch '79
Larry Schnuck BSAS '78, M.Arch '86
Mary Kay Schuetz MUP '91
David Stroik BSAS '72, M.Arch '74
John Thiel BSAS '71, M.Arch '73
Greg Uhen BSAS '81
Bill Williams BSAS '76, M.Arch '80

Work in the Inner-City Studio has included efforts to develop an African American Tourism and Business District. This model is an aerial view of the proposed district looking northwest from Fond du Lac and North Avenu

Restoring our Neighborhoods

Inner-City Studio

Esperanza Unida, Harambee, Hmong... these names sound like communities from around the world. They are, however, communities in our own backyard with which the School has been able to establish productive partnerships.

Thanks to The Milwaukee Foundation and the Gardner Foundation, the School has established the Inner-City Studio which brings together faculty, students, and community leaders to address the design and planning issues that these neighborhoods face. The primary goal is to provide innovative and effective ideas to resolve critical community problems related to architecture and urban planning. These include problems related to housing, environmental protection, preservation, neighborhood development, growth and management.

This project will allow the School of Architecture and Urban Planning to elevate its public service activities to a new level of significance—to take the work of student and faculty and use it as a positive force for social and economic innovation.

Building a Solid Foundation

The Deans' Gallery

As every architect and urban planner knows, a building needs a solid foundation to build upon. The foundation provides the stability for the rest of the structure and is an essential part of a building's integrity.

Four individuals have provided the stable foundation for the School of Architecture and Urban Planning for the past 2 1/2 decades. Past deans Tony Catanese (now president of Florida Atlantic University) and Carl Patton (now president of Georgia State University), along with the family of the late John Wade (led by son Mark, BSAS '83) and current dean Robert Greenstreet, have now provided for the future financial need of the School by establishing the Deans' Gallery.

Based on the model of the Alun Dean's Club, gifts given by the form deans and their families will establis quarter of a million dollar endowmer student scholarships through a life insurance plan. Through their gifts, have all demonstrated a tremendou: commitment to a program they help build to its current prominence.

Learning the Wright Way

The Frank Lloyd Wright Initiative

Ask anyone to name a famous architect and most likely you'll hear the name Frank Lloyd Wright. Wright's name is known widely around the country, but is most closely associated with his home state of Wisconsin. It's because of his contribution here that the School established the Frank Lloyd Wright Initiative. Said Dean Greenstreet, "with

65% of our graduates remaining in Wisconsin, it is especially important that they be knowledgeable about the most influential architect this state may ever produce."

"Frank Lloyd Wright is still a magic name," said architect/builder Marshall Erdman, whose generous $200,000 gift

established the new Initiative. "I arr pleased to have made possible this fitting tribute to the greatest architec our time." Through his support, the newly established initiative offers a comprehensive program in the instr tion of Wright-influenced design anc thought.

During the first year of this Frank Lloyd Wright Initiative, activities have included the following:

- Classes and studios to enable students to better understand the architectural heritage of their state
- Semester-long class culminating with a Wright-influenced design for the School's new reading room
- Student work from the above class were printed in booklet form, including designs and artifacts
- Frank Lloyd Wright Heritage Tour Program produced a video guide to prominent buildings designed by Wright
- New internship programs developed for students to live and work at Taliesin

Future plans call for support of a national symposium on Frank Lloyd Wright, and for scholars in the work of Frank Lloyd Wright being brought to the School to conduct studios and give lectures.

Frank Lloyd Wright and Marshall Erdman at a press conference at the Blackstone Hotel in Chic in 1956. Wright unveiled his "prefabricated house for the common man" which Erdman was commissioned to build.

The House That Johnson Built

Johnson Controls Institute for Environmental Quality in Architecture

Did you know that the average person spends at least 2/3 of their life indoors, and over half of that time in a workplace setting? Our built environment is a significant part of our everyday lives, and what it provides in comfort, usability, cost and safety, to name a few, are of paramount importance. So much so that the School has established the Johnson Controls Institute for Environmental Quality in Architecture.

The Institute, which is the only one of its kind in the country, is funded by a five-year, $1 million gift given jointly by the Johnson Controls Foundation and Johnson Controls, Inc. This gift, the largest in the history of the School and one of the largest ever to the UWM Foundation,

will allow the School to focus on total environmental quality research. What if you could have control over the input of the heat or air conditioning in your workspace, or block out the phone conversation of your co-worker two feet away? The Institute is now working on ways to make some of these "what ifs" reality in the future.

The School's national reputation and leadership in the arena of Environment-Behavior Studies (it is one of only six in the country) led to an ideal partnership with Johnson Controls, a national leader in building control systems and the largest corporation in Wisconsin. Said Jim Keyes, CEO of Johnson Controls, Inc., "any building is a complex system within which physical, organizational, psycho-

logical, and social forces interact... based on the School's research credentials in this area, UWM's School of Architecture and Urban Planning is an ideal place to house an institute on environmental quality."
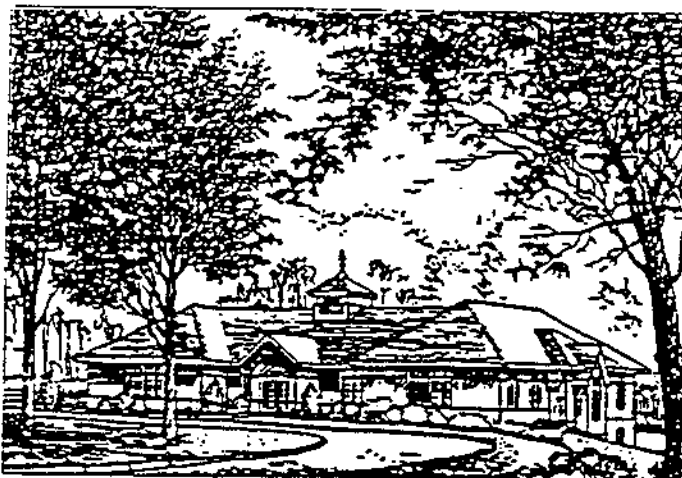
Environment-Behavior Studies is an approach which focuses on the relationship between people and the environments which they occupy. Larry Witzling, Associate Dean of SARUP and the Institute's first Director, says the research that the School is conducting will make a real and changing difference in ways buildings are made in the future.

Aging Gracefully

The Institute of Aging and Environment

What if you could slow down the effects of a disease like cancer simply by providing a pleasing environment? Wouldn't it be a major breakthrough in research, not to mention the lives that would be touched as a result! In effect, this is exactly what's happening through the research conducted by the Institute on Aging and Environment.

The disease is dementia, or Alzheimer's as it is most commonly known, and it affects 5% of Americans over the age of 65 and 20% of those over 80. Findings from the Institute conclude that "the architectural setting is more than a background variable, and may exert significant influence on the behavior and quality of life of both individuals and

The Institute on Aging and Environment at SARUP has been involved in applied research and design assistance in over 35 projects across the United States. Illustrated is an adult day care center for persons with cognitive impairments. Clients: Cranston Department of Social Service, Cranston, RI; Architects: Robinson Myrick and Associates; Design Consultants: Institute on Aging and Environment, UWM.

groups. Therapeutic environments can slow the decline expected over time in the behavior of people with dementia."

A gift of $400,000 from the Helen Bader Foundation has given Uriel Cohen and Gerald Weisman, Associate Profes-

sors in the Architecture department, the resources to research the role that environmental design can play in improving the lives of persons with Alzheimer's disease and their caregivers. Since its inception 3 1/2 years ago, their results have continued to show that to the extent possible, all therapeutic settings should hold on to the attributes of home. Familiarity and personalization of an individual's environment when planning are key to success of his/her comfort and enjoyment. As a result there is a need for more residential options other than the current nursing home settings.

"The great difficulty with nursing homes is in suddenly sending people who are having a hard enough time keeping track of reality, into an environment that in every dimension is absolutely foreign to their lifetime's experiences. It just magnifies the negative consequences of the disease."

Thinking About Our Future

The Dean's Council

What will the cities and towns of Wisconsin look like in the twenty-first century? How will environmental concerns affect the future planning and development of communities? How, when, and where will these issues be addressed?

The Dean's Council is being formed to create a partnership between the School of Architecture and Urban Planning and key construction industry leaders who share a vital interest in the quality of the built environment in Wisconsin. The Council will help forge relationships between companies and individuals across professions and support the goals and activities of the School of Architecture and Urban Planning.

The inaugural event was the Architects/Contractors Roundtable held in April. More than 65 professionals from across the state took time out of their hectic schedules to spend a day with faculty at UWM's Hefter Conference Center to discuss the future of Wisconsin's Construction Industry.

With the establishment of the Founding Members of the Dean's Cou (see box) the School will now be looki to expand the number of participants. ensure a broad perspective, the Coun will seek future members not only from other architectural firms and contracto but also from manufacturers, banks, la firms, and other companies associatec with the building industry.

Founding Members of The Dean's Council

Oscar J. Boldt Construction Co.	Holabird & Root
Engberg Anderson	Kahler Slater Architects
Grunau Project Development	Uihlein Architects
HNTB	Voss Jorgensen Schueler
Krueger International	Wisconsin Gas

Preserving our Heritage

Preservation Studies Program/Historic Preservation Institute

"People benefit from understanding and experiencing history, architecture, and archeology, which enrich and add meaning to their communities." This excerpt, from the Mission Statement of the Wisconsin Division of Historic Preservation, reflects the importance Wisconsin has placed in promoting preservation. Now, thanks to the support of several foundations and individuals, the School of Architecture and Urban Planning is ready to contribute to this growing area of emphasis.

The School has two initiatives in support of preservation: The first, the Preservation Studies Program, is committed to offering a top level graduate certificate program in preservation. A component of this program, the Historic Preservation Studio, explores issues related to preservation through the adaptive use of historic buildings.

Another component, the Preservation Technology Laboratory, is designed to sensitize the student to the role of historic ornament to the building and its setting.

The other initiative, the Historic Preservation Institute, is a program devoted to establishing significant historic preservation research and outreach efforts in Wisconsin. This Institute will serve as a preservation link between the School and the community.

"There is a great need for such valuable training among architects in this state and there is a real need for such technical assistance to local communities," said Dr. Geoffrey Gyrisco.

Chief of the Survey and Registration S tion of the Wisconsin Division of Histor Preservation. "I am excited by the possibility of the School of Architecture and Urban Planning playing a major r in meeting those needs."

Faculty and students from SARUP developed a historic preser for the Veteran's Administration Medical Center in Milwaukee The V Memorial Theater is one of the structures on the campus being anal) by the group. Drawing by Kristine A. Recker.

Leaders of Tomorrow

Minority Leadership Program

Did you know that while minorities comprise 27.4% of Milwaukee County residents, only 6.1% of the construction industry workforce are minority employees? Or that, nationally, minorities represent only 1% of all registered architects? Thanks in large part to the Wisconsin Energy Corporation Foundation, the School is addressing this urgent need for greater cultural diversity in architecture and urban planning by establishing the Minority Leadership Program.

The three components to the Minority Leadership Program:

* The *Young Architects Club* will be for inner-city high school students to give them an appreciation for and knowledge of the environment in which we live.

* As many as eight *Scholarships* will be awarded each year for students satisfying University requirements.

* *Summer Internships* with state architectural, urban planning, and construction firms will be an important component of the program and will provide much needed income as well as ongoing professional experience and involvement for the students.

The program will assist minority high school students to pursue careers in architecture and urban planning, and provide necessary support systems which will ensure a successful college career. The program has already begun to generate interest throughout the building industry and several contractors and architectural firms have joined this initiative.

"The enrollment, retention, and ultimate graduation of these students will be the most visible measurement of success," said Dean Robert Greenstreet "Our current goal is to increase the number of minority graduates by 50% within the first five years. Thanks to the generous support we've received, I'm confident we will achieve this number."

Each One is a Star

The Alumni Endowment Fund

As everyone knows, only movie stars have their signatures preserved in perpetuity in the courtyard at the Chinese Theatre in Hollywood. But now, the School of Architecture and Urban Planning is giving its alumni and alumnae an opportunity to have their signatures displayed in perpetuity as well.

As a special way to say "thank you" to all alumni and alumnae who pledged $1,000 or more during the campaign, the School is recognizing these donors by having their signatures etched in six-inch square, stainless steel plates and permanently mounted on the Donor Recognition Wall in the atrium of the new building.

All contributions from alumni during the campaign were placed in the Alumni Endowment Fund to support scholarships for future generations of students. The final results of alumni and alumnae support to the campaign were tremendous as the number of alumni donors tripled from previous years and the average gift amount quadrupled. Special thanks to all alumni and alumnae who participated.

Beth A. Partleton

BETH A. PARTLETON

Etched In Steel
Alumni who pledged $1,000 over 3 years have been recognized by having their signature etched onto a six-inch square, stainless steel plate which is mounted on the Donor Recognition Wall in the atrium space in the new building.

UWM

UNIVERSITY OF WISCONSIN
MILWAUKEE

CAMPAIGN PRIORITIES FOR FUNDING

Awards for Excellence

An annual awards program to encourage and reward student excellence, to create an exciting and stimulating atmosphere within the School, and to engage the profession and public in debate on architectural and urban planning issues in Wisconsin. Funds provided will support awards for competition winners and expenses for exhibit and publication preparation and touring.

$550,000 endowment $35,000 annual expenditure

Institute for Livable Communities

A research institute focusing on the development of neighborhoods, towns, and cities in the 21st century, stressing issues of environmental awareness, energy efficiency, habitability, and quality of life. Funds provided will support program development, faculty research, student fellowships, and research dissemination.

$1.1 million endowment $75,000 annual expenditure

Minority Leadership Program

A program to acquaint minority high school students with the fields of architecture and urban planning, and to provide scholarships to help them attend the School of Architecture & Urban Planning at UWM. Funds provided will support outreach activities to high school students, a director for the outreach activities, and 8 annual scholarships.

$750,000 endowment $50,000 annual expenditure

Frank Lloyd Wright Studio

A studio providing instruction in Wrightian design, thought, and influence. Funds provided will support a scholar-in-residence, student fellowships, an annual symposium, and summer internships at Taliesin.

$1.1 million endowment $75,000 annual expenditure

Institute for Preservation Studies

A research institute providing leadership in historic preservation work both locally and statewide. Funds provided will support program development, faculty research, student fellowships and internships, research dissemination, public outreach, and a historic preservation library.

$1.1 million endowment $75,000 annual expenditure

Teaching Enhancement

A program aimed at increasing teaching resources to better serve student alumni, the profession, and the community. Funds provided will support enhanced chairs, lecture series, symposia, visiting faculty, research awards, teaching awards, and educator/practitioner collaboration grants.

$750,000 endowment $50,000 annual expenditure

Leadership begins with self-confidence derived from personal accomplishment. Such accomplishment is not measure in administrative achievement; rather it is measured in personal growth and scholarship. Each academic leader from the senior faculty member to the chancellor must continue to mature personally and intellectually. This continuing evolution will instill the vitality required of an individual in a leadership position. Individuals involved in academic leadership, from the most seasoned veteran to the newly appointed can learn from each other. It is also important to remember that the perspective necessary for leadership is usually found outside of the position. The life beyond administrative duties is the real world.

Observations from the Edge

Observations from the Edge: where the insight is .....

Observations from the Edge: where the insight is .....

Leadership is driven by a sense of personal accomplishment largely reinforced by the joy derived from the accomplishment of others. While administrative achievements must be a hallmark of the able academic administrator these are secondary to continuing personal and professional growth. Each academic leader from the Chancellor to the senior faculty member must continue to mature personally and intellectually. It is this continuing growth that instills openness to good ideas no matter their source, and it is this vitality that inspires a life beyond administration. To remain forever young in the academic leadership positions requires a constant sense of curiosity and a venturesome spirit. It requires a balance life of teaching, service, scholarship and family. Life beyond administrative duties is the real world.

Workshop Agenda:
The Voice of Experience
Incentives for Continuing Growth
A Fresh Perspective
The Power of Ideas
The Balanced Life
Teaching
Scholarship
Service
and Family
Life Beyond Administration
Understanding Personal Aspirations

Relevant Articles:
A Perspective of Ten Years
Bob Hershberger
A Fable
Gifford Pierce
Message from an Orphanage
Mother Theresa
When Ideas lead People Follow
Sander A. Flaum
A Master Course in Leadership
Rosanne Badowski
So you want to be a Dean of a College of Design
Jerry Davis
Deanship Selection: Connections and Consequences
Mary Ann D. Sagaria
To the Young Vermouth is a State
Donald G. Smith

"C'mon, c'mon—it's either one or the other."

After ten years in academic administration. University of Arizona. Dean Bob Hershberger shares some thoughts on leadership:

1. Hiring outstanding people is everything. Take your time to get the best. It is better to be blessed with quality for a short time, than to live with mediocrity a long time. Mediocre people never leave of their own accord, and no one lures them away.

2. Careful development of curriculum and standards is essential, but unimportant if you do not have the people who are willing and able to follow through.

3. "Good is the enemy of excellence." If you strive to be a good program, you may become a "good" program. You must aim at excellence to achieve it. There is a big difference. Do not reward mediocrity - especially incompetence. It never improves performance.

4. "That you cannot find outstanding women and minorities" is a myth. I have hired five outstanding women and three outstanding minority faculty in the last seven years. It depends on the culture you create as an administrator. If you create a culture that is not supportive, these people likely will not want to work at your institution. They are out there. It is your problem if you cannot find them.

5. Try to find special ways to reward initiative. Send faculty to every conference where they will deliver a refereed paper. Try to reduce teaching loads of those who consistently write grants. Congratulate accomplishments verbally and in writing. Mention accomplishments in every venue available.

6. Do not try to do a building project using donated materials. It complicates the procurement process beyond belief and raises the cost of bids on work not donated.

7. Your return on invested time will be better if you spend it developing a few donors or foundations of considerable means to secure a few major gifts. Your time involvement goes up greatly when you approach persons of modest means to obtain many small gifts...and the total never approaches that of the major gifts.

8. The paperwork, at least at state institutions, will be overwhelming. Try to short circuit it when you can. And avoid being a source of it for faculty and staff. They have more important things to do.

9. Choose your battles carefully. It is easy to lose friends, but difficult to lose enemies. If your enemies are bureaucrats, they can find an infinite number of ways to make it difficult for you to accomplish your objectives. If they are friends they can find an equal number of ways to help you. It is best to treat everyone with respect, even when they do not seem to deserve it. Who knows, they might even be right.

10. Do not take yourself too seriously. If you lose your cool, the battle is also lost, if not the war. After all, the place could run without you.

11. My biggest mistake was becoming a dean just as the bottom was falling out of the financing of higher education. It forced some short term decisions that were not in the long term best interest of the college.

12. My biggest triumph was improving the financial position of the college while the university budget was diminishing. I reduced the size of the student body by one-third and increased the state budget at the same time. This improved the quality of the students and increased the productivity of most of the faculty. I also used development to increase private support substantially to provide a margin of discretionary dollars for initiatives holding promise for return on investment.

13. My most creative initiative was the institution of a distinguished visiting alumni lecturer and short-term studio instruction program. We now have outstanding alumni from all over the world who return to the college to volunteer for two to four week time periods as design studio instructors. The stimulation to faculty and students has been enormous. It also provides the students with excellent role models and networking potential as they begin their careers.

14. Negotiate everything you will need to be happy and successful with your job before accepting the administrative position. Get everything agreed to in writing by the highest officer in the university. Do not forget your spouse. He or she will need a position, preferably at the university, one where the spouse will have time, or can take time, to support you, or at least be with you, on the many important social occasions required for you to be successful. When it comes to your salary or the college budget, the only time you will make major gains is during the initial negotiations. After that your superiors will be providing major gains to the incoming administrators ...not to you or your college. Furthermore, what little gains are made later come to the successful, not to the unsuccessful. Accomplishment is rewarded. Failure is punished by withdrawal of support...all kinds.

15. If you are still enjoying your job after six or seven years, get out before you forget how to do something that is really rewarding.

Children of my generation were taught to carry handkerchiefs. Many of us still carry handkerchiefs because they splendidly fulfill their fundamental use. Handkerchiefs are also handy for catching drafting pen leaks or stopping spilled coffee before it spreads to a drawing. The absence of handkerchiefs among the current generation of architecture students brought Harvey, our custodian, to my office in an emotional state.

At our university, the architecture department assignment is at the bottom of the custodial ladder. Custodians know that our students spend long hours in the studios and produce great amounts of trash. Periodically they spend nights without sleep creating piles of rubble unknown in other disciplines. Because Harvey had no custodial ambitions and because he had the patience to retrieve from the floor the scraps of paper scribbled with the essence of an important idea, I was anxious to restore Harvey's usual good spirits.

I'd noticed that the bathroom had been shut down several times lately. Harvey told me that the shut downs were occurring daily and had him at his wit's end. Students, he said, would reach into the toilet stall for nose blowing tissue and deposit the tissue in the urinal as they left. Eventually the urinal would overflow and Harvey would be forced to shut the door and mop. He asked me to solve this worrisome problem.

A faculty meeting or a letter about nose blowing behavior would only add to mounting evidence of the chair's eccentricities.. I didn't want to be remembered as the chair who worried about nose blowing and urinals so I tried an unusual tactic.

I typed an official memo on university stationery to be placed over the urinals. In officious language, it explained that a hidden camera had been installed above the urinals to record all behavior below. The next time a flood occurred. films would be reviewed and the culprit would be prosecuted to the full extent of the law.

Amazingly. no new floods occurred. I never had to confess that there were really no cameras in the ceiling. Harvey hung up his mop and the architecture department returned to its usual state of disorder.

Gifford Pierce
University of Idaho

Message from an Orphanage

People are often unreasonable, illogical and self-centered;
    Forgive them anyway.

If you are kind, people may accuse you of selfish, ulterior motives;
    Be kind anyway.

If you are successful, you will win some false friends and some true enemies;
    Succeed anyway.

If you are honest and frank, people may cheat you;
    Be honest and frank anyway.

What you spend years building, someone could destroy overnight;
    Build anyway.

If you find serenity and happiness, they may be jealous;
    Be happy anyway.

The good you do today, people will often forget tomorrow;
    Do good anyway.

Give the world the best you have, and it may never be enough;
    Give the world the best you've got anyway.

You see, in the final analysis,
    it is between you and God:
It was never between you and them anyway.

From above the desk of Mother Teresa in Calcutta

So You Want to be Dean of a College

I make the following comments and observations after serving on several search committees and interviewing several dozen candidates. I've also dealt with the other end of the process. I've applied and interviewed for several positions.

Give a great deal of thought to the position and process. What does the committee want to see in my application? Follow the "rules" exactly as spelled out in the announcement. If you don't understand something, call and ask. Call and ask anyway, but only twice at the most.

Think carefully about the committee and what they would want to see as references. Men AND women. Faculty AND administrators. Don't send more than the required letters, unless you are unsure if one letter will make the deadline. Don't send reprints unless requested. Have the letter writers address, specifically, the "questions" in the announcement. Find out what kind of people are on the committee, and if possible, who.

Stress your good teaching and scholarly activity. Show continued interest in these areas. We don't want administrators that cannot or could not teach or could not do professional activities. We also want administrators with some background in administration. <u>Usually</u> a department chair is not enough experience.

If you make the interview step:

Know all you can about the campus, committee, position. Ask all you can about the campus, committee, position. Find out if the campus is strong in shared governance.

<u>Be ready for</u>:

Why do you want this position?

Why do you want to change positions?

What has given you the most satisfaction as a faculty member? researcher? administrator?

Do you want to continue to teach once in awhile?

Will you continue to do scholarly activities?

How can you do all these things?

What are your attitudes about affirmative action?

How long should a department chair serve?

How long should you be dean of this college?

How much would you like to be involved in hiring, promotion, retention?

<u>Be ready to ask the committee members</u>:

What do you like about your college?

What needs to be changed?

How could a new dean help you?

Why isn't the past dean here any longer?

Was s/he here "too long?"

What kinds of problems have you approached the past dean about?

How much should the dean have to say about hiring, retention, promotion?

Why did you accept this position as a faculty member?

Finally:

Don't "run" the interview.

Spend several minutes getting to know committee names and areas.

Keep answers reasonably short.

Ask about process, timing, who makes the final selection (maybe before, on the phone).

Be yourself. Be an ideal faculty member.

Jerry Davis
UW-Lacrosse

DEANSHIP SELECTION: CONNECTIONS AND CONSEQUENCES

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Department of Educational Policy & Leadership
Ohio State University

One of the most critical decisions to be made by colleges and universities is that related to the selection of academic leaders, especially deans. Major consequences result from searching for and hiring deans, because these individuals represent both scholarly and administrative qualities that affect the institution as well as the unit which they administer. The purpose of this study was to identify patterns in the current approaches to the search and selection procedures for deanships of professional schools with graduate and undergraduate programs in research and doctoral granting universities.

Despite the institutional importance attached to the selection of deans and the individual career salience associated with being chosen for a deanship, the topic of academic administrator searches has only recently received serious scholarly attention. Much of the literature regarding the selection of academic administrators has consisted of descriptive accounts of search processes (Kelly, 1977; Sommerfield and Nagely, 1974; Stauffer, 1976). These writings emerged in the wake of the institutionalization of search committees and governmental affirmative action requirements. More recent scholarship contributed to an understanding of administrative searches from multiple perspectives. Studies systematically described the search process from the vantage points of members of search committees, chairs of search committees, and successful candidates. Lutz (1979), using

mail survey, studied 32 colleges that had selected new deans for liberal arts, business administration, and nursing, and found that candidates learned about the job opening from a variety of sources such as the Chronicle of Higher Education, someone within the institution or someone outside the institution. His findings also suggested that the "old boy" system was widely used. Reid and Rogers (1981) adapted the methodology of the Lutz research to study the hiring practices for vice presidents and provosts at 45 four-year colleges and universities. They found that "search committees operate with hidden agendas and that successful candidates are wise enough to discover the committee's real concerns" (p.5). Further, they claimed that the search process for selecting chief academic officers operates openly for white males aged 40 to 60 and is basically the same across all sizes and types of institutions. Moreover, they suggested that candidates for chief academic officer positions are much more likely to be nominated and to report receiving more information during the process than deans.

Research such as that conducted by Lutz (1979) and Reid and Rogers (1981) contributes important insights regarding the hiring of senior administrators. Concomitantly, it raises important questions about the extent to which candidates to key leadership positions, such as deans, have similar access to information regarding the search process and comparable opportunity to influence the outcome of the search. Moreover, knowledge about recently appointed deans and the conditions under which they are hired should be considered in conjunction with information about adjustment to the new position. This is necessary to begin to understand how the selection

process and exchange of information between the candidate and hiring institution prepare the successful candidate for a new job.

Selection as a portal to the deanship

The literature concerning the role of the deanship has emphasized that the position is central to the decision-making and work of an institution (Morris, 1981). Much of the writing has focused primarily on a particular type of deanship such as the education dean or arts and sciences dean. A smaller amount has focused on the role and functions of the position (Gould, 1964; Morris, 1981), and demographics of the deans (Higgins, 1947; Gould, 1964). Empirical studies exploring specific aspects of hiring and entry into the deanship are few in number (Lutz, 1979). Yet there should be serious concern about search and selection processes in higher education because current organizational staffing practices and career experiences of many newly appointed deans do not adequately prepare their entry into the deanship, a major administrative post.

Few deans have significant administrative experience or the opportunity to perform in a major administrative leadership role prior to assuming a deanship. In fact, after studying career histories of 653 academic deans Moore, Salimbene, Marlier, and Bragg (1963) found the most common career path was devoid of previous administrative appointments. Using variations of the career trajectory model, they found the largest percentage of deans, 34 percent, entered the deanship directly from a faculty position without a previous administrative position. The next largest group, 29 percent, entered the deanship as a department chairperson,

after serving as a faculty member. Therefore, many new deans ente competition for the deanship and eventually the position with unproven administrative skills or limited knowledge about the position.

The lack of demonstrated administrative experiences of newly hired deans underscore the critical role of the search and selection process for the deanship. Hiring officials in colleges and universities, unlike those in other corporate organizations, do not have long periods to observe and exchange information with candidates for leadership positions. Consequently, the recruiting and hiring activities become the principal mechanisms for reducing the risks of selection and easing the transition for leadership succession. For example, managers in the corporate sector tend to build their career in one business. Firms are heavily dependent upon spotting and encouraging executive development during the early career stages and then providing promising future executives with both management training and intimate contact with corporate leaders over extended time periods. Through such a process both the manager and corporation are well aware of each other's complexities, resources, limitations and expectations. Therefore, the corporate executive selection process which spans many years reduces the uncertainty associated with the hiring and entry of newcomers into the leadership circles.

However, such cases are rare in academe. Many newly appointed deans lack administrative experience or substantial contact with key administrators and are hired into a deanship from outside an institution. Consequently, the formalized search and selection processes immediately preceding the appointment to a deanship is especially critical. It is

essential to both the hiring organization and the candidate for securing and disseminating information as well as for quickly coming to know each other.

The salience of selection and entrance into a deanship is further illuminated when the career experiences of academic deans are considered within the context of the literature on work transitions. Research on a newcomer's entry consistently emphasizes the crucial role an individual's experience during the pre-entry and start-up period in a job plays in shaping his or her long term orientation and performance (Brim, 1966; Van Maanen, 1976). For example, a new dean hired from a faculty position outside of the organization is likely to depend heavily upon information gathered during the selection process to inform his or her view of the values, abilities, expected behaviors, and social knowledge for both assuming a new role and for participating as a newcomer in an organization. Furthermore, it is the contention of this researcher that the critical nature of breaking in to a new position is further exacerbated with the case of the deanship. Newly appointed deans often lack academic administrative experience in the hiring university or sustained related training. Thus, they must cope with considerable differences between anticipations and experiences in the start-up time (Louis, 1980) when they are learning new roles and establishing themselves as leaders.

METHOD

Sampling

The study was conducted to gain insights about the ways in which individuals became deans of professional schools with graduate and

undergraduate programs in research and doctoral granting universities. This class of deans was chosen for study because their highly complex, boundary-spanning roles are crucial to the well-being of the university. For these deans, communication within the institution — with individuals in other principally academic programs and graduate or undergraduate programs — is important for curricular and financial purposes. Concomitantly, linkages between the institution and the multiple constituencies in the environment -- regarding such matters as licensing, research, service, and financial support -- are the responsibility of these deans. Therefore, the selection of individuals for these deanships was thought to have highly significant consequences for universities as well as to be indicative of possible historical changes in the process of selecting deans.

Also, work by Corson (1968) regarding types of deans indicates the appropriateness of grouping deans on the basis of characteristics of faculty members, curricula, and administrative responsibilities of the deans' unit. The professional schools in this study include:

agriculture	natural resources
architecture	nursing
engineering	physical education
forestry	public health
home economics	social work
journalism	technology

Further, the diverse disciplinary and professional groups associated with each professional school function as academic subsystems of a larger national higher education system. These subsystems generate work-relat

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and social communication which form intracollege and interuniversity networks. These networks, in turn, function as conduits through which information can be transferred between hiring institutions and potential job candidates.

The sampling frame included those deans appointed to their present positions during 1982-1983. This group of new deans was thought to have the most accurate recall of individual candidate's perceptions of the hiring process and a vivid account of their experiences upon entering the deanship because they were the most recently hired deans. Currency was important because of the detailed nature of the interview questions. The sampling strategy also eliminated variations caused by trends over a long time-span. In addition, the new group of deans was thought to be the best predictor of those individuals who will become deans in the near future.

The sampling methodology consisted of examining two consecutive editions (1982 and 1983) of the Higher Education Publications Directory and selecting a sample of individuals listed as having one of the 12 designated deanships in the 1983 edition but not in the 1982 edition. The target population yielded 135 newcomer deans of professional schools housed in research and doctorate granting universities, as classified by the Carnegie Classification scheme (1976).

Instrumentation

A semi-structured telephone survey of 56 items was developed and pretested during February and March of 1984, with a sample of deans similar to those selected to participate in the major study. The interview guide was formulated to obtain both objective and subjective data. The objective data

included demographic variables such as educational and professional background. The subjective data included perceptions about the deanship search process, entry into the new job, and managerial skill needs. Career history data concerning full-time employment and formal education were also collected from the respondents' vita.

The telephone interview was chosen for its capabilities for collecting the kind of data necessary to address the research objectives. The telephone interview combines the advantages over the mail survey of high response rates and the capacity for clarifying ambiguous answers and probing for added detail. It also enabled the research to tailor questions on the basis of selected criteria such as whether a person assumed a deanship from within or outside an institution. Moreover, the lack of face to face exposure in a telephone interview is effective for reducing the probability of the respondent answering in a manner he or she thinks is socially desirable. The telephone interview is less expensive than the face to face interview and can be implemented in a relatively short period of time (Dillman, 1978).

Data Collection and Analysis

Data were collected in two phases. During the first phase (February 1984), letters were sent to the sample of new deans asking them to participate in telephone interviews concerning their appointment to a deanship, their position, and the managerial skills they brought to the job. The deans were asked to return a copy of their vita and a form indicating the times when they could be interviewed. A follow-up postcard confirming the scheduled time of the interview was then sent to

respondents. Follow-up phone calls were also made to persons who did not respond to the first mailing. Ninety-nine deans agreed to participate. Another ten persons in the sample were no longer holding a deanship or had never held one, and two persons sampled were inaccessible during the project period. During March and April hour long telephone interviews were conducted with 99 deans to yield a participation rate of 78.5 percent. Nine completed interviews were excluded from the data analysis because the respondents had held their positions for longer than one year. Data were coded, key punched and analyzed using the Statistical Package for the Social Sciences (SPSS) at The Ohio State University. Descriptive statistics were used to identify patterns in the data.

FINDINGS

The results reported here are derived from the closed-ended interview questions and examinations of the deans' vita. Therefore, they offer a statistical skeleton of the new deans as well as their hiring experiences. At a later date the data will be embellished with subsequent analyses, including detailed analyses of open-ended responses derived from many hours of interviewing. This will create a more vivid profile of the new leadership cadre, the process through which they were selected, and related adaptations.

Personal and Professional Characteristics

In order to understand the experiences new deans have with the job search and entering into the decanal role, one must first understand who they are. The following section highlights key information concerning personal and professional characteristics.

Age

The respondents ranged in age from 37 to 66. The median age was 49 and the largest percentage (42.4 or n = 39) of the deans were between 45 and 51 years of age.

Gender and Race

Men account for 86.7 percent (78) of the deans and women 13.3 percent (12). The position most often held by a female is dean of the College of Nursing (5). Other women hold deanships in colleges of Home Economics, Social Work, Physical Education, Education, and Technology. The vast majority of academic deans are Caucasian, 93.3 percent (84), 2.2 percent (2) reported their racial group as Black and another 4.4 percent (4) indicated they were Oriental or a member of another racial or ethnic group. The sample contained no Hispanic or Native American deans. In order to assure anonymity for the few minority deans, their positions are not identified.

Marital Status

A total of 91.1 percent (82) of the respondents are married. Another 5.0 percent (5) are single and 3.3 percent are separated or divorced. Among the women 66.7 percent are married compared to 94.9 percent of the men.

Types of Deanships

The deans lead 16 different types of professional schools. The largest percentages of deans were in Colleges of Business (21.4 percent and n = 15) and Colleges of Education (17.8 percent and n = 16). These were followed by Deans of Colleges of Engineering (13.3 percent and n = 12) and Deans of Colleges of Agriculture and Deans of Nursing (5.6 percent or n = 5 respectively).

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Nature of the appointment

The nature of the appointment has a bearing on the hiring and entry processes, thus, respondents were asked whether they were appointed as an acting dean or whether they held a permanent position. Of the total, 77.7 percent (70) held permanent positions and 22.3 percent (20) were appointed acting deans. The distribution of acting and permanent deans by field varies greatly. As Table 1 reports the deanship with the largest percentage of acting appointments is Education with 37.5 percent. This is followed by Business and Social Work with 25 percent each.

The hiring processes, terms and conditions of the position are different for acting and permanent appointments, therefore, data analyses reported here generally were restricted to the 70 deans with regular (permanent) appointments. The data on the acting deans will be analyzed and reported in a later paper.

Hiring and Entry Processes

Numerous writers (Louis, 1980; Wanous, 1976) point to the importance of the search process as the portal to a position and as a prime influence regarding one's expectations about the position requirements and responsibilities. The hiring process is also important to understand dissemination and gathering of information for the hiring organization and job candidate. The following findings pertain to the 70 deans with regular (permanent) appointments.

How deans became candidates for their positions

The majority of deans, 61.4 percent, became candidates for permanent appointments to the deanship, through the efforts of another person, either

by nomination or by invitation or without a search. The data indicate 32.8 percent (23) were nominated for their positions. The nomination process differs on the basis of whether a candidate was at the time of the search process employed by the institution where he or she took a deanship. Individuals advancing to their present position from the university where they were already employed were nominated by persons within their institution while those coming to their present position from another university were most likely to be nominated from outside the hiring university. Another common method of candidacy for a deanship is to be invited by the search committee. Of the respondents, 18.6 percent (13) became a candidate by invitation. An additional 10 percent (7) were appointed to a deanship or moved directly from an acting position without undergoing a job search. A few, 8.6 percent (6) of the respondents became candidates through other means, such as being asked to apply by the chief academic officer. Interestingly, the vast majority of those invited to apply were outside of their present institution (84.6 percent of 11). Lastly, 30 percent (21) of the new deans applied directly for the position.

How deans become aware of the vacancies for their positions

Most new deans became aware of the vacancy for their positions by personal contact. Some 45.7 percent deans (32) learned of their present job by personal contact with someone other than a member of the search committee, such as the chief academic officer or an influential alumnus. Another 24.3 percent (17) were informed about the job by a member of the search committee. Yet another 25.7 percent (18) of the respondents became aware of their present position through an advertisement in a newspaper,

magazine or journal, usually the Chronicle of Higher Education. Some 2.9 percent (2) deans became aware of the vacancy for their present position through the hiring institution's job notice and one learned about the job opening by another means.

How actively did deans seek their positions?

When asked how actively the new deans sought out their appointment, very few respondents, 14.3 percent (10), reported they actively sought the position by trying to influence the decision in their favor. Another 40 percent (28) reported they somewhat actively sought their appointment. Often this was done by researching the position and organization or attempting to promote themselves during the search process. The largest percentage of deans, 45.7 percent (32), reported they did not seek their position at all. These respondents indicated the position came their way or they were recruited for the job.

The kinds of job changes deans made

When asked to describe their recent job change the vast majority, 71.4 percent (40), considered their change vertical. Judging from their previously held positions, such as department chairperson, faculty member, and assistant dean, the description of a vertical move suggests an advancement. Another 16.9 percent (12) considered their move horizontal. Lastly, 11.5 percent (6) rated their move as another type of job change, such as moving from a governmental agency.

Important criteria for being selected a dean

Respondents were asked to evaluate the most important factors that determined their selection for the decanal role. The criteria and ratings

presented in Table 2 indicate that all 10 criteria were important requirements for becoming the successful candidate; however, some were more important than others. Ninety percent (63) of the respondents perceived leadership skills of high importance, and 80 percent (56) of the deans rated communication skills of high importance. These were followed by faculty relations skills with a high importance rating from 77.1 percent (54); decision-making skills, 74.3 percent (52); sensitivity to faculty needs, 74.3 percent (52); human relations skills, 67.1 percent (47); vision for education, 65.7 percent (46); planning and budgeting skills, 44.3 percent (31). These were followed by reputation as a scholar rated highly important by 42.9 percent (30) of the respondents and fund raising abilities rated highly important by 31.4 percent (22).

Why the deans accepted their present positions

To determine why deans accepted their present positions, respondents were asked to rate factors that influenced their decisions. As Table 3 indicates, no single item emerged as highly important. Instead several items were moderately important. Three considerations were of medium importance: the duties and responsibilities of the position, the competence and congeniality of their colleagues, and the feeling that they were ready for a change. Six items were of low importance: better institutional reputation, increased personal status and prestige, potential for advancement, salary, geographic location and others. Two items, retirement and benefit plans, and prerequisites were reported to be of no importance.

Negotiating conditions for the deanship

The individual with whom a dean negotiates is an individual who possesses the authority to settle the conditions of appointment. Since

most deans have extensive interaction with members of a search committee during the hiring process, deans were asked with whom they negotiated. Information about the individual negotiation of the appointment also indicated the degree of involvement of university leaders in attracting a candidate to the deanship. Deans were most likely to negotiate with the chief academic officer (61.4 percent or 43) or the president (28.6 percent or 20). The other 10 percent of the respondents (7) tended to negotiate with governing board members. The vast majority of the deans (81.4 percent or 57) negotiated with the individual to whom they report suggesting that most bargaining issues were within the purview of the authority and responsibility of the dean's superordinate.

As a method of determining to what extent new deans are able to shape their positions, respondents were asked to what degree they negotiated the conditions of their appointments. Thirty percent (21) indicated they negotiated their appointment conditions very much. For example, one dean indicated he was the unanimous choice of the faculty. He viewed the deanship as a service he was called to perform rather than a position that he sought. Therefore, to accomplish his goals of enhancing the quality of the faculty and developing rapport with the faculty, he bargained for increased faculty support as a condition of his appointment. He also successfully negotiated the addition of an endowed faculty chair for the college. However, the largest percentage of the new deans (47 percent of 33) reported that they negotiated the conditions of their appointment somewhat. The other 22.9 percent (16) indicated they negotiated very little. Several deans at public institutions indicated the conditions of

their appointment were set by state regulations, and one respondent stated that although he negotiated, it had minimal impact on the conditions of his job appointment. He noted "I asked for a car but instead I was given a reserved parking space."

How accurate was the information the dean received during the search process?

A person's expectations of jobs prior to entering organizations are significantly inflated as a result of organizational recruiting practices (Louis, 1980). However, factual information, rather than idealized information describing the position and the organization increases realistic expectations (Wanous, 1976). To ascertain the accuracy of the information communicated during the search process, new deans were asked to compare the information they received prior to their appointments with the information they gathered from their experiences on the job. The majority (55.7 percent or 39) thought the information was highly accurate. Another 35.7 percent (25) found the information accurate or somewhat accurate and 8.6 percent (6) reported the information was fairly inaccurate or very inaccurate. These findings suggest that the persons communicating with the successful dean candidates are conveying realistic information about the deanship and host organization.

SUMMARY AND DISCUSSION

This study has focused upon recently appointed dean's perceptions about how universities approach the search process for the deanship. This study contributes to our knowledge of deans in general, and the new cadre of academic   leaders   ‡

particular. Thus, in the absence of planned channelling of job information and human talent over many years, which is characteristic of many non-higher education organizations, this research is an effort to make sense of the access and transition processes into the deanship, the principal academic leadership position.

Personal and professional characteristics

An examination of the personal and professional characteristics of the 90 newly appointed deans suggests several conclusions. The new cadre of academic deans is remarkably similar to its predecessors and colleagues who are faculty members. Most are white men in their mid-forties to mid-fifties and are married.

Heterogeneity is reflected in extremely few cases. A handful of men in their thirties and sixties have been selected to head professional schools as have a few women and minority men. However, opportunities for women are generally limited to the traditionally female dominated fields and extremely few minority men, less than 5 percent of the sample, have found portals into the deanship.

Characteristics of the recent deanship appointments

The deans surveyed hold appointments in sixteen undergraduate/graduate professional schools but the majority of the new deans (52.2 percent) are concentrated in the Colleges of Business, Education, and Engineering which are likely to be found at most universities. It would be informative to know whether the large representation among these three professional areas can be attributed to a higher turnover rate among deans of these particular colleges than among deans of other professional schools.

The sizable number of acting deans indicates that the deanship is a transitory position on many campuses. With slightly less than a quarter (23.3 percent) of the sample holding acting appointments for one year of less or until a permanent appointment is made, many professional schools are experiencing high turnover at the top. Moreover, the uncertain nature of the appointment may indicate that the leadership of the unit is in a holding pattern from which few governance and policy changes would be expected. Alternatively, the acting deanship appointment offers an opportunity for the organization and appointee to gather information and scrutinize each other prior to making a commitment. Thus, the acting deanship can be viewed as an in-house intensive management training program centered upon on-the-job experience. Such a thesis is substantiated by the finding that of the 24 insider deans to accept permanent appointments, 25 percent (6) had an acting appointment immediately preceding their current position. Deans coming to permanent positions from outside, however, were much less likely to have moved from an acting appointment (4.0 percent or n = 2).

Especially noteworthy is the finding that these new deans exhibited a job change pattern different from other groups of senior academic administrators recently studied (Moore 1982; Moore and Sagaria, 1981). Contrary to previously identified patterns, members of the present cohort of deans with permanent appointments were likely to come from other institutions (65.7 percent or 46). One explanation may be a need for an external infusion of vitality to stimulate a stationary faculty which would

appear to be corroborated by the three issues the new deans perceive to be most important for them to address in their work: faculty morale, faculty productivity, and faculty development (data not presented here).

Hiring and entry

Personal connections are a significant aspect of the job search and hiring process. The majority (62.5 percent) of the new deans entered the candidate pool for their present position through nominations by colleagues within and outside of the employing institution and by invitation for applications from search committees. Similarly, the vast majority (71.0 percent) of the new deans first learned about the vacancy for their positions through personal networks such as communication with a member of the search committee. The salience of personal contacts suggests that the structure and dynamics of one's network has a major impact upon how a candidate is presented to the search committee and how job information is communicated to a candidate. Some candidates enter the job search process with an identification attached to a particular individual or under someone's sponsorship. However, depending on the reputation of the nominator, this may send a powerful message about a candidate's sphere of influence or pedigree.

Moreover, because personal communication about a position generally conveys more information than a written job announcement, individuals entering the selection process by invitation or in communication with someone familiar with the position and the affiliate institution are likely to have more and perhaps better information than others (Granovetter, 1974). Also, the extensive use of personal contacts for hiring deans

demonstrates the presence and importance of professional subgroup network across institutions. The networks activate the search process by communicating selectively above and beyond the publicly disseminated standard communique. They control the information flow and maintain the search process so that some candidates are more familiar with the position i.e., the largest percentage of the new deans (45.7 percent) reported their involvement in the search was effortless. They did not seek their positions at all instead, "the positions came their way." Equally important the findings raise important questions for future research regarding the nature and conditions under which information is communicated and to whom.

With respect to influencing the conditions for the deanship, the majority of deans actively and successfully shaped their conditions of employment overall. Those who successfully bargained the conditions of their contract tended to negotiate items to help their college. Such issues included increased financial support for their administrative unit, additional faculty positions, or in at least one case, a direct reporting relationship with the president. This suggests a willingness on the part of the organizational negotiator to adjust institutional practices or conditions to "benefit the respective professional school." Moreover, it generated a strong signal that the dean is able to bring about organizational change.

In conclusion, the new cohort of deans possesses many characteristics similar to those of their predecessors and constituents. However, they differ from their counterparts by having crossed more institutional boundaries to obtain their new jobs. Moreover, the deans' experiences,

collectively, illuminate personal connections and communication as instrumental activities for reducing the uncertainty and uneasiness in the search, selection and entry processes. Personal connections enable some candidates to enter the job pool "more equal" than others by virtue of having been invited to apply for a position or having received an important endorsement. Concomitantly, the informal contacts enable an institution to both attract the people who may meet its organizational needs and to control the dissemination and collection of information during the hiring process. Lastly, these findings point to the need for further research concerning the extent to which talented candidates are excluded from the deanship and the degree to which hiring decisions are made before the selection process "officially" begins.

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To The Young Vermouth is a State

Donald G. Smith

The thought first stuck me last summer during a poolside party at our home when I noticed the martinis were moving only with the over-40 crowd. The under-40 group, while imbibing just as freely, seemed to be asking for things with rum and tequila, and the under-30 faction seemed to be exclusively beer people. I asked several of these less-than-middle-aged-drinkers if they ever drank, or had even tasted, a martini, and the answer was preponderantly negative.

With this small sampling as a base I broadened my survey in the following days by taking the question to every young person I met, and was unable to find a martini drinker under the age of 35. Carrying the project to the bartenders whom I am honored to consider my friends, I found that most of them had never thought much about the question but, on reflection, agreed that martini drinking is a middle-aged custom.

The implications of my survey are quite clear. The martini, a rock solid American Institution, is dying. My father's generation considered the preprandial martini a part of living and mine followed suit as though it were a matter of the sun rising in the east. When our friends gather for dinner, the only thing that the host needs to know is gin or vodka / rocks or straight up. With younger people this is no longer true. If they aren't drinking beer before dinner (what a ghastly thought!) they are tanking up on something called Long Island Iced Tea, which seems to be a mixture of various alcoholic beverages and pan cake syrup. I have't sampled this concoction, nor will I, but it is a visual disgrace strongly resembling Ipecac.

The demise of the martini is a sad thing and I hate to see it end with my generation. Not only is a grand old tradition dying, but our society is also losing something of nobility and character. The martini is an honest drink. Tasting exactly like what it is and nothing else. There is no sugar in a martini, no egg whites, no black and white rums, no shaved almonds, no fruit juice, no chocolate, and no spices. A martini is not served up in a pineapple shell nor a piece of rolled up canoe bark, and there are no disgusting pieces of flotsam around the top. It is a clear, clean, cold, pure, honest drink-especially designed for people with established values and a liking for purity, even in their vices.

I regret the slow passing of this old friend from our culture, just as I regretted the seeing of the last Studebaker dealer and the end of single wing football. I don't like knowing that there is something higher than the Empire State Building. Why do good things have to pass away? Tonight I'm going to pour a martini and give this matter a lot of thought.

A Master Course Leadership

BY ROSANNE BADOWSKI

W hat's it like to work for one of the most successful leaders American business has ever seen? As executive assistant to Jack Welch—General Electric's former chairman and CEO—for fifteen years, I can honestly tell you that it's been no picnic. It has, in fact, been a challenge far greater than any I could ever have imagined. But as I look back over the years—the ups and downs, the successes and the failures, the good times and the bad—I can't imagine anyplace I would rather be, nor anyone I would rather work for. As Jack helped push GE's market value from $12 billion when he became CEO in 1981 (I signed on as his executive assistant in 1988) to $600 billion just before the dot-com implosion caused the bottom of the stock market to drop out in 2001, I was there with him just about every step of the way. And let me tell you, it was one exciting ride.

Jack is well known for being a demanding leader; his straight-talking management style is legendary. Whether it was "food fights" and "free for alls" at GE's Corporate Executive Council sessions, or bluntly informing close colleague and rising star (and future chairman and CEO) Jeffrey Immelt that Jack would have to make changes if Jeffrey didn't turn around his lackluster results (he did), or the often pointed "atta boy" and "naughty boy" notes that Jack handwrote and sent to thousands of GE employees around the globe over the years, Jack's ability to get others to focus on what was most important was truly astounding.

Sure, Jack was tough. (*Fortune* magazine in the early '80s named him one of the ten toughest bosses in America.) He expected a lot from himself, and from the people who worked for him. But I was fortunate to see a different side of the man—the human side—and he was no stranger to fairness, compassion, and the kind of leadership that depends on inspiring others rather than threatening. Make no mistake about it: Jack is driven, demanding, and uncompromising in his pursuit of excellence, but he

also knows that people are the true secret of any leader's success, and he has always put people at the very top of his list.

One of the fringe benefits of being just a few steps away from Jack Welch's desk for fifteen years was being in a position to learn many lessons along the way. Not only did I have the opportunity to see Jack Welch in action firsthand, I also spent considerable time working with other leaders in GE. I was able to see how employees and colleagues responded to their different leadership styles, the financial and organizational impact of their approaches to decision making, and who rose up in the organization, and who was shown the door.

Not only that, but as executive assistant to the chairman and CEO of one of the largest companies in the world, I also had more than my share of opportunities to lead within the organization—and I did just that on a daily basis. In the pages that follow, I will describe some of the leadership lessons that I personally learned—both as a leader myself, and as an observer sitting outside the office of one of the strongest leaders the business world has ever seen.

Trust Is the Lifeblood of Leadership

The most important lesson I learned is that in business, trust is *everything*. It's trust that enables managers to delegate responsibility and authority to employees, it's trust that encourages employees to do their very best work, and it's trust that builds long-term relationships between companies and their customers, shareholders, and vendors.

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For Jack, the value of trust was demonstrated when he blew the roof off a GE plastics plant early in his career (literally, when he authorized company scientists in 1963 to test a risky new production technique that required bubbling oxygen through a highly volatile solution—which exploded, taking the plant along with it but fortunately resulting in no serious injuries). To his surprise, his superiors did not lose their trust in him. Sure, they weren't very happy to have a wrecked building on their hands, but they were much more concerned that Jack learn from his mistake rather than breaking the bond of trust by punishing him (or even worse, firing him) for an honest mistake.

To lead effectively, leaders must first gain the trust of their people—and then maintain it. Trust is a two-way street, and there is nothing that destroys trust on the part of employees quicker than a boss who doesn't trust them and who doesn't give them the authority and autonomy they need to get their jobs done. I always found that being up-front, straightforward, and honest was the best approach on the job because I was lucky to have a manager who was forgiving of errors that were honest mistakes—he never held them against me. As a result, I was willing to take risks and to try innovative approaches to improve my work because I knew I would never be penalized for anything if I did it with good intentions. This was just as true for GE's 315,000 other employees as it was for me, and it was a direct result of the culture of innovation and risk taking that Jack Welch supported and promoted at every possible opportunity.

Think about your own employees for a moment. Do you discourage them from taking risks or from coming

up with new approaches to doing their jobs by punishing them when they make honest mistakes? Are you sending a message of trust, or is the message you're sending something else? How long do you think it will take for your people to stop trying if they aren't encouraged and rewarded for their honest efforts?

Four Magic Words: Take Care of It

Effective leaders know that it pays to delegate assignments rather than to bog themselves down with tasks that can be better performed by someone else in the organization. Jack Welch's approach was, "Just have the people who work for me take care of it. Don't come back to me with options, don't come back with alternatives of what would be a better thing to do—just do it." And, you know what? More times than not, the employees made the right decisions, and everything turned out just fine.

General Electric was an organization with minimal centralization and central planning, with a thin layer of simple but sophisticated controls. Instead of being under Jack's constant microscope, GE's major business units only had to plan on preparing for and attending six day-long business reviews a year. The reviews were very detailed—requiring extensive preparation on the part of those involved within each business unit—but, when they were done, they were done. This approach gave the company's leaders the flexibility and autonomy they needed to run their organizations (the plans were for the most part written by the leaders of each business unit) and to be

able to respond to fast-changing market conditions quickly, efficiently, and with a minimum of red tape.

At the heart of these reviews was a dialogue that encouraged participants to ask themselves and their colleagues a few simple questions: What are we doing right? What are we doing wrong? What can we do better? These questions weren't limited to the regular business unit reviews; they were constantly asked throughout the organization, by employees at all levels and in every corner of the company.

"Tell me what you would to do to fix it and just do it."

Jack Welch never tolerated whining or complaints unless you had a couple of suggestions to fix the problem. When he toured a factory floor, for example, he'd walk through and ask employees, "What do you like about your job here?" That's how he would find out what was really going on in the business—by asking people on the shop floor. Invariably, someone would say, "You know, this works really well, but when we manufacture, we have a problem with this. . . . " And Jack would say, "Tell me what you would do to fix it and just do it"—and he meant it.

Consider your own delegation style. When you say, "Take care of it," do you really mean it? Or do you end up sabotaging your employees' efforts by micromanaging their results or failing to give them the authority or autonomy they need to carry out their tasks effectively? How do you monitor progress toward agreed-upon goals, and what do you do when results diverge from expectation? When employees voice complaints, do you take the opportunity to empower them by re-

quiring them to bring forward suggested solutions along with their problems?

Reward Your Stars

Early in his career at GE, Jack Welch was ready to leave the company—he had in fact already given notice and his going-away party had been scheduled. Why did he decide to leave? Because he thought he had done a fabulous job during the preceding year—head and shoulders above his engineer peers—and then his boss decided to reward the team by giving all four engineers in the department, including Jack, the exact same raise.

Jack *knew* he had performed best out of the four, so being treated the same as his lower-performing colleagues was discouraging to him and it was a lesson he learned early and carried on with him. From that day forward, he knew exactly what happens to a star's motivation when the reward is the same as that of someone who performs at a lower level—and he resolved that he would never do the same.

Jack's tool for separating the stars from the rest of the pack was what he called the "vitality curve," a bell curve that classified each and every General Electric employee in one of three categories: the top 20 percent (the company's very best performers), the vital 70 percent (the midrange workers that the company depended on to get the majority of its work done, and who showed promise of doing even better work with continued development), and the bottom 10 percent (the employees who were poor performers and who were considered unlikely to improve).

What are we doing right? What are we doing wrong? What can we do better?

Instead of treating the employees within these three groups equally—providing them with the same rewards and opportunities for advancement—Jack's idea was to motivate them in very different ways. Employees in the top 20 percent were showered with rewards—cash bonuses, stock options, and more—and were given the best opportunities for promotion and training. Employees in the vital 70 percent were encouraged to improve their performance and to take advantage of opportunities to learn and to grow. Finally, anyone who fell into the bottom 10 percent group was told exactly where they stood. In most cases, that was enough for them to leave on their own. No one wants to be in an organization where they are not well thought of. Very few had to be asked to leave, and they had time to try and find something better.

What happened to managers who did not or would not apply the vitality curve to their employees? They soon found themselves in the bottom 10 percent.

In this way, General Electric's workforce was continually upgraded. There was no room for complacency or for "good enough." Employees were under constant pressure to improve and to become ever more effective and efficient. Those who did were richly rewarded. Those who didn't went elsewhere. And as our workforce performed better, so did the company.

Assign Extra Homework

While General Electric under Jack Welch's tenure experienced truly incredible growth and success, the road was not without its bumps along the way. On

many occasions, different operations or business units fell off target or failed to meet their goals. When Jack sensed that trouble was on the way, he took a personal interest in helping to turn the situation around and to get the unit performing back up to its full potential, and he would do this by assigning extra homework.

Assigning extra homework meant that Jack would become coach and mentor to the leaders of the organization that needed help. Rather than micromanaging the operation or performing a knee-jerk reorganization, he would help his managers find their way through their problems, building their self-confidence and skills along the way. But one thing was certain, when an organization found itself on Jack's radar screen, its people could be sure that they would not slip off until things had turned around.

When an organization caught Jack's attention, he would employ a wide array of tactics to both fact find and help the organization's leaders find their way out of their problem. These tactics included making personal visits and asking lots of questions by way of phone calls, e-mails, and faxes. Jack often phrased his suggestions and advice in the form of a question, such as "Do you think this is really the right course of action?" When a manager read a question like this, he knew that he would be wise to start rethinking.

Next, Jack would encourage his leaders to set goals and to develop a plan to achieve them. Once he had the goals and plan in hand, he would then require the unit's managers to report back to him every Friday with their progress in meeting their goals. You can bet that knowing that they would have to present a weekly progress

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> *When an organization found itself on Jack's radar screen, it would not slip off until things had turned around.*
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report to the company chairman went a long way to focus the efforts of the errant unit's management team and to encourage them to get off of Jack's radar screen as soon as they could.

The good news is that this extra homework really did motivate people to step up their game. In the early '90s, Jack began to hear complaints from customers about the company's underperforming CT scanner tubes. While GE's tubes were only good for approximately 25,000 hours of use, the competition's were good for 50,000 hours or more. To address the problem, Jack gave an extra homework assignment to Marc Onetto, general manager for service and maintenance in Europe. The assignment? In Jack's words, "Fix it—I want 100,000 hours out of one tube!"

For four years, Jack required Marc to submit weekly reports on his progress toward meeting the goal of 100,000 hours. Sometimes, the feedback from Jack was encouraging, particularly when he praised Marc's team for their progress. And sometimes the feedback refocused their efforts, like the time when the note from Jack to Marc (who is a Frenchman) read, "Too slow, too French, move faster or else."

But, after five years on the project, Marc's team didn't just meet Jack's goal of 100,000 hours, it exceeded it, producing tubes that lasted more than 200,000 hours. Said Marc about the experience, "I was just running a little business here, about $450 million in revenues, and I was so amazed that he could find the time to read my reports and then even send me back notes."

Jack did and, like a strict but supportive teacher, he helped an underachieving business find its full potential. It took five years of hard work, but Jack stuck with it. He wasn't interested in quick fixes. And he stuck with Marc because he trusted him.

As a leader, what do you do when you discover an underperforming business unit within your organization? Do you take the time to work with the organization's leaders to help them find a pathway out of their problems—coaching and guiding them along the way—or are so busy that you don't turn your attention to the organization until it's too late? Do you go for a quick fix or do you have the patience and perseverance to do the hard work of real change? And after goals have been set and plans made, do you regularly review progress toward their completion and meet with those who are responsible for achieving them?

Lack of Laughter Is a Sign of Trouble

Most working adults spend about two-thirds of their waking lives either at work, getting ready for work, commuting back and forth, or unwinding from a hard day's efforts on the job. If going to work is drudgery and you're not having fun there, you won't have the incentive to want to give it your all.

We often did things to keep the atmosphere in the office of the CEO light-hearted and informal. A joke or silly moment was all it took to let visitors know that having a little fun didn't take away from doing serious business. It was a maxim that a lack of laughter is a sign of a business that is in trouble, headed for trouble, or deserves to be in trouble.

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Jack wasn't interested in quick fixes.

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One of the ways that Jack Welch had fun at work was by celebrating his employees' successes. Most often he did this by writing them personal notes congratulating them for achieving a key goal, or just for being a great employee. And these notes didn't just go to his direct reports at corporate headquarters; they could just as easily find their way to the desks of hourly workers many time zones away. While more than a few of the personal notes that he wrote with his black marker pen (and he wrote hundreds each year, faxed, mailed, and hand-delivered all around the world) were written to challenge or to spur on an employee who might be falling behind a goal, many were written to let employees know that he appreciated what they did for the company.

And to this day, if you take a walk around any of the many GE facilities—offices, factories, warehouses, maintenance shops, and other buildings—around the world, you'll find these notes framed, posted, and proudly displayed by the employees who received them. And, yes, Jack personally signed each and every one of them.

As I consider the many lessons that I've learned over the years, it comes to mind that two things above all make a great leader: Whatever work a leader does, it has to be done with energy and it has to be done with passion. And if there are two things that Jack Welch has, it is energy and passion. It's something I have shared with Jack since my very first day at General Electric, and it's something I share with him still today. Because, if there's one lesson I have learned above all, it's that with energy and passion, a leader can accomplish *anything*. ■

When Ideas Lead, People Follow

Sander A. Flaum

Great leaders understand that ideas rule when ideas are large enough for people to make them their own. The thing that makes people great is not their birthright or pedigree but the scope of their ideas. We wouldn't know the name "Mary Kay Ashe" if it weren't for the scope of her idea. The empire of "Mary Kay" is bigger than Ashe herself. Her idea produced a revolution in all areas of sales. The idea of "evangelical feeling"— of finding people who use and believe in the product to then go out and sell the product— now seems like common sense. But before Mary Kay Ashe put the idea into widespread execution, no one did it. Great ideas outlive their originators and take on new and more glorious forms than their creator could have imagined. Great leaders are individuals with the passion and perspective to champion great ideas and move them forward to application. When the society integrates a new idea into its daily routine, the world changes. This shift in perspective brings about a range of effects that the original idea leader might never have predicted.

Henry Ford's ability to mold his ideas of manufacturing into the pragmatic application of an assembly line changed the life of a nation. Martin Luther King Jr.'s ideas on how to rally a nation toward equality changed us more deeply still. Ford's affordable automobile got people off the back of a horse and into the gas-powered automobile. King's principles brought people from the disenfranchised back of the bus up to that great American symbol of freedom, the Lincoln Memorial. These ideas took on new lives under the reins of leaders who possessed the integrity and credibility to bring them to the masses. Henry Ford didn't build the latest Mustang, but his idea made it possible.

What these leaders share in common is they get out of the way of a great idea and allow it to lead them rather than vice versa. They don't hold back ideas with the weight of their own egos and predilections. They set them free so that others may find their creativity, hope, and life's work within them. An idea shared becomes a movement toward inevitable progress. An idea hoarded becomes filled with the stain of personal ambition and idiosyncratic desire. Excellent leaders know that a great idea is a gift to be embraced. For ideas to be transformed into tangible results, open cooperation and collaboration is necessary. Broad-thinking leaders do not get caught in the web of seeking recognition; they spend their time on mobilizing talented people to translate ideas into fruitful outcomes for the benefit of others.

Nine Points That Connect a Leader's Life

To be the kind of leader that lets an idea lead takes enormous effort. It requires knowledge of things that are not innate, but are learned over time. I call this knowledge the nine points of connection, or nine P's for short: Principles, Purpose,

People, Passion, Performance, Persistence, Perspective, Paranoia, and Practice. To lead through ideas these nine points are essential. What follows are some contemporary examples of leaders of today and people who are part of the Fordham Leadership Forum who exemplify at least one of these nine points.

Principles

Randy Thurman, former chairman of the board of Enzon Pharmaceuticals, stresses that leadership

terms of expecting high levels of performance and results from the people that work around them, but they're always fair in judging people. One of the things that I think most undermines a person's ability to be perceived as a leader is when he is inconsistent in how he assesses people who work for him. Consistency is a big part of leadership." Randy was insistent on this point with me: being a leader is being a model of fairness as much as it is being a model of achievement. In his view, without fairness, achievement is voided. The con-

possibly have imagined. After a thorough analysis, Fiorina saw that the potential for her new company's long-term growth lay in merging with long-time competitor Compaq. Opposed by many, Fiorina pursued the deal with single-minded vigilance because she believed it would fulfill the purpose of making HP the dominant global market player. She was right. It turned out her idea was bigger than she was, bigger than anything personal. It was about what was good for the long-term success of HP. The idea took root, became a reality, and changed the shape of her industry. Lesson: just because an idea is ruled out by the traditionalists of the company as "out of bounds," that doesn't mean it shouldn't be pursued.

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Letting an idea lead takes enormous effort.

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must be value-centered. The values he refers to are integrity and credibility. To be credible as a leader you must be 100 percent committed to the job at hand. Randy puts it simply: "If you get yourself into a situation and you don't feel a high sense of personal commitment, you're probably in the wrong kind of situation for yourself and you need to move on." There is no credibility without commitment, and if you, as the leader, are not committed to the idea, why should your people be? Randy equates integrity with fairness. "Good leaders are tough in

nection point of Principles is first on my list. Without it, no matter how great the idea, all is lost. If you have been watching the news lately, you know exactly what I mean.

Purpose

Carly Fiorina has been called the country's best-known female chief executive officer. From the outset, when Fiorina took over Hewlett-Packard as CEO in 1999, she made her purpose clear. It was a vision broader than any of the traditionalist directors who hired her could

Idea leaders like Carly Fiorina envision what can work and make it come to pass. New ideas are bigger than the prejudices and preconceptions of company traditions. As that great individualist American philosopher Henry David Thoreau said, "It is never too late to give up your prejudices." When it comes to doing business in the fast pace of the global economy, where industries that were once competitors now merge to find greater economies of scale, this statement has never been truer. Great leaders have no prejudices—whatever will solve the problem and make the

situation better is on the table. Idea leaders embrace a new idea even when it moves them into territory that was previously unexplored.

People

Faith Popcorn's company, Brain-Reserve, has to "Sell the Invisible," as author-consultant Harry Beckwith would say. A tangible product is not offered. What is offered is an idea of what the future may look like and how a company can best prepare to effectively meet that future. Fortune 500 companies must believe in BrainReserve's analysis of marketing trends for that company to stay in business. BrainReserve has been in business for over 30 years and its principal is the most successful and most respected marketing futurist in the world. How does she do it? By hiring the most talented people she can find who are committed to the idea, above all.

There is no hierarchy of ideas at BrainReserve, getting to the best one is the only value. The company's employees read a combined 500 publications per month, and they are constantly engaged in market research, continually interviewing experts, searching the Internet, listening to new music—you name it, they are doing it, to check the pulse of the culture and to best predict where it is heading. They love to discover new ideas, new patterns, and when it all comes together, new trends. Fortune 500 companies are willing to pay well for this information. Being first is everything in this economy, and Popcorn's BrainReserve helps companies to be in the lead when it comes to responding to the latest consumer trend. Great leaders follow great ideas, and Popcorn's company is a prime example of a group working diligently to discover the next big idea.

Passion

"The ability to get people to think passionately and do things as if they own the business can only be achieved when they are truly part of the business," says Howard Schultz, long-time chairman and CEO of Starbucks. Schultz built Starbucks with a passion for values as well as coffee. He is passionate about his people being passionate. This is key for idea leaders. He knows that passion only transfers from employer to employee when the employee feels a sense of autonomy, belonging, and appreciation. Someone who feels insecure about their paycheck or health benefits does not have the energy or focus to be passionate on the job—too many outstanding basic life needs have not been met by the employer.

This is why Schultz made the decision early in his career to provide all his employees with health benefits, stock options, and a retirement plan—even the part-timers. It was a bold move that wound up saving the company money. Schultz's employee attrition rate is only 60 percent. The national average for retailers like Starbucks is 250 percent. Employees working for Schultz can feel secure in their relationship to the company and can feel good about passionately executing its values. The employees experience being a part of something bigger because they are val-

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Great leaders have no prejudices.

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ued not with lip service but with compensation. Passion can come only after the basic need for security is met. Schultz, who grew up impoverished, knows this well and promised himself he would never forget those beginnings. He is overwhelmingly passionate about his people, and they repay him by being passionately committed to the Starbucks values. And for a company that began under Schultz in

1988 with 100 employees and 11 stores and has grown to more than 2,000 stores with more than 30,000 employees, this truth could not be any more evident.

Performance

The best-known school of philosophy founded on American soil early in the 20th century is called *pragmatism*. Its founder was John Dewey, famous for his treatises on education. Pragmatism was distinctly American because Dewey claimed that there were no absolutes. He said that for an idea to be worthy, it must have what he called "cash value." In other words, for an idea to pass muster it must prove itself in the real world. The idea must perform well in practice, not just theory. It is not enough to love your idea; a great leader is prepared to throw it out if it doesn't have "cash value" in the real-world marketplace of performance.

Eugene Melnyk, chair and CEO of Biovail, the largest pharmaceutical company in Canada, epitomizes performance. Melnyk is 43, has no college education, and worked his way up in the medical publishing business. When he ran Trimmel Publishing, he grew that company beyond anyone's expectation; by the time he sold, it was publishing more than 40 medical journals. Was he simply a publisher

of ideas? Not Melnyk. He was also a student of them. He made sure he read every single publication before it went to press. Through his persistent study, he found the vision to start up his own company based on the latest pharmacological delivery technology.

For Melnyk, like Dewey, the key was "cash value"—how could these ideas perform in the real (read: competitive) world of Big Pharmaceuticals? His goal was simple: grow the company 30 percent per year for five years straight. How does he make that happen in today's economy? He surrounds himself with the smartest people he can find, rewards them handsomely for their work, maintains his vision with devotional resolve, and keeps performance as the only true measure of the company's actualization. His big idea for Biovail, born out of his research of lots of small ideas at Trimmel, has never lost steam because its leader believes in the idea's power to perform.

Persistence

If you truly believe in it, only give up on an idea when you are absolutely sure you have tried everything to make it perform effectively. What has become the universal symbol for an idea did not come as easily as the flick of a switch. Thomas Edison failed 2,000 times before he found

the right filament to make his light bulb work. His undying belief in his idea brought us out of the dark. If he had abandoned his passion at 1,999 tries, most of us would barely know his name.

Bob Tillman, CEO of Lowe's, found his idea in considering women—literally. Acknowledging women as the heart of his business has helped him to craft a store that has a different aesthetic from Home Depot and has allowed Lowe's to thrive in an incredibly competitive market. Persistence doesn't have to mean banging your head against the wall. It can simply mean persisting until the right idea is found and once discovered, mastered. "We learned that the most discriminating shoppers are female. We knew that if we could win over the loyalty of the female shopper, men would follow." Lowe's could have tried everything in its power to stay ahead of Home Depot, and it did, but it is because Tillman persisted long enough to stake out a unique position and then master that position that the company began to thrive.

Perspective

A former police and fire commissioner of New York City, Howard Safir, told me one of the most compelling stories about perspective I have ever heard: When he was fire commissioner a terrible fire

occurred downtown, and three fire-fighters were injured. One died instantly, one ended up in the hospital and died later that night, and the other died 40 days later from the severity of his burns.

The night of the fire, Safir was in the hospital with NYC Mayor Rudolph Giuliani. Giuliani turned to Safir and said, "What do you need to stop this from happening?" Safir said he needed $12

Be radical as well as thoughtful.

million dollars worth of bunker gear. Without hesitating, Giuliani said, "Go buy it." But the mayor didn't stop there. He called the head of the budget office at 3 A.M. to come down to New York Hospital to look at the dying men. He said to the budget director, "For $12 million we can prevent this from happening in the future." The bunker gear was purchased immediately and as a result, burns to firefighters in New York City dropped by over 90 percent. Perspective often requires a leader to be radical as well as thoughtful. It enables leaders to avoid losing touch with the real circumstances that affect their people and their company.

Paranoia

Forbes named Harley-Davidson company of the year for 2001. When most companies were lucky to sustain profits that year, Harley's sales shot up 15 percent, earnings grew 26 percent, and shares were up 40 percent—and that's while the S&P dropped 15 percent.

Since the motorcycle legend went public in 1986, its shares rose·15,000 percent. That's more than twice as much as Intel and fifteen times as much as GE. How do they do it?

Chief executive Jeffrey Bleustein says, "We have to pretend ten fiery demons are chasing us at all times." Bleustein constantly warns employees of his twin fears: arrogance and complacency.

The global market is fast, furious, and unforgiving. Not being paranoid about protecting and nurturing your idea is akin to giving it away in today's market. Executing your idea first, before your competitor gets it to market, is crucial. Great ideas have their window. Coke was a great idea. Kleenex

was a great idea. A-1 was a great idea. Any other soft drink, tissue, or steak sauce could never match the front-runners. Once an idea is branded, all latecomers are perceived as copycats who will always be running a race to catch up. Great leaders do not let a great idea sit on the drawing board for long . . . they act *now!* These leaders love and believe in their ideas enough to know that if they don't find the means to execute them, their competitors certainly will. Great idea leaders are paranoid. They know their ideas are diamonds and they race to cash them in before the jewel thieves (competitors) steal them.

Practice

Michael Jordan logged more practice hours than any NBA player in history, John F. Kennedy rehearsed his inaugural address more times than any president before or since, and Mahatma Gandhi diligently worked on a daily basis to realize the principles of *ahimsa* (nonviolence) in his own life. Why? These leaders understood that practice breeds greatness. We human beings have ideas of perfection, but we can never execute perfection 100 percent, though we may come close. Jordan came close to perfection in many a championship game, Kennedy nearly had it in "ask not what your country . . . ," and Gandhi's name is

synonymous with nonviolent resistance to unjust political oppression. But if you asked them, they'd find fault with themselves. We might not have been able to see it right off, but

points that connect a leader's life must be lived as one. How is it done? By doing! Leaders willing to follow an idea all the way to fruition will have their work cut

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For great leaders, the idea of perfection is always out there a step ahead, leading them on.

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they would. For the great ones, the idea of perfection is always out there a step ahead, leading them on. They never quite catch it, but they give it every bit of effort they have. This P has no secret and no special exemplar. All great leaders put the hours in and practice all the time. If they don't, they are not around as leaders for long, and we'd have nothing to learn from them.

out for them. The leader of today must live the nine points simultaneously—must keep them all in balance. To do this takes the effort of a lifetime.

Last Word

The P's are not new. They are perennial characteristics. Churchill had them, as surely as Jack Welch does. Today's leader must make the concentrated effort to keep all of the P's in as perfect a balance as possible. Too much focus on Performance without Principles and you get Enron, Tyco, and the others. Too much focus on Paranoia and you would never have the brilliant HP/Compaq merger. The nine

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Successful administration is marked by curiosity, imagination and the love of experimentation. The life of an academic administrator is marked by teaching and scholarship not bureaucratic mastery. It is the determination to maintain a refreshing perspective and an optimistic perspective that best asserts the importance of the leadership role. The administrative role demands the willingness by those in leadership positions to adjust to every situation. It requires the openness to good ideas from many sources and it requires the willingness to try and try again.

Lessons from Reflective Administration

Closing Thoughts

Closing Thoughts

Just after I was appointed to my present position a Harvard alumnus asked me to spend a bit of time talking to an elderly gentleman of his acquaintance. Apparently this gentleman had acquired a reputation in business circles for being unusually wise in the ways of large organizations and how they could be governed effectively. By now the details of our conversation have grown dim in my mind – except for one unforgettable observation. "Remember this," said my venerable adviser: "your most creative ideas about the future will come in the next few months before you take office and get embroiled in your official duties." (Derek Bok)

You must find ways to disconnect to remain relevant and fresh with ideas. You must make reflection a priority. (Malecha)

Workshop Agenda:
Making Reflection a Priority
Imagination, Dreams and the Shining City on the Hill
Continual Recommitment
A Sense of Joy and a Sense of Accomplishment

Relevant Articles:
The Reflective Administrator is a Multiplier
Marvin J. Malecha
What Your Team Wants Most from You
Robert A. Sevier
Ruminations on University Presidency
A. Bartlet Giamatti

APPOINT YOURSELF

▶ CHIEF
FREEDOM
OFFICER.

The Reflective Administrator is a Multiplier

Marvin J. Malecha

Each day of academic leadership is a day of learning. Every day begins with a new turn and new challenges. Even after more than twenty years of experience the learning curve remains steep. This has the effect of continual renewal and association with incredibly bright people as well as the disappointment that accompanies uninspired or disruptive behavior by even the most senior professor. Yet the aspect of the position that is most moving is the opportunity to celebrate and enhance the careers of others. It is the ability to make connections among people, opportunities, and ideas. It is a life filled with the opportunity to make a difference in the lives of others. It is a life that connects dreams with outcomes. It is the role of the den to connect the incredible abilities of an academic community with the needs of the university, the profession and society. It is the dean who carries this message to individuals who might otherwise be consumed by personal interests and talents. The academic leader is a multiplier of talent and resources. It is this ability that separates success from failure. It is this ability that is the best demonstration of the value of an academic experience.

The articulation of ideas is everything. The academic leader is expected to articulate a clear belief system that is founded on fairness and open to scrutiny. Everyone in an academic community must know what the dean/director/chair believes. This belief system provides the foundation for the many complex interactions required of an academic leader.

The ability to form a shared vision is powerful. The fostering of a shared vision is among the most important responsibilities of an academic leader. The fostering of shared interests is dependent on the ability of an individual who leads the community to formulate goals and objectives that will focus resources and energy. It is the ability to listen that begins the process of assimilation necessary to evolve a shared vision.

Rejoicing in the accomplishments of others is taking joy from tedium. The academic leadership position is founded on the delight in the accomplishment of others. Commencement is the most visible symbol of this celebration. A successful leader takes pride in facilitating the success of others. This may require both gentle and forceful interventions to stimulate this success. An academic leader sets the stage for the success of faculty, staff and students.

The ability to manage assets is the foundation of trust. The role of an academic leader begins with the ability to manage every form of assets. The credibility of leadership is founded on fiduciary responsibilities. This seemingly least important aspect of the higher calling of leadership has been the undoing of many brilliant individuals. Begin here as the benchmark and proceed on to the higher calling but never neglect this responsibility. Balance the budget each and every year unless directives are presented otherwise in writing by the provost or chancellor. Of course there are many other forms of assets including facilities and people that must be managed with the greatest care.

Attention to detail is attention to what matters most to people. If an individual is to lead details must not be delegated. It is through the details of budget and assignments that a leader builds confidence. The academic leader must never delegate details at the expense of knowing the issues of the program in the greatest intimacy.

Maintaining the posture of a teacher to build credence as an academic leader. The academic leader is first a teacher and then an administrator. The effective administrator and academic leader is a teacher of teachers, support staff and students. It is the responsibility of the academic leader to guide the processes and vision of a program in much the same way a studio master guides students through a complex design program. The clarity of the message must be communicated in a manner that promotes the discourse within the academic community.

Academic leadership is personal. Academic leadership requires a personal commitment to the position. It demands that a life of the mind be joined to a life of action. This demands of the individual that is at peace in his or her personal life. It is essential that an individual who aspires to leadership never make decisions in an atmosphere unbalanced by the need for revenge or to exact just desert. This personal commitment to leadership must be matched by unbridled enthusiasm for the position and for the community associated with the program. It is a fact of leadership that important moments are generally those times when the rules must be suspended or exceptions to the rules invoked. An academic leader is chosen after all for his or her ability to make reasoned and humane judgements on the margins of the life of a community.

WHAT YOUR TEAM WANTS MOST FROM YOU

With all the pressure to create more effective teams, I wanted to spend just a minute on a roundup of what team members expect most from their leader. The research, presented in the August 2003 issue of Team Management Briefings examined 11 leadership characteristics and asked people to rank them in order of importance:

- Competent
- Forward-looking
- Inspiring
- Intelligent
- Fair-minded
- Broad-minded
- Courageous
- Honest
- Straightforward
- Imaginative
- Dependable

Guess which characteristics ranked first: If you chose "honest" you nailed it. When asked to name three characteristics they valued from their leaders, team members chose:

- Telling the truth
- Knowing the business
- Anticipating change

We also discovered that effective leaders:

- Stand by their team
- Cultivate relationships
- Acknowledge jobs well done
- Think and talk in terms of "we"
- Kill the grapevine
- Go slow to go fast (take the time to make sure people understand the "why" before you move ahead)
- Use humor on a daily basis
- Fix problems as they occur and don't let them accumulate
- Stick to things that work
- Are more visible and available

Lessons from Reflective Administration   2

⇥ Ruminations on University Presidency ⇤

*B*eing president of a university is no way for an adult to make a living. Which is why so few adults actually attempt to do it. It is to hold a mid-nineteenth-century ecclesiastical position on top of a late-twentieth-century corporation. But there are those lucid moments, those crystalline experiences, those Joycean epiphanies, that reveal the numinous beyond and lay bare the essence of it all. I have had those moments. They were all moments of profound and brilliant failure—but string those glistening moments of defeat into a strand and you have the pearls of an administrative career.

In the six months between being named president of Yale University in December of 1977 and taking office in July of 1978, I had ample opportunity to receive advice. I listened to many people. I learned about the corporate world. I learned that because the corporate world is interested only in quarterly results, it talks a great deal about long-range planning. It was clear to me that Yale needed

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some of that, too. We needed a corporate strategy; we needed a policy. I, of course, had no policies. I had a mortgage and one suit, but no policies. I cast about. I solicited data and forecasts and projections and models. I did comparative studies, longitudinal studies; I made a flowchart and convened a task force. I hired and fired management consultants. I went in search of a policy. What was it that Yale needed most, wanted most, and would most contribute to solving our deficit, enhancing our quality, and making me a Manager?

One night in early April 1978, crouched in my garage, as I was trying to memorize the Trustees' names, particularly the ones I had met, it came to me, and I wrote, right there, between the lawnmower and the snow tires, a memo. On July 1, 1978, my first day in office, I issued this memo to an absent and indifferent University. It read,

To the members of the University Community:

In order to repair what Milton called the ruin of our grand parents, I wish to announce that henceforth, as a matter of University policy, evil is abolished and paradise is restored.

I trust all of us will do whatever possible to achieve this policy objective.

The reaction was quite something.

Four young members of the faculty in Comparative Literature wrote an open letter to the *New York Review of Books* proving that Milton was talking not about evil in *Paradise Lost* but about irony and the patriarchal abuse of power. A junior in Yale College, spending the summer doing a leveraged buyout of a Tastee-Freez in Easthampton,

wrote me a gracious letter. She recognized the pressure one was under to have a business plan, but she hoped that I would wait until she had graduated before changing things very much. An alumnus in New York, on Yale Club stationery, wondered why the hell we always had to get so far out in front.

In September, the *Yale Daily News* wrote the first editorial about my memo. Its opening sentences were these:

Giamatti's administration is off to a miserable start. Rather than giving us control over our lives, or at least addressing concerns of students such as the crying need for a student center so we can make friends or any of the myriad of other injustices that riddle the fabric of the quality of life here, the new administration is insensitive and repressive and the future bodes aweful.

Though one of the best-written of the *News* editorials, it was, be fair, also the first.

Since the students were back and the *Daily News* was publishing, the major media outlets now had a source for news. Student stringers went to work, and my memo achieved National Visibility. In a small article bylined "Special to The New York Times," the country's newspaper of record misspelled my name and said a Harvard professor had found a letter from Milton to his parents in the Yale Library. The *Washington Post* ran a picture of the memo in the Style section and wrote a sidebar in a box, quoting an FDA lawyer as asserting that evil had been abolished three years earlier, that the regulations had been printed in the *Federal Register*, and that nobody he knew believed evil was bad for you in any case. The *Wall Street Journal*

reception desks piled high with brochures for bus tours of Arlington. On the wall is a framed poster of the last major Arts Festival held in the district—on August 17, 1937. There are two chairs, a table with copies of the *Machinists International Newsletter* and *Collier's*, and a telephone that cannot call anything. There is no ashtray.

The first receptionist is reading her high school yearbook and drinking a Diet Sprite, so I approach the other receptionist, who is less busy.

"Mr. Giamatti to see the Congressman, please," I say. She is wearing a button that says *I am a Phlangist*. She looks up and says, "He's either in the District or on the floor. They're not sure."

I sit in the corner by the phone. Suddenly the inner door opens and a middle-aged person with eyeglasses hung on a green cord around her neck and carrying an appointment book, a clipboard, a stack of letters, a cup of coffee, and a Snoopy lunch box comes up to me, says, "He'll see you now, please follow me," and takes me out the door, down the hall to the right, and through the first door we come to. We go past a word processor on an empty desk, down a short corridor filled with overflowing wastebaskets, then a sharp right, past a young man methodically shredding what looks like mail, and into the Congressman's office.

The Congressman is reading behind a huge desk, surrounded by plaques, awards, trophies, pictures, laminated scrolls, and autographed footballs. There are four easy chairs, a chocolate-colored wastebasket, an American flag, and a mother-of-pearl paperweight the size of a softball with *Republic of China* in blue letters across the base.

"Doctor, how are you. It's a pleasure. Please sit down."

wrote a pithy editorial pointing out that fat, liberal, effete, Marxist-oriented Eastern universities, and Stanford, too, were all in a plot to undermine the Republic, free enterprise, and greenmail as we know it today. "What we need," said the *Journal*, "is not more talk about evil, but some decent courses in risk arbitrage." George Will wrote a column citing Montesquieu, Thomas Aquinas, Locke, and Ernie Banks; William Buckley said Milton is "all very well, but it is typical of president Giamatti and his ilk to cite a secular authority on evil as if, of course, those who have passed any time down in the agora or out on the Rialto needed an authority to know the palpability of evil in all its camaraderie and liberal camouflages." In the *New Yorker's* Talk of the Town, there was a long account about the birthday party given in a secret, nuclear-free place for Daniel Berrigan by David Dellinger; the correspondent noted in passing the nonexistence of evil in New Haven, but added that all at the party agreed that when *they* awoke that morning on Central Park West, there was certainly evil still rampant everywhere *they* could see, and their doormen had confirmed it when asked.

As you know, a university president has responsibility not only for the internal workings of the institution but also for external representation and relations as well. Of all the moments I remember—speaking to alumni, visiting foundations and corporations, mayors and governors and private individuals; going to high schools and boardrooms and newspapers and dinners and receptions—the moment I remember best is the morning I saw Congressman Phlange, from the third district of a state we will call Grace.

The Congressman's office is a series of dark paneled warrens, each leading to the other. As I enter, I see two

Can we get you some coffee. What brings you to Washington." He has not yet looked up. "I'd like to get a picture of us together. I'll find the photographer." And suddenly he is gone, vanished out the door.

Then he is back, with a wizened photographer whose complexion reminds me of a legal pad. And a tall, slim woman, about thirty, her dark hair pulled back in a bun. "Doctor, this is Ms. Incomparable Worth, my legislative assistant for education. She'll sit in. Now, if you'll stand here, Doctor, we'll get a picture. I'll want several so you can write on one and I can write on one. There." A flash has gone off. The photographer leaves.

Ms. Worth speaks. "We think the NIH cuts should go through. We're not impressed with your fatuous argument that we can't change the rules halfway through the game. We believe student aid benefits only the rich and the poor; rather than stopping abuse, we'd rather do away with everything. We are for cutting out charitable deductions, for instituting the 2 percent floor, and for forbidding gifts of appreciated assets. We do not believe in a federal science facilities fund or in the nonprofit postal subsidy; we think it would be the height of fraud and abuse to fund the Humanities. We intend to uncap retirement, cap technology transfer, cut the NEA and NSF, get rid of the Library of Congress, and slash the Health Manpower Act. We want to get this country moving again."

The Congressman beams. "Doctor, let me tell you it is an honor having you here. We have a college in the district; they do a wonderful job. Education is a wonderful thing. Made the country what it is today. Look what we've got— a huge deficit, unbalanced trade, weak dollar, corruption

in church and state—separated, of course. Anything I can do, tell me. Great to see you."

I went back, past the young man, shredding, past the wastebaskets, past the silent word processor, into the hall. Though I had not said a word, I had done what I came to do. I had had my picture taken, seen a staffer, met a congressman, heard all the issues touched definitively. Our system is working. The visit remains in the mind as a pearl.

There is only one other moment that stands out: a brief, but glistening, half hour, not long before I left, with a university-wide, community-based, self-selected group called the Standing Committee on Special Interests. This committee is the special-interest group that convenes to pursue a special interest if there is no preexistent special-interest group empowered to pursue that special interest. It monitors public utterances to see who might be offended, and then it takes offense if no one else has the time or inclination; it watches power structures; it petitions for redress; it rallies, gathers, assembles, queries, blockades, and even assaults sincerely in good causes. It is an extraordinarily hardworking group, never at rest, always vigilant. Recently, the Standing Committee had taken up the cause of the inequality of income distribution in North America, the preservation of all stained-glass windows at Yale, women's volleyball, structural unemployment in the Northeast, word processing terminals in the Law School, and World Hunger.

I was summoned to meet the Standing Committee. I said I would meet them in the Trustee Room, near where I had my office. They said they were not sure they could all fit in the room. I said they could send delegates; they

said they did not trust each other enough to delegate any of their number. I said it was up to them. They canceled. Some clergy in town petitioned on their behalf. We agreed to meet. When they finally arrived, there were only seven of them. I asked what I could do. A long silence. "What is the issue?" I was baffled. Finally, the spokesperson said, "We are sorry to come to you like this, but we are very deeply concerned that no one in the administration is paying any attention to the most pressing problem of our time. The problem of evil and the restoration of Paradise." "But," I said, "we tried to solve that. I sent a memo on that years ago." "We weren't here years ago," said the spokesperson. "We are here now. What can we do to make it better?" We talked long into the night.

In some ways, this conversation and my parodies of all the others are variations upon that serious and splendid conversation that is any great college or university, anywhere in the country. The university today is very different from the one twenty-five years ago, or fifty or one hundred or two hundred and fifty years ago, and yet it is not different. It is still a constant conversation between young and old, between students, among faculty; between faculty and students; a conversation between past and present, a conversation between the culture has with itself, on behalf of the country. The university lives through all its voices—and the conversation does not stop there, nor does our conversation with what we took away stop.

Perhaps it is the sound of all those voices, over centuries overlapping, giving and taking, that is finally the music of civilization, the sound of human beings shaping and sharing, mooring ideals to reality, making the world, for

all its pain, work. The university is the place where the seeds of speech first grow and where most of us first began to find a voice. It is neither a paradise nor the worst spot we have ever been in; it is a good place that continues to want to make her children better.

Its essence is that give-and-take, that civil conversation in its innumerable forms. When that conversation, the to-and-fro of ideas, is stymied or foreclosed or frozen, when the questing for truth is told that it must cease because there is only one Truth and it is Complete, then the institution in its essence is chilled and its life threatened. Of all the threats to the institution, the most dangerous come from within. Not the least among them is the smugness that believes the institution's value is so self-evident that it no longer needs explication, its mission so manifest that it no longer requires definition and articulation.

Without constant attempts to redefine and reassert publicly their nature and purpose, universities become frozen in internal mythology, in a complacement self-perpetuation. Universities are profoundly conservative institutions, meant to transmit the past, built to remember (despite a tendency within themselves to amnesia). When they are not challenged within themselves to justify themselves, to themselves as well as to the society they serve; when they are not held accountable by themselves and are not constantly urged to examine their presuppositions, their processes and acts, they stiffen up and lose their evolving complementarity to other American institutions.

I believe, for reasons set forth in this volume, that since the end of World War II and the Korean War, America's colleges and universities have failed in these terms. They have failed to reexamine their norms, natures, and roles

in a period of immense change. As a result, they have failed to reeducate the public, whose goodwill and support are crucial to higher education's very existence, as to the nature of higher education—what it is for, where it fits the country's historical and current needs, what it alone cannot do.

This failure to redefine and reassert itself, to be accountable or even appear to be accountable—either because of smugness or of a failure of nerve or, as I suggest in "The Academic Mission," of a desire to mimic government or the for-profit corporation—has had two results. The first is that a vacuum of definition and public education about the nature of higher education has occurred for a generation. And into that vacuum left by higher education's leaders have rushed all manner of fatuous or reactionary critical accounts of higher education's mission, explanations whose surface plausibility and essential wrongheadedness have found a willing and eager national audience, hungry to know what has been going on. The critiques, rarely encountering an institutionally generated countervailing point of view, colonize the vacuum created and maintained by higher education about itself.

A parent who hungers to know, for instance, why a child's college experience has cost so much or, worse, has seemed so unsatisfactory or pointless or lacking in connectedness with anything in the past will have heard very little from higher education about its issues or its problems. Certainly, that parent will not hear a voice like that of a Conant or a Hutchins or a Griswold against which to test one's ideas, to argue, with which to agree. Small wonder that Allan Bloom's book is a best-seller. There is no impedance in the atmosphere; no one to assert how higher

education in fact serves a democracy not by re-creating a class of micro-mandarins, strenuously emulating Socrates, but rather by maintaining faith with a national history that at its best aches for equality as well as quality, for accessibility as well as excellence.

Most of the voices one hears tend to be those announcing the Apocalypse. Few are the assertions for the public at large of the ideals to which higher education must aspire, few are the assertions of the shape an institution of higher education must attain and why, and few are the consistent visions of the purpose of an undergraduate education. In the last generation, the field has been, with few exceptions, left to the promoters of a political system or of lament. When those who know best the realities and the ideals of higher education fall silent, for whatever reason, or believe themselves only managers, not leaders, then the public is denied access to higher education in a fundamental sense, access to its thinking about what is going on and what it is for.

The other result of a generation of silence concerning the principles and purposes of higher education has been the absence of any examination of a college's or a university's necessary complementarity with the other institutions in our society. We all know that the basic institution in society—the family—has changed its shape; we know that the legal system, and the services it absorbs or spawns, has undergone great change because of a different set of demands placed upon it. We know that institutions for worship have adapted to new technologies, new populations with differing needs, and new imperatives; that cultural institutions, and institutions for leisure, have changed to meet a population whose patterns of work, play, and

When the university lurches spasmodically rather than changes in a patient, inefficient, but purposeful way, a larger society that hears nothing about the principles and purposes of higher education from clear voices within higher education also sees the whole class of institutions as floundering, as growing more expensive when costs supposedly are going down; as abdicating the role of *in loco parentis* just when the family is under increasing stress; as asking more and more of government (while wishing to be independent) just when government, at the federal level in particular, is arguing for a New Federalism and a less intrusive (and supportive) federal role; as seemingly indifferent to drugs or drinking just when the public grows in awareness of the evils of substance abuse.

A clear instance: the central cry, heard on all sides, is, Why don't our colleges teach "moral values"? The cry is cried out constantly, and not only from outside the Academy. And here we come full circle. Without anyone clearly and forthrightly telling students and their parents (and everyone else) that a college or university teaches "moral values" by its *acts as an institution*, by its institutional behavior, and not by causing some dogma or doctrine to be propounded exclusively in its classrooms, there is no education of the public, or the academic world, regarding the nature of the modern, nonsectarian American college or university. Silence does not make the point that families are where moral values (or immoral values) are first and longest implanted; that churches or synagogues or other houses of worship are where moral values are supposed to be taught; and that the classroom, or the academic part of the university, is where values of all kinds are meant to collide, to be tested, debated, disagreed

retirement are different from what they were before 1950. And we know there is even a portion of the population that does not believe in the traditional institution, and its authority, at all; for these people, all traditional institutions are sexist plots or capitalist instruments designed to deny other Rights and Freedoms. Such people are found (among other places) in the student bodies and faculties of many colleges and universities. While their essentially redistributionist and leveling impulses, vaguely compounded of New Left, Old Left, and narcissistic postures, hardly represent more than a fraction of any campus, hardly more than a special flavor to various Special Interests, they do—paradoxically—impede the process of institutional redefinition by baying so stridently for radical change that they spark counterreformations that invariably go back to the recoverable past for their counterproposals.

The net effect since the Second World War is that institutions of higher education have lost vital connections to their surrounding institutions. Universities and colleges have tended to lurch into new structures and programs, with no thought of consequences, and then spastically to reinstitute what had been jettisoned in a new, watered-down form. Educational institutions are out of phase with themselves as well, because there are few voices reminding them of how many times they have been through this cycle and, more important, redefining and remembering for each generation the enduring principles and purposes of the place. Only by those affirmations can the change that is essential to the institution within occur; and only by such change within does the university remain in phase, in a complementary relationship, with the changing institutions around it.

about—freely, openly, civilly (as opposed to coercively). Silence does not assert that institutional behavior—how the university or college treats the people within it, invests its money, admits students, promotes faculty, comports itself vis-à-vis other social institutions—is every day, in a thousand different forms, how the college or university teaches. The place teaches by example. In this fashion, it is a model for ethical or moral behavior or it is not, but however it acts, people—within and without—draw lessons.

Silence about the nature and purpose of higher education will never remind those who have forgotten or inform those who never knew. Nor will silence from higher education convince any member of the public at large that colleges and universities understand their necessary and complementary relationship to other institutions in the society.

There are a variety of books written on the subject of leadership that can provide many useful insights into the attributes, responsibilities and profiles of administrators. A network of senior administrators who have willingly provided assistance to newly appointed administrators compliments these sources. Equally important are examples of specific cases that illustrate creative and successful leadership. In every instance it is a demonstration of the possibility of learning leadership and administrative skills in the academy.

Learning to Lead

Senior Peer Network

Bibliography

Special Cases Appendix

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ASHE-Eric Higher Education Reports, George Washington University
  Several examples:
      The Department Chair
      Preparing for a Global Community: Achieving an international Perspective in Higher Education
      Instituting Enduring Innovations: Achieving Continuity of Change in Higher Education
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Special Cases Appendix
Special Projects

Relevant Cases:

Campus Design
NC State University

Studio Furniture Project
NC State University

Integrated Digital Environment for the Academy
NC State University

Managing a School of Architecture with Eyes Open Idealism
Marvin J. Malecha

Faculty Work Load Guideline
Marvin J. Malecha

Dilbert

Panel 1:
YOU GAVE ME A PROJECT THAT CAN'T GET FUNDED BECAUSE IT'S NOT IN THE STRATEGIC PLAN.

Panel 2:
AND YOU WON'T LET ME MAKE WAVES BY ASKING FOR A CHANGE TO THE STRATEGIC PLAN.

Panel 3:
SO I'LL BE IN MY CUBICLE CREATING "POWERPOINT" SLIDES AND PRAYING FOR A REORGANIZATION.

Campus Design at NC State University

A proposal developed jointly by:
    George Worsley, Vice Chancellor for Finance and Business
    Charles Leffler, Associate Vice Chancellor for Facilities
    Marvin J. Malecha, Dean, School of Design

Preface

This proposal has been prepared to respond to the mutual desire to strengthen the relationship between the School of Design and the facilities planning process with the intention to foster collaboration among the campus community as well as to initiate an interdisciplinary academic program dedicated to campus design.

The concept of the Campus Design Review Panel has been developed to focus on the quality of the campus environment in support of the authority vested in the Board of Trustees Buildings and Property Committee.

The quality of the campus environment communicates the dedication of the academic community to the excellence of the entire academic endeavor. It fosters excellence by providing the places and spaces where people can interact thereby experiencing the diversity of interests represented on campus, and it provides the setting for the highest of individual aspiration within a chosen discipline. The buildings through the language of architecture and their appearance in a broad campus context provide the stage-set for the wondrous diversity of activity that defines the University. Consideration for this setting must occupy the attention of the highest levels of the leadership of the University community.

The Campus Design Environment

The campus community is seeking to strengthen the strategies and building guidelines that will create a campus that is both distinctive and highly conducive to advanced academic study. The need to bring together many diverse aspects of this campus community is apparent in order to foster the long-term commitment necessary. Each constituency has a distinct idea for the future of the campus. This proposal is an attempt at finding these thoughts and putting them into practice on campus.

Trustee Buildings and Property Committee Authority

The Board of Trustees maintains final responsibility for the implementation of policies and practices related to the development of the physical environment of the campus. Among the responsibilities delegated to the Buildings and Property Committee regarding the physical environment are the following decisions.

- Physical Master Plan Approval
- Architect / Designer Selection
- Site Approval
- Approval of Plans and Specifications

The Campus Design Review Panel

The Panel Charge
This panel is intended to provide an advisory committee to review master plan issues and guidelines, consider the development of design guidelines for campus projects, review significant projects underway and determine critical issues for proactive investigation.

- Advise on architectural standards and guidelines for the campuses
- Advise on exterior material selections for use in the construction of projects
- Participate in peer review of campus design and physical master plan
- Review project plans for responsiveness to master plan standards and guidelines

The Scope of Responsibility
The scope of the responsibility of the Panel is to respond to projects of a significant nature with impacts on the aesthetic quality of the campus as well issues relating to the realization of the campus master plan.

- Projects with a budget greater than $1,000,000.00
- Projects with an impact on the exterior appearance of a building
- Projects with an impact on the physical master plan of the campus
- Utility and infrastructure projects where the work is concealed or the physical appearance is unchanged will be excluded from this process

The Panel Composition
The composition of the Campus Design Review Panel would bring campus expertise and greater continuity to the design process. Faculty appointees and campus area representatives are expected to have professional credentials or experiences that will contribute to the design review process. The composition of this Panel would include the following membership on three year staggered terms:

- One Trustee from the Buildings and Property Committee
  Appointed by the Chair of the Buildings and Property Committee
- One Trustee at Large
  Appointed by the Chair of the Board of Trustees
- The Associate Vice Chancellor for Facilities *
- The University Architect, Designated as the Chair of the Panel*
- The Associate University Architect*
- One faculty member from the Department of Architecture
  Appointed by the Dean of the School of Design
- One faculty member from the Department of Landscape Architecture
  Appointed by the Dean of the School of Design
- One faculty member from the campus at large
  and
- One member of each of the campus areas (N, S, W, Central and Centennial Campus)
  Appointed by the Chancellor from a slate of candidates nominated by the academic
deans
  * Standing Members

The Frequency of Meetings
The Campus Design Review Panel will meet on a regularly scheduled basis.
- Monthly Scheduled   Meetings, special meetings called as needed

The Design Process

There are many balances incorporated into the design process to insure that a broad perspective is maintained and that the beauty of the campus is enhanced.

Project Brief / Early Program Definition
The project brief identifies the program goals and the scope of the project, which includes related physical campus master plan goals and guidelines that may impact design and/or location. This scope may include infrastructure and landscape improvements. This aspect of the process is undertaken for approval by several groups.

- Recommendations by Facilities Division Staff
- Recommendations by user representatives
- **Recommendations by the Design Review Panel**

Architect / Designer Selection
The initial phase of project implementation is focused on the selection of design professionals uniquely qualified to undertake specific projects. This aspect of the process is undertaken for approval by several groups.

- Recommendation by Facilities Division Staff
- Interview and recommendation by the appointed selection committee
- Approval of selection by the Board of Trustees, Buildings and Properties Committee

Project Site Selection Approval
A project cannot proceed until it has properly resolved issues related to site selection that is influenced by programmatic need. This aspect of the process is undertaken for approval by several groups.

- Recommendation by Facilities Division Staff
- Recommendation by the appointed building committee
- Review by City of Raleigh Zoning Staff
- Recommendation by Campus Physical Environment Committee
  (generalized site selection)
- Review/Approval by the Board of Trustees, Buildings and Property Committee

Design (schematics and early design development) Approval
The early conceptual phases of a project leading into early design development are a critical phase in the life of a project. It is a time in the process where significant discussions related to the general construction of a building can be considerably modified. This aspect of the process is undertaken for approval by several groups.

- Recommendation by Facilities Division Staff
- Recommendation by the delegated building committee
- **Recommendation by the Campus Design Review Panel**
- Approval by the Board of Trustees, Buildings and Property Committee

Plans and Specifications (design development and mid construction document)   Approval
This final aspect of the review and recommendation stage for approval by the Board of Trustees is the critical step before proceeding to construction. This is the final opportunity to make any kind of revisions to the project before the completion of contract documents. This aspect of the process is undertaken for approval by several groups.

- Recommendations by Facilities Division Staff
- Recommendations by the delegated building committee
- State and local agency review
- Approval by the Board of Trustees, Buildings and Property Committee

School of Design Involvement

The opportunity presented by this proposal to the School of Design includes the option to establish a concentration in campus design. This option, an enhancement of current academic programs, could be offered to students of architecture and landscape architecture. This strategy provides an academic underpinning for the effort to improve our campus environment. The success of this proposal is dependent on the formation of a close working relationship among all campus organizations with responsibility for the physical environment.

A Professional Concentration in Campus Design

The establishment of this interest area is intended to support the needs of the Campus Design Review Panel while establishing a unique opportunity for students within the School of Design. The students and faculty involved in the professional concentration will be guided by the needs and requests emanating from the Campus Design Review Panel through the Facilities Division. This concentration will include the following components:

- **The Joint Studio and Seminar**
  The joint studio brings together students of Architecture and Landscape Architecture each semester to collaborate in teams on projects related to the campus. Students from other colleges will also be invited to participate on specific projects. The Joint Studio will be conducted every semester and may address projects from the Centennial Campus, the College of Veterinary Medicine campus or the precincts of the original campus.

- **Professor-Practicum Appointments**
  The professor-practicum appointments are proposed, on staggered three-year terms, to provide release time for faculty members to participate in University planning meetings, advise on with architect selection decisions, and the opportunity to recommend potential projects.

- **Graduate Assistant Appointments**
  Two graduate students would be appointed annually, one from architecture, the other from Landscape Architecture, to work in detail on specific projects that grow from the work of the studio.

- **Invited Studio Professional Peer Review**
  A regular review process by invited distinguished peers would introduce a level of expectation and challenge that would enhance the efforts of the students regarding the design of the campus. The peer reviewers would meet once at the conclusion of each semester. Each semester the reviewers would consider campus projects underway in the Joint Studio as well as provide the opportunity to critique selected campus plans and projects underway.

Phased Implementation

The implementation of the ideas expressed in this concept paper flow naturally from the most specific to the most general.

- **Phase One (Spring 1999)**
  Implementation of the Campus Design Review Panel.

- **Phase Two (Summer 1999)**
  Identification of faculty and students from the School of Design and Facilities Division staff to accept the responsibilities related to the work of the Design Review Panel (includes partial budget support).

- **Phase Three (Fall 1999)**
  Implementation of related studio course work and support courses to facilitate the involvement. (includes partial budget to support enhanced funding)

- **Phase Four (Fall 2000)**
  Implementation of the curricular concentration. (includes the necessary budget to provide support funding on a continuing basis)

A budget follows in the appendix to indicate the level of support necessary to implement the Campus Design Proposal.

Closing

The design of a university campus is directly related to the learning experience of students and the environment for the scholarship of faculty. Thomas Jefferson understood this integral relationship as he planned the University of Virginia.

> We wish to establish in the upper country, and more centrally for the State, a University on a plan so broad and liberal and modern, as to be worth patronizing with the public support. The first step is to obtain a good plan: that is, a judicious selection of the Sciences...[1]

Jefferson went on to call the result an "Academical Village." He foresaw the importance of the connection between the quality of the facilities, the learning experience of the students, and the ability of the University to attract the very best faculty.

> The great object of our aim from the beginning, has been to make the establishment the most eminent in the United States, in order to draw to it the youth of every state, but especially of the south and west. We have proposed, therefore, to call to it characters of the first order science from Europe, as well as our own country; and, not only by the salaries and the comforts of their situation, but by the distinguished scale of its structure and preparation, and the promise of future eminence which these would hold up, to induce them to commit their reputation to its future fortunes. Had we built a barn for a college, and log huts for accommodations, should we ever have had the assurance to propose to an European professor of that character to come to it?...to stop where we are is to abandon our high hopes, and become suitors to Yale and Harvard and secondary characters. [2]

Our challenges today on the NC State campus may be defined with similar terms. The physical environment of the campus, the learning experience of students, and the work of faculty and staff are vitally interconnected.

Notes

1. *Thomas Jefferson's Academical Village, The Creation of An Architectural Masterpiece*, Richard Guy Wilson, Editor, Bayly Art Museum of the University of Virginia, the University Press of Virginia, Charlottesville and London, 1993, page 11, note 19, Jefferson to Joseph Priestly, January 18, 1800, Honeywell, Appendix C, 215-16

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Appendix

Budget

This budget represents the annual cost of the campus design studio as it has been proposed. It is proposed as a new effort within the School to prevent conflicts with other required studio and seminar courses. This budget does not include additional staff time for the Facilities Division in support of the studio.

A Professional Concentration in Campus Design

The Joint Studio and Seminar   (Phase 3)   **29,000.00**
Architecture Professor   .33 release time/academic year
Landscape Architecture Professor   .33 release time/academic year

Graduate Assistant Appointments   (Phase 2)   **12,000.00**
Architecture Graduate Student (15 hrs/wk)   6,000.00/academic year
Landscape Architecture Graduate Student (15 hrs/wk)   6,000.00/academic year

Professor-Practicum Appointment   (Phase 2)   **7,500.00**
Professor serving in lead role of the Joint Studio with   .17 release time/academic year
the responsibility to coordinate all activities with
the offices of the Campus Architects and Facilities
Management

Invited Professional Peer Review   (Phase 4)   **10,000.00**
This represents the annual cost of reimbursement for travel to the
campus by a peer review committee of two individuals to visit
the campus once each semester and an honorarium for services.
approximately $2,500/individual/semester

Operating

Studio Support   (Phase 3)   **5,000.00**
This represents reimbursement for the student expenses incurred
working on campus projects including; photography, model building materials,
drawing materials, and related presentation materials.
$2,500/Semester

Printing, Publication, and Visualization (Phase 4)   **5,000.00**
This represents the issuance of a publication or Digital visualization of the
studio efforts following each semester. Publication and visualization efforts
would be prepared in the format of a series of guidelines that would give
direction to the future efforts of the University.
$2,500/Semester

Visualization
Special visualization studies utilizing the Vision Dome will require additional support funding

Total Annual Cost   **$68,500.00**

NORTH CAMPUS

WEST CAMPUS

Stadium / Arena Precinct

◁ CVM / Faculty Club Precinct
□ 1-CVM
□ 2-Faculty Club

CVM-1   CVM-2

▽ Method Road Precinct
□ 1-Greenhouse Center
□ 2-King Village

▽ University Service Center Precinct
□ 1-North
□ 2-South

▽ North Campus Precinct
□ 1-West
□ 2-Central
□ 3-East

Beltline Precinct ▷
□ 1-Arboretum
□ 2-Horticulture Farm
□ 3-Research Annex West

BL-1
BL-2

SOUTH CAMPUS

Western Boulevard ▷ Precinct
□ 1-McKimmon Center
□ 2-Research Annex South
□ 3-Fraternity Court

◁ South Campus Precinct
□ 1-Doak Field
□ 2-Bragaw
□ 3-Food Science
□ 4-Carmichael
□ 5-Intramural
□ 6-Reynolds
□ 7-Weisiger-Brown

CENTRAL CAMPUS

Centennial Campus ▷ Precinct
□ 1-A.1 Cluster
□ 2-B.1 Cluster
□ 3-North Boundary
□ 4-Biotechnology
□ 5-Northwest
□ 6-Main Campus Drive East
□ 8-Town Center
□ 9-Residential 1
□ 10-Residential 2
□ 11-Executive Classroom
□ 12-South Campus Promontory
□ 13-Residential 3
□ 14-Residential 4
□ 15-South Campus Mall
□ 16-10.8 Area
□ 17-Middle School
□ 18-12.3 Area
□ 19-12.4, 12.5, 13.1 Areas
□ 20-11.3 Area
□ 21-11.5 Area

CENTENNIAL CAMPUS

North Carolina State University is a land-
grant university and a constituent institution
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NC STATE UNIVERSITY

28 December, 1998

MEMORANDUM

To: Dr. Charles Moreland, Interim Provost,
            Vice Chancellor Research Administration

From: Marvin J. Malecha, FAIA
            Dean, School of Design

Subject: **Studio Furniture Project**

Since my arrival as the dean of the School of Design I have been
attempting to rectify long neglected furniture and facilities problems. I am
pleased to note that over the past four and one half years we have made
real progress. The last accreditation team to visit our School noted many
of these same concerns and specifically noted deficiencies in our
computer technology and general studio furnishings. Again, I am
pleased to report that we have made considerable progress with our
technology needs. However, we have only begun to address the issue
of studio furnishings. Much of the studio equipment in the School
actually dates from the founding of the programs in 1948 and very little of
it is less than twenty years old. I am noting the obvious when I assess the
importance of upgrading this equipment. Changes in technology have
brought the computer onto the studio desk. The traditional drawing table
is totally inadequate to meet this need. Given the extreme limitations of
the School of Design operating budget, it is not possible to make
substantial furniture and equipment expenditures.

Over the past year and a half I have worked with members of the School
community that would meet the needs we have to provide 700 new
tables and chairs for the studio. Toward this end we produced a design
in-house and began to solicit participation from a variety of sources. An
arrangement was made with Prison Industries and Dr. Stiles funded the
initial phase of table purchases. Two hundred tables are presently being
manufactured. I have attached all relevant information to provide you with
a context for this request.

I am now writing to request that this project be funded to produce the
remaining 500 tables and that funding also is allocated to provide 700
drafting chairs.

Table and Chair Acquisition Plan

Phase One (See October 21, memorandum)	**200 Tables**	**Underway**
Phase Two and Three combined	**500 Tables**	
University Funding Requested		$130,000.00
School Funding		$20,000.00
Approximate Manufacturing Savings		$50,000.00
Phase Two and Three Studio Chairs	**700 Chairs**	
University Funding Requested		$50,000.00
Total University Funding Requested		**$180,000.00**

It is my hope that we can move forward on this request. Our next accreditation visit is in early spring 2000. Having placed all new furniture in the studios in Fall 1999 would make a substantial impression. It is important to note that even without accreditation issues this is a long overdue issue to resolve. Thank you for your attention to this matter.

C: Dr. Bruce Mallette

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NC STATE UNIVERSITY
October 21, 1998

OCT 23 1998

T: Dottie
F: MAM

MEMORANDUM

TO: Dean Marvin J. Malecha, FAIA

FROM: Phillip J. Stiles, Provost and   *[signature]*
             Vice Chancellor for Academic Affairs

SUBJECT: Studio Furniture Project

As you know I think this approach shows insight into how partnerships can be of value to all participants. I think that the consideration of the status of economic enterprises in the state is important. For all the right reasons it is easy to say yes to the request for $40,000 for 1998-99.

bh

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Design and Technology
919.515.9322

Graphic Design
919.515.8326

Landscape Architecture
919.515.8340

October 16, 1998

Memorandum

To: Dr. Phillip Stiles, Provost

From: Marvin J. Malecha, FAIA

Subject: Studio Furniture Project

I am writing to further explain a concept to address studio furniture needs in the School of Design. As you are aware from past discussions, the studio furniture is well past the time it should have been replaced. Most of the studio table inventory dates from the early 1950's to the late 1970's, we have even identified drawing tables that must have been purchased to initiate design studies on the NC State campus in 1948. This furniture has become woefully inadequate for several reasons.

The Condition of the Tables
The majority of the tables in the studio instructional environment are in very poor condition. The damage to the tops and related table hardware accrued over many years of use now make normal studio use difficult or even impossible. The condition of the tables have become an impediment to the learning experience of our students.

The Introduction of new technology into the studio teaching environment
The present table configuration and design is not conducive to the introduction of a computer into the studio environment. First, the table tops are set for drafting at a level requiring a stool. This ergonomic posture is entirely incorrect for computer usage. Second the table top size is set according to standard drawing paper size, this has been irrelevant for two decades. Third, storage size has been determined by the need to store a flat drawing. Such a need is greatly reduced by computer usage, and there is no storage capacity for a student owned computer. Finally, there is a need to introduce capacity at the desk for power supply strips that have independent power surge protection.

The Table Shortage
In addition to the condition and appropriateness of the existing tables, the School is approximately fifty (50) tables short of meeting the needs of the existing student population. To meet this need the School has purchased inexpensive folding tables until a more appropriate work surface can be identified. This is at best a temporary solution and it certainly is far short of acceptable studio furniture.

The need to address this problem in the School has become more critical as the technological capabilities of the students has increased. Seven hundred (700) tables are in need of replacement to meet the demands of the related student population.

A Creative Partnership
We have been seeking creative partnerships with various furniture manufacturers to find a solution that would be most cost effective. It has become apparent over the past several weeks that the most promising partnership is with North Carolina Prison

Industries. This partnerships comprised of an exchange of intellectual property, custom manufacturing to meet the specific needs of the School community, and reduced manufacturing costs thereby translating to a reduced purchasing price.

Shared Intellectual Property

The design of the table is best characterized as a shared responsibility by the dean of the School, the director of the School Material Laboratory, and inspired by the consultations of many students and faculty. In exchange for the cooperation of Prison Industries the School will share the intellectual property rights for the design of the table so that it could be offered for sale to the community.

Reduced Purchasing costs

In exchange for the right to manufacture the design of the table for general sale, the School will have the opportunity to purchase the tables for a significantly reduced cost by comparison to all other commercially offered studio tables.
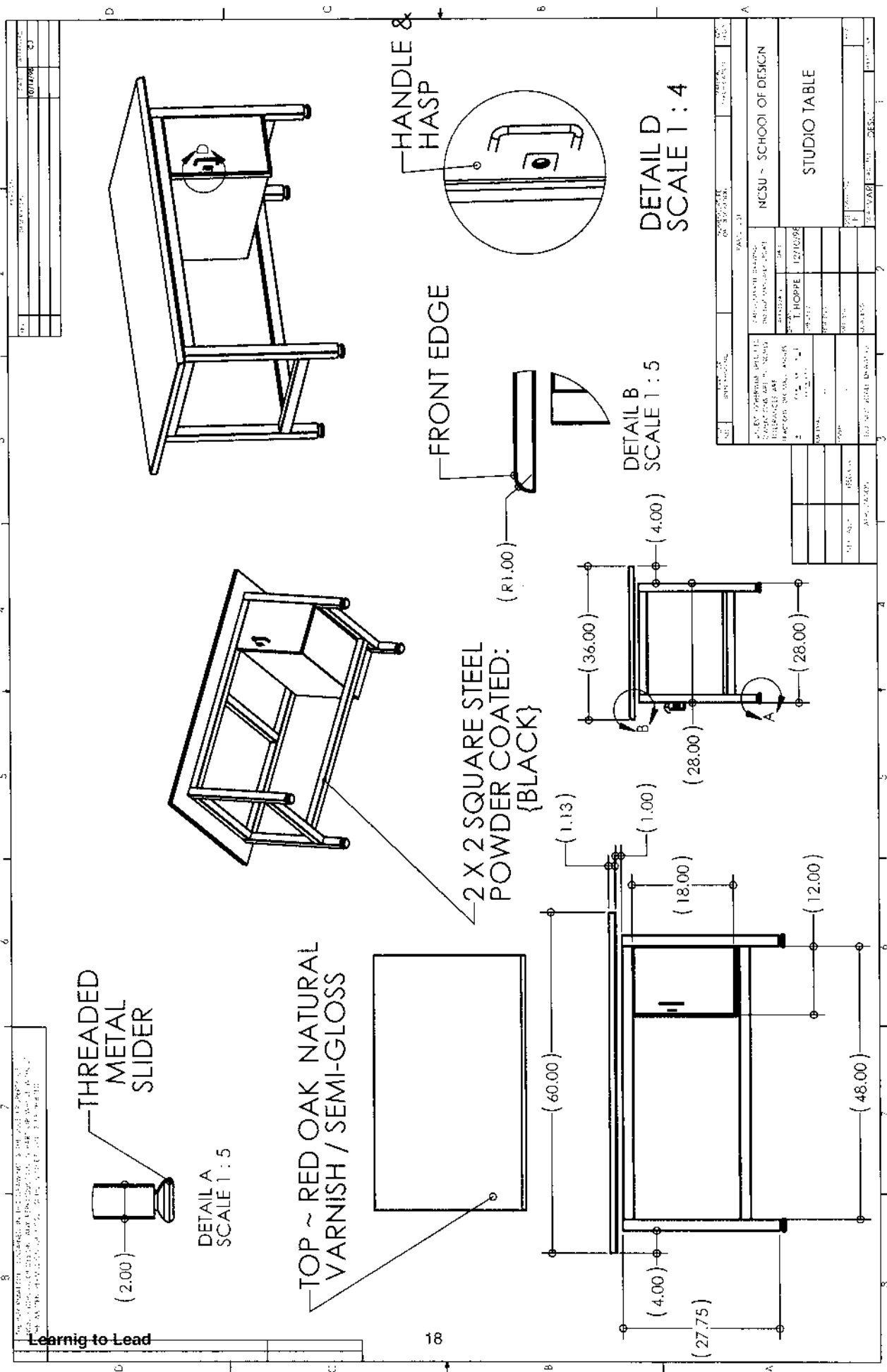
A Continuing Partnership

The School is hoping to build a relationship with Prison Industries that could lead to other design-manufacturing collaborations.

Table Acquisition Plan

It is the hope of the School community that the matter of table replacement may be addressed over the next two years. This necessitates a phasing plan of no more than three stages. Each stage will have a University and a School component.

Phase One: 200 Tables

University Funding Requested	$40,000.00
School Funding Match	$20,000.00
Approximate Manufacturing Savings Match	$20,000.00

Phase Two: 300 Tables

University Funding Requested	$90,000.00
Approximate Manufacturing Savings Match	$30,000.00

Phase Three: 200 Tables

University Funding Requested	$40,000.00
School Funding Match	$20,000.00
Approximate Manufacturing Savings Match	$20,000.00

Total Tables: 700 Tables

University Funding Requested	$170,000.00
School Funding Match	$40,000.00
Approximate Manufacturing Savings Match	$70,000.00

I am forwarding this memorandum in order to request the funding for the initial phase of the table replacement plan. The University contribution to the first phase , as noted in the plan above, is $40,000.00. It is my hope that we can move forward with this request as soon as possible. Thank you for consideration of this request.

HANDLE & HASP

DETAIL D
SCALE 1 : 4

FRONT EDGE

(R1.00)

DETAIL B
SCALE 1 : 5

2 X 2 SQUARE STEEL
POWDER COATED:
{BLACK}

(4.00)

(36.00)

(28.00)

(28.00)

(1.13)

(1.00)

(18.00)

(12.00)

(60.00)

(48.00)

THREADED
METAL
SLIDER

DETAIL A
SCALE 1 : 5

(2.00)

TOP ~ RED OAK NATURAL
VARNISH / SEMI-GLOSS

(4.00)

(27.75)

NCSU ~ SCHOOL OF DESIGN

STUDIO TABLE

T. HOPPE   12/16/98

North Carolina State University

SCHOOL OF DESIGN

Box 7701, Raleigh, North Carolina 27695-7701

November 1, 1995

MEMORANDUM

To: Dr. Phillip Stiles, Provost

From: Marvin J. Malecha, FAIA, Dean
            School of Design

Re: **Integrated Digital Environmental Proposal**

I am forwarding with this memorandum a proposal for the establishment of an integrated digital environment within the School of Design. The introduction of the computer into the professional design environment has significantly transformed practice. The very conduct of design services is now undergoing redefinition in a manner that was inconceivable only five years ago. Increasingly, we are being advised that our students will not find a place in the profession without the mastery of the most sophisticated digital tools. A recent visiting team from the National Architectural Accreditation Board found the School of Design seriously deficient in our ability to address this emergent technological transformation.

I believe we must introduce the new technologies into the conduct of our design community as soon as possible. Further, we must address this issue holistically rather than by singling out any one aspect of the School community. The concept that defines our approach must include an instructional component advancing the capability of each student, an advanced hardware and software component to promote research and creative activity, as aspect directed at the enhancement of service units including the library, the materials and media laboratories, a faculty component to insure advanced capabilities with relevant training opportunities, and an administrative component to link the design community effectively.

The proposal that accompanies this memorandum was prepared by a committee of faculty, staff and students charged with the task to define a program that would place the School of Design in a leadership position. The group has prepared an aggressive but realistic guide for what must be accomplished.

The proposal that follows identifies an initial capital investment of approximately $750,000 dollars directly related to instructional needs. Networking and Cable installation is estimated at approximately 300,000 dollars. Staff cost related to the installation of the system is estimated at approximately 75,000 dollars.

The recurring costs of the proposed network are estimated at 200,000 dollars for hardware costs and 100,000 dollars for related staff costs. Each student would also be expected to possess a personal computer.

The technology fee option of the University presents a reasonable funding option for a substantial portion of the request. The following chart demonstrates two possible funding options. This is calculated in 1995 dollars.

OPTION ONE

1.1   INITIAL 3 YEAR INVESTMENT

$300/semester, $600/year x 700 students =	$420,000
15% Sharing with University	($60,000)
15% Sharing with other school units	($60,000)
Total Available for Digital Investment	$300,000

1.2   MAINTENANCE PLAN (Subsequent years)

$230/semester, $460/year x 700 students =	$322,000
15% Sharing with University	($60,000)
15% Sharing with other school units	($62,000)
Total Available for ongoing maintenance	$200,000

1.3   NETWORK INVESTMENT $300,000

This assumes a University network investment

1.4   FACULTY COMPUTING $200,000

This assumes a University investment

OPTION TWO

2.1   INITIAL 3 YEAR INVESTMENT (For Repayment)

$200/semester, $400/year x 700 students =	$280,000
0% Sharing with University	(0)
Sharing with other school units	($30,000)
Total Available for Digital Investment	$250,000

2.2   MAINTENANCE PLAN (Subsequent years)

$200/semester, $400/year x 700 students =	$280,000
Sharing with University	($40,000)
Sharing with other school units	($40,000)
Total Available for ongoing maintenance	$200,000

2.3   UNIVERSITY COMMITMENT TO ACADEMIC COMPUTING

A commitment by the University to
Academic computing without exception of repayment $150,000

2.4   NETWORK INVESTMENT $300,000

This assumes a University network investment

2.5   FACULTY COMPUTING $200,000

This assumes a University investment

The proposal that has been prepared is the basis for the extensive discourse that I hope will now follow. The possibility for phasing of the investment, the nature of the technology fee change, and the staff and faculty requirements for the implementation of the plan are all open to an assessment leading to changes.

I am convinced that the School has lost the opportunity for any lengthy discourse on this subject. We must move decisively to address the incorporation of new technologies into the School of Design. I am providing with this memorandum several copies of this proposal so that you may share it with members of your staff, including Bill Willis, for comment.

I am looking forward to working with you on this subject.

Advance the technological capabilities of the School to enhance the academic experience, support research and creative activity, and improve administrative services.

Develop a plan for the incorporation of computers and related hardware into teaching, academic activities and administrative services.

Support the development of teaching, research and scholarship with the appropriate technology by providing the necessary technological resources to accomplish this task.

Facilitate support services for students, faculty, and administration by establishing and maintaining uniform compatibility in software and procedures.

Provide adequate instruction to insure the safe and productive utilization of all technological resources in the School.

Establish curricular experiences to insure that all students are able to meet the evolving technological literacy requirements of the professional environment.

Develop a coordinated plan for facilities and resource management related to technological advancement.

Develop a facilities management and expansion plan that will address the impact of new technologies on the facilities and equipment of the School.

Insure that funds are available for the process of upgrading faculty, staff and administrative computing environments.

Evaluate the existing physical situation to develop a plan to achieve a safe and productive work environment.

Develop procedures and set priorities for fair and efficient operation of physical resources including the consideration of technological requirements.

Develop a plan for upgrading classroom, instructional laboratory, studio and review area instructional technology support.

Develop a facilities plan for an integrated digital environment which will allow the movement of information between photography, modeling and analysis, and A/V production.

Build the digital connectivity of the School of Design.

Complete the process of connecting the School of Design computing resources to the University system. Bring the fiber optics network to all School of Design facilities.

Develop and maintain a Home Page for the School of Design within the University Web pages.

Build an interactive communication network among students, faculty and staff.

Foster technological capabilities that relate to the traditional skills inherent in the study of design.

Continue to maintain and improve the Materials, Print and Textiles, and Media Laboratories to insure that wood, synthetic, and metal working, printing, weaving, photography, and gaming (full scale modeling) activities can be properly served.

Establish a specific training program for all students, faculty and staff of the School, as a qualification for the use of the Materials, Print and Textiles, Computer, and Media Laboratories.

SCHOOL OF DESIGN

STRATEGIC PLAN FOR TECHNOLOGY

Aspiration:

Advance the technological capabilities of the School to enhance the academic experience, improve administrative services and support research and creative activity.

Implementation Goal: IDEA

Integrated Digital Environment for the Academy

It has been the mission of the School of Design Technology and Computing Advisory Committee to develop a plan for implementing the 1995 School of Design Strategic Plan. As summarized in the 1995 Technology Task Force Report, the School of Design has a clearly demonstrated need for the technology to support a digitally integrated environment. This report is a request for funds to implement a goal to have a computer on every desk and an infrastructure to support multiple computing platforms. The concept of the integrated digital environment is intended to bring the School of Design into line with the reality of design practice and set the conditions for leadership among the community of design educators.

The School of Design is in a unique position to deliver an IDEA as a service to the University. We have faculty who have been pioneers in developing and using these tools, leaders who can implement the effective use of these new technologies, and we have the strong backing of the professional community in seeking the funds that are needed.

- Teaching: The integration of digital technology would prepare the school to continue to deliver high quality professional education in the near future. Collaboration within the school, the University, and the greater community would be encouraged—building a rich academic and professional community. Implementation of distance-learning programs could extend the scholarship of the faculty world-wide.

- Research and Extension: The School of Design is in a position to focus on creative solutions to visualization and communication problems. Through the University network and the World Wide Web, the fruits of our labors would reach a greater audience to the benefit of both those needing the information and the researcher needing critical feedback.

- Service: The School of Design's Service Units (Media, Materials, Print & Textile and Computing Labs) further the mission of the University through creative solutions to production problems. The service units would offer visualization, simulation, & rapid-prototyping laboratory, and electronic publication to the University.

Summary of Requested Funding for the IDEA

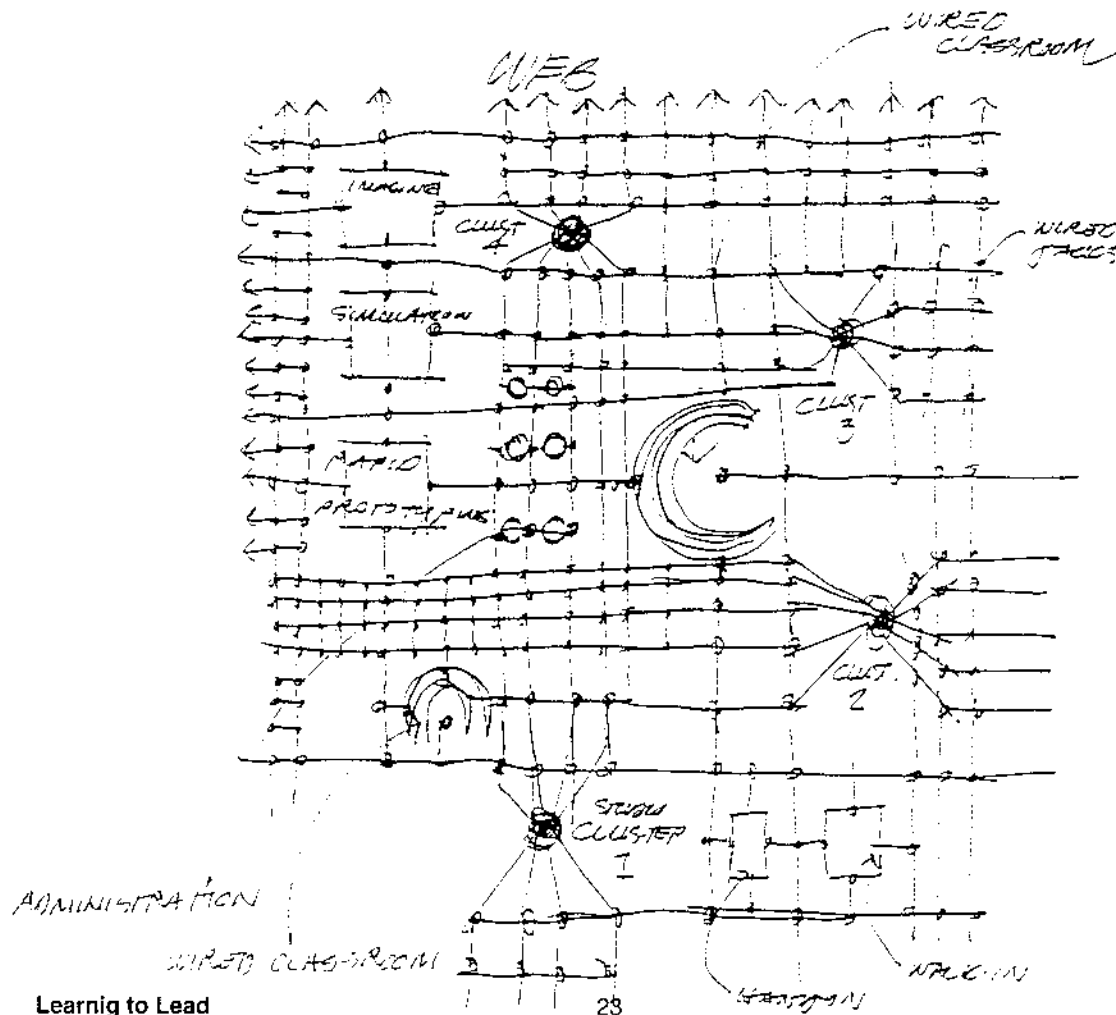|	1996-97	1997-98	1998-ongoing
• One-time Funding	$ 1,282,300	$ 75,000	$ 0
Recurring (beginning 1997-98)	$ 0	$ 305,195*	$ 305,195*
TOTAL BY YEAR	$ 1,282,300	$ 380,195*	$ 305,195*
*includes salaries			

Concept for the Integrated Digital Environment

The fundamental concept of the integrated digital environment within the School of Design is to extend the reach of each member of the community. The environment proposed would transform the work environment of the studio, increase accessibility to library resources and enhance the prototyping capabilities of the school materials, media, print and textiles laboratories. The image of a tightly woven fabric dependent on each knot, defined by larger and smaller woven elements and secured to interests outside of its own structure, describes the integrated digital concept. (See attached diagram). The matrix for the School of Design environment is a wired jack for each student, faculty and staff member. This jack provides the opening to the capabilities available within the school, the University and the World Wide Web. The location of such ports throughout the School will justify the intended requirement that each student be required to purchase a computer (a phase-in program is intended). The second level of the fabric is the intention to provide studio clusters that will provide input and output devices and serve to enhance the capability of the individual workstation. The third level of the fabric would provide for three major laboratories: high-end imaging (visualization), environmental simulation, and rapid prototyping. These specialized laboratories will address the specific needs of a diverse design community and build on strengths already present in the school. Complementing this level of the fabric are walk-in laboratories and hands-on instructional capabilities. This laboratory capability will allow for the greatest diversity of software and hardware application. The fourth level of the fabric will be dedicated to the enhancement of library resources. The School of Design Library must be fully capable of developing multi-media materials including a CD ROM image collection, research-related information and video disc collections. The final level of the fabric is dedicated to the enhancement of administrative services.

A School of Design IDEA:

Integrated Digital Environment for the Academy

1. INTRODUCTION

1.1 From T-squares and Tripods to Networked Computers

The School of Design faces an enormous challenge in preparing students to navigate the electronic information environment in the fields of Architecture, Environmental Design, Graphic Design, Industrial Design, and Landscape Architecture. In the last ten years, computer technology radically reconfigured the nature of these design practices. These professions have moved from an age of T-squares and tripods into an age in which drawing, visualization, analysis, and communication require a networked computer on every desk. Not since the discovery of perspective in drawing has anything affected the design disciplines as much as these recent developments in information technology. Ten years ago, the time-effective use of computers in design was limited to large repetitive problems. Today, however, computers are used in almost every aspect of design. Competence in the tools of the electronic environment is now an essential qualification for our graduates to be competitive in their respective job markets.

As contemporary design projects expand in scale to include larger, more complex problems they also require large and diverse teams. The social aspect of all design professions has come to focus not only on the interaction between designer and client but between members in these interdisciplinary design teams. Communication among these disciplines is increasingly dependent on computers for collaboration—often across large distances. This has lead to the use of the computer as a shared work environment—often the only means for linking professionals across geographic and disciplinary space.

This new technology and way of working is also having an enormous impact on the design disciplines because it enhances the interaction of two critical aspects of design—analysis and synthesis. First, it enables the designer to "draw" and model physical alternatives faster, and then to "see" them from many more perspectives than would be possible by traditional means. Computer applications for drawing, modeling and rapid-prototyping allow designers to develop solutions and test their impact before implementation—to analyze and synthesize data in an array of visual and spatial options.

Second, the design problem has expanded to focus as much on the behavior of systems as the individual design product. Computer applications are providing the means for designers to manage complex data more quickly and accurately than through previous methods—calculating land and space use, energy consumption, lighting and material properties. Digital photography and remote sensing allows the recording and simulation of sites, human movements, and other physical data critical to design concept-formation and decision-making. Dynamic diagrams allow concepts to be represented by electronic data which can move and behave consistent with the nature of the concepts. Whether a physical or conceptual aspect of a design problem, it is now recorded, manipulated, transformed, and even prototyped in electronic environments.

Clearly, the nature of today's design practice demands technological proficiency. Because the tools have improved, the designer's products are more likely to be crisp, sharper, more compelling, more sophisticated. Client expectations of time, cost savings, and sophistication of product and the complexity of project structure make it impossible for offices to complete work solely through traditional methods. The office that fails to keep pace with technological advances risks failure in today's highly competitive marketplace. Graduates of programs in which the computer is not a integral part of problem solving and the designer's basic workstation are no longer employable in even the most traditional offices.

2. RATIONALE

2.1 Move the School of Design to the Forefront in the Design Disciplines

Leadership in the design disciplines will be largely measured by which institutions are on-line, developing and teaching the new technologies, and disseminating research electronically. Leading institutions will collaborate with each other electronically—on research projects, curricula, and design charettes. Because the newest hardware and software are being implemented at many competitor schools, the School of Design must focus on building an up-to-date electronic infrastructure or find itself at a major disadvantage.

Demand for high-end peripheral equipment in support of multi-media work and graphic output has become increasingly important to producing competitive graduates of our programs. The expectations of portfolio work shown in qualifying for jobs rise with each technological breakthrough in industry. Students can no longer compete for positions in the design professions, especially graphic design, with projects printed in low resolution black and white output or videos of multi-media work recorded on low-end equipment from the early 1980s.

The faculty will continue to need up-to-date software, hardware, and technical support if they are to be competitive in seeking research funding, attracting the best graduate students, and developing new knowledge in their fields. Presently, student and faculty demand for access to digital technology and information technology research continues to exceed availability. Research opportunities involving computing are rapidly growing in the design disciplines but are limited without the infrastructure support outlined in this proposal. The IDEA funding would also create graduate teaching assistantships that will be used to attract strong candidates interested in computer technology to Architecture, Environmental Design, Graphic Design, Industrial Design, and Landscape Architecture.

Many schools are planning the type of infrastructure outlined in this proposal. In fact, schools ranging from public to private, small to large (eg. MIT, Carnegie Mellon, Univ. of Minn., Art Center School of Design, Mississippi State University) have it in place or are adopting it this year. This proposal asks for the necessary funding to build the infrastructure to allow the School of Design to move with these others to the forefront in information and computing technologies.

2.2 Build upon Existing Investment in School of Design Computing

The School of Design ad hoc Computing Committee, chaired by Professor Art Rice, developed a comprehensive computing plan in 1993 after two years of study which involved both faculty and students. This has formed the initial strategy for investing in computer technology. The plan for an Integrated Digital Environment for the Academy (IDEA) is the necessary development of the initial goals.

As a response to the 1993 Comprehensive Computing Plan, the School has revised its curriculum to add course content on these new technologies. In the case of Graphic Design, Environmental Design and Industrial Design, the curriculum has been entirely revised in response to the industry's move to the digital environment.

- The undergraduate curriculum in Graphic Design now requires a three course sequence in electronic imaging and studios that work almost entirely digitally in response to the changing professional demands. At the graduate level, where all work is done on computers, one semester of study is devoted exclusively to an examination of the shifting relationships between people and information brought about by digital technology.

- Architecture enhanced existing courses in building systems and revised the existing computer methods course. Architecture has promoted an active writing and publication schedule which utilizes the electronic media.

- Design and Technology enhanced existing courses and established new courses teaching digital communication design and analysis techniques. Industrial Design has also conducted an industry sponsored/funded collaborative project with a leading multimedia development group using the Internet as the primary communication medium—"FutureNet." Design enhanced existing courses and established new courses teaching digital multimedia design and collaboration with computer science.

- Students and faculty alike have an interest in electronic communications and have established several WWW sites. Several students and faculty have been involved with the projects such as "NC State SmartGuide: An Internet Multimedia Information Service," "Technopolis," and "Design-a-Plant." We also have established e-mail architectural pen pals with schools in Mississippi, Minnesota, and soon in Trondheim, Norway and Beijing, China. Graphic design students worked together with students from Rhode Island School of Design on studio projects. Anne Burdick edited 2 issues of *Emigre* using Internet to edit/ correspond with the writers and to link various designers with the writers into the final production of the magazine.

During the period since the 1993 plan, the School of Design Service Units—slide library, computing lab, materials lab, media lab and print and textiles lab—have dedicated over 80% of their equipment and maintenance budgets to support the electronic environment. The School of Design has tried to focus resources to support computing needs from available University technology fees, re-direction of some School of Design funds to computing, and from School of Design research funds. TA time has been reallocated or supplemented to assist with computer uses such as digital documentation of student projects, digital images for school publications, and technical support to faculty. The bulk of these expenditures have been during the past two years. During this time, the school has requested technology fees to support its more than 700 students. Both the 1993-94 and 1994-95 funding requests were approximately $210,000 to support computing and technology of which roughly $89,000 was received each year. Last year, 10 SUN SPARC workstations were also added to the labs. Prior to 1993 there was no major support. Digital technology serving the immediate needs of our students has been the principle use of the Technology Fee money in the school.

Although equipment has been upgraded, repaired, and enhanced as much as possible, it has become so over-burdened that it can no longer support even the current demands. At our current status, the School has 20 students per computer. These students are likely to have only 2 to 3 hours of access per week in support of up to 15 credits of design class registration requiring computer use. Funding this proposal will enable the School of Design to build the Integrated Digital Environment fundamental to teaching a curriculum responsive to professional standards. In order to meet the diverse computing requirements of the design disciplines, the plan must respond to the student demand for support for student-owned computers and a multiple platform environment. A modest but fundamental and essential beginning has been made. What is needed now is the follow-through required to build on that foundation.

2.3　　　　Strong Leadership Ensures Effective Implementation

School of Design has a strong national reputation for design which, together with our past commitment to computing, provides an excellent base for further development. School of Design faculty are leaders in the professions as demonstrated by awards of highest recognition—six Fellows of the American Institute of Architecture (FAIA). We have past and current presidents of international organizations such as Council of Educators in Landscape Architecture (CELA), two past presidents of Association of Collegiate Schools of Architecture (ACSA), as well as officers in the American Society of Landscape Architecture (ASLA), Industrial Designers Society of America (IDSA), American Institute of Graphic Design (AIGA) and American Center for Design (ACD). We even helped to establish some of these organizations. For example, the national organization for research in design—Environmental Design Research Associations

(EDRA)—was founded at the School of Design in 1974. Meredith Davis founded the Graphic Design Education Association, a national organization that heads conferences, events and publishes *Graphic Design Education*.

School of Design also has a strong commitment to computing. Faculty research pioneers the development of design software tools. Landscape faculty recently developed a interactive viewshed and watershed mapping software useful to landscape architects. Currently under development are two instructional CD's on diagramming and mapping for design students and encoding and decoding visual information for middle school students. The School of Design has also been selected as an alpha and beta test site for Virtus WalkThru, Van Nostrand Reinhold's new CD on graphic design history and Alias's UpFront 3-D modeling application. Presently the School of Design is coordinating the efforts of the Design and Management of Information Networked Technologies Committee (DMINT) that includes representatives from College of Engineering, College of Management and School of Design. This committee is developing areas of cooperation, managing a conference funded by the National Science Foundation and developing proposals for new professional masters information management and design curricula.

In the last year organizations such as IBM, the Environmental Protection Agency, Microelectronics Center of North Carolina (MCNC) have involved the School of Design in advanced research projects. Graphic Design students have been working with IBM and the Department of Computer Science on the display of software performance results on the WWW; on computer programs that monitor medication compliance by head trauma patients with low vision and memory problems; on explorations of spatial navigation metaphors for interface design; and on interactive multimedia presentations about an array of topics ranging from learning to speak Italian to an analysis of broadcast media. Intelligent Tutoring Systems, Knowledge-Based Learning Environments, and other computer-based-instruction, digital design analysis and communications methodology have been developed by faculty such as Jon Fels, Art Rice, Patrick FitzGerald, Glenn Lewis, Georgia Bizios, John Tector and Roger Clark, Sharon Roe, Kermit Bailey, Scott Townsend, Meredith Davis, and Martha Scottford. This work is receiving national recognition.

The School of Design has sought to give all students at least some access to these new tools by raising private funds, by reallocating overhead and maintenance and research funds to computing and by investing Technology Fee money in this area. However, the impact has been too small to meet the instructional need. The faculty who use digital tools in their research are prevented from bringing this technology into the classroom because we lack fundamental network, hardware and software. In spite of this, the school has already implemented new and re-structured courses bringing the curriculum up to the level necessary to compete at even the most fundamental level. This effort has been hampered by limited access resulting in only a small impact upon student body. Only a few faculty are able to arrange the lab time and machine access to teach the courses now on the books. The opportunities for further development are impossible without support.

2.4   Strengthen Outstanding Undergraduate, Graduate, and Professional Programs

The School of Design offers professional undergraduate and terminal graduate degrees, as well as pre-professional degrees. The School of Design professional programs—Architecture, Landscape Architecture, Graphic Design, and Industrial Design—have won national recognition. Architecture students have continually claimed first and second place prizes in national competitions. Five Graphic Design students were premiated in the Aldus Software Competition. For each of the last three years, a School of Design graduate student has won the national Sigma Lambda Alpha scholarship awarded by CELA for outstanding graduate student in Landscape Architecture. The Graphic Design program is widely acknowledged to be among the top ten programs at the undergraduate level and among the top five most progressive graduate programs in the nation. The unique imaging curriculum in Graphic Design utilizes digital computing in publications such as *Print* and *ACD Statements*. Our graduate students work in leading design offices in an international context (Herman Miller; Grapus, Paris; Benetton, Milan;

Philips, Netherlands); they teach (Mohawk Valley Community College, Memphis State University, Northern Illinois University), and they continue to develop their academic research.

To be fully competitive and to provide intellectual leadership in the design disciplines, the School of Design must have current electronic tools. Funding the IDEA will enable the School of Design to provide the infrastructure of people and technology to make possible effective teaching and learning in this area. Students would purchase or lease personal computers (anticipated 1997-98 policy would require new School of Design students to provide their own personal computers) knowing that the infrastructure would be there to support their computing activity. Funding this IDEA will strengthen each of the disciplines of Architecture, Environmental Design, Graphic Design, Industrial Design, and Landscape Architecture by providing the means by which:

- All students gain a rich experience and a solid grounding in the computing technology used in research, design, and the specific computing skills required for employment in the design professions today;

- All students access images and research on-line, and communicate and collaborate with one another, with faculty, and with students at other schools. On-line access to slide library images and other materials would enhance students' abilities to review, study, and work with images;

- School of Design faculty teach and respond to changes in information and computing technology throughout its curriculum;

- High quality design education is delivered more efficiently. The IDEA proposal includes networked classrooms. Once the initiatives outlined in this proposal are implemented, the School of Design would begin offering distance learning programs;

- Leveraged funding from external donors helps make possible a partnership between students, the professional community, and the School of Design. In this partnership, external donors (with a stake in School of Design graduates having digital technology skills) would provide financial or in-kind support for School of Design computing needs.

2.5 Serve the Essential Needs of the State and the Nation

Critical design challenges face the State of North Carolina, and the School of Design has conducted research on many of them. The School of Design has conducted major research and extension projects in environmental assessment and community planning throughout the state. This research needs to be readily available to the professions. The proposed electronic environment would support our land grant mission by making this information—publications, research, and image and geographic databases—accessible on-line from the School of Design Server.

- The Center for Universal Design (formerly Center for Accessible Housing) was established in 1989. Funded by the US Department of Education's National Institute on Disability and Rehabilitation Research, the Center serves as a state and national resource for accessible and universal design.

- The Design Research Laboratory (formerly Virtual Environment Laboratory) has pioneered advanced computing applications in environmental simulation and visualization, architectural rendering and animation, and computer-based education. Since its inception in 1975, clients have included National Forest Service, the National Park Service, the US Environmental Protection Agency, the NC Division of Environmental Management, and the Research Triangle Foundation.

- The Graphic Design Center pairs student design teams with local and regional clients for profit and non-profit work. The Design Center is coordinated by a faculty member who also utilizes the professional skills and knowledge of the client within the context of the class-studio.

- The Coalition for Community Conservation, formed in the summer of 1993, combines the resources of the Department of Landscape Architecture and the Conservation Trust for NC. The coalition has worked with the City of Greenville, NC; Coalition for the Blue Ridge Parkway; Coalition of Asheville Neighborhoods; City of Magnolia, NC; and the National Committee for the New River.

- The Community Development Group created in 1970, provides opportunities for graduate students to integrate design, research, and community service. Since its inception, community service and research projects have been conducted in more than one hundred North Carolina communities. Community redevelopment through citizen participation has been the primary focus of these activities. Clients and collaborators have included the Agricultural Extension Service, the Agricultural Experiment Station, as well as such local and state agencies as the NC Arts Council, Lumbee Regional Development Association, an the Coastal Plains Regional Commission. Out-of-state funding has come from the US Department of Housing and Urban Development, the US Office of Economic Opportunity, the National Institute of Mental Health, and the National Endowment for the Arts.

- Individual faculty research is wide-ranging, for example: Robert Burns, *North Carolina Courthouse Study*; Henry Sanoff, *Design for Learning Environments*; Wayne Place, daylighting studies; Patrick Rand, brick cavity wall research.

Many of the school's faculty sought-after for their lectures or workshops could deliver these services at a distance, such as: Denis Wood, lectures on landscape semiotics, environmental cognition and the role of maps in society; Henry Sanoff, lectures and workshops on community development; Percy Hooper, workshops on modeling building; Peter Bachelor, workshops on city planning. Funding the IDEA would enable School of Design to offer distance-learning classes which could be taken at any campus in the state. In addition, lifetime continuing education for professionals is becoming a necessity. The School would be able to address these continuing education needs of all designers by offering courses in many areas, including courses in CAD, GIS, Rapid-Prototyping, Animation, and Multimedia.

3. COST SUMMARY

3.1 Summary of All Funding Needed

	1996-97	1997-98	1998-ongoing
One-time Funding	$ 1,282,300	$ 75,000	$ 0
Recurring (beginning 1997-98)	$ 0	$ 305,195*	$ 305,195*
TOTAL BY YEAR	$ 1,282,300	$ 380,195*	$ 305,195*

3.2 Summary of All Funding Requested by Category

	One-Time 1996-97	One-Time 1997-98	Recurring
Cabling Subtotal	$180,600	$0	$13,520
Network Subtotal	$111,300	$0	$40,250
Design Studio Subtotal	$75,190	$0	$9,600
Classroom Subtotal	$83,650	$0	$6,230
Teaching Lab Subtotal	$98,000	$0	$9,600
Simulations Lab Subtotal	$164,750	$0	$66,225
Imaging Lab and Library Subtotal	$121,310	$0	$13,970
Print and Textiles Lab Subtotal	$11,500	$0	$2,600
Rapid-Prototyping Lab Subtotal	$55,000	$0	$2,600
Faculty Computers Subtotal	$160,000	$0	$37,900
Administration Subtotal	$30,000	$30,000	$86,200*
Development Subtotal	$36,000	$45,000	$12,000
Space and Security Subtotal	$155,000	$0	$4,500
Total Funding Requested	1,282,300	75,000	305,195*

* includes salaries

4. DETAILED DESCRIPTIONS AND COSTS

4.1 Connectivity—Network Cabling, Hardware and Software

Current: The Computer Lab has 34 computers connected to the campus network. Of those 34 computers, 8 are Unity Computers. Knowing that a thin ethernet connection is to slow to deliver graphic and multimedia applications the school had taken a different approach to networking. Applications reside on the hard drive of the computer. Metering software—KeyServer—is used to keep track of software usage, greatly reducing the possibility of illegal copying. This reduces the load on the network and allows the software launch and work at the speed of the computer. Files are created and stored on the local hard disk. The network is used to move files from one computer to another to be worked on in conjunction with different input and output devices. Students use large format removable hard disk (syquest) to move files and store work done on the computer.

The school has had to spend more on software than planned because of the lack of progress networking to the University. The School of Design was initially scheduled by NC Telecommunications to have partial networking installed in 1993. As of November 1995, the school is still without the network.

Proposed: Sharing and accessing graphic information requires that computers and peripherals be connected by high speed ethernet networks. Multiple special purpose servers will be required to keep information moving in the School of Design. Servers will be established to allow the storage of graphics files as the work progresses from one stage to another and from one location to another. Applications will reside not only on the server but on student-owned computers as well. The need for access to storage—100 MB per student—in common spaces will be provided by networked removable storage devices of 1 gig or more. Students will need to move files to and from home directly to the School of Design in as direct a manner as possible. Student-owned computers will need to have access to WWW and other Internet Services and University Services.

The goal is to provide students with access to digital information in the most direct manner possible. Students will have a ubiquitous computing environment that allows them to gather and reassemble information and ideas in a method only possible in an non-linear environment.

University Servers
- World Wide Web and Internet Services
- E-Mail
- List Servers
- On-line School of Design Publications

School of Design Servers
- Large disk storage for students and faculty computing projects using multimedia, simulations, prototyping and graphics
- Database of images from Slide Library, Imaging Lab, and Environmental Simulations Lab
- Distance Learning

Funding for the IDEA will create this network, linking computers with all School of Design Server resources, the University Network, and the Internet. Network jacks will be installed at every students' desk in design studios, in every faculty and staff office, in classrooms, in jury rooms, in the slide library, in the multi-media lab, in the materials lab, and at all locations in the computing lab, as well as each of the School's Research Centers. The network will provide the necessary connection of School of Design administratively within and to the rest of the campus. In addition, jacks will be installed in the Design Library opening possibilities for subscription to full-text information services such as Lexus-Nexus. This network will link resources and programs that are physically separated to form an academy of designers.

	#	Unit cost	One-Time 1996-97	One-Time 1997-98	Recurring
Cabling and Associated Hardware					
Electrical conduit			79,000		
Carpentry			9,000		
Wiring/ network hardware	500	120	60,000		
Const. Coordination (Arch)			2,000		
Network Hubs	34	900	30,600		
Equipment maint/ ongoing upgrades					9,180
U Network Connection	7	620			4,340
Cabling Subtotal			**$180,600**	**$0**	**$13,520**
Network Server—Hardware and Software					
Network Servers					
with 10 GB Hard Drive	4	20,000	80,000		
Backup CD Writer	1	20,000	20,000		
Hardware maint/ ongoing upgrades					31,500
Network Software		11,300	11,300		
Metering software		8,750			8,750
Network Subtotal			**$111,300**	**$0**	**$40,250**

4.2   Academic Program Areas

Many areas of the School of Design academic programs require new or upgraded equipment and software. Recurring funds are included in the request for future upgrades of software, maintenance of hardware, and planning for long-term upgrades of equipment. The School of Design has established a standing committee to review and make recommendations to the dean regarding these funds. The *Technology and Computing Advisory Committee* is guided by its overreaching goal/ mission:

"This committee shall advise the dean as to the fair and equitable distribution of resources acquired primarily through the student technology fees (operating guidelines, procedures, criteria, priorities). Recommendations of the technology committee will reflect a support of academic curriculum first and foremost. Recommendations of the technology committee will be clear, concise, and timely in order to support innovation in the curriculum. Recommendations of the technology committee will, whenever possible, share, combine, and build a collective attitude."

4.2.1   Design Studios and Jury Rooms

Current: There are no network jacks in the design studios. Students use the printers in the computer lab when they have access. Also, there is no place where students can display video or computer-driven work to an audience.

Proposed: More than 700 graduate and undergraduate students will have basic laser printing and scanning capability in the design studios. From jacks at their desks, students will be able to use these printers as well as other printers and plotters in the building and on the University Network. All the areas regularly used for review—jury rooms—will have ethernet jacks available. In addition, some landscape architecture will be equipped with clusters of

high-end personal computer to allow students direct access to more advanced applications central to their studio work.

	#	Unit cost	One-Time 1996-97	One-Time 1997-98	Recurring
Hardware (2 high-end Clusters)					
High-end Personal Computer	8	4,000	32,000		
Scanners for clusters	2	1,000	2,000		
11X17 Laser Printers for clusters	2	3,500	7,000		
large removable storage device	2	219	438		
Hardware (8 gen Studio Clusters)					
11X17 Laser Printers for studios	8	3,500	28,000		
Scanners for studios	4	1,000	4,000		
large removable storage device	8	219	1,752		
Equipment maint/ongoing upgrades					9,600
Design Studio Subtotal			**$75,190**	**$0**	**$9,600**

4.2.2   Classrooms

Current: No classrooms in the School of Design buildings are equipped with computer projection or network connections. Most rooms have poor light control and room darkening options. The School of Design Computing Lab has two low-end portable projectors it uses for teaching demonstrations.

Proposed: The IDEA Funding will be used to equip one School of Design classroom in Brooks Hall and the Kamphoefner Auditorium with video and computer projection equipment to support multi-media presentations, computer-based instruction and distance-learning. Other portable projectors will allow computer-based instruction in various other classrooms or in the jury spaces. The School of Design computer lab will continue to be used for teaching that requires hands-on use of the computers.

	#	Unit cost	One-Time 1996-97	One-Time 1997-98	Recurring
Wired Classroom					
Graphics Projector	2	18,000	36,000		
Cabling and installation	2	2,500	5,000		
Projection Screen	1	250	250		
Black-out shades	1	1,500	1,500		
Portable Equipment					
Portable Data Projector	5	8,000	40,000		
Portable Video Players	3	300	900		
Equipment maint/ongoing upgrades					6,230
Classroom Subtotal			**$83,650**	**$0**	**$6,230**

4.2.3   Hands-on Teaching Lab and Environmental Simulations Lab

Current Computing Lab: The computing lab has a collection of machines ranging from Macintosh SE's to Sun workstations. Most of the computers used for teaching are mid-range Mac's which must run all the software for all departments and all curricular agenda. This produces a recurring problem of software configuration incompatibility. There is no teaching

space other than the walk-in lab. There is only one control point and that is for the entire lab. Off-hours access is limited by difficulties in providing control and security.

Proposed Teaching Lab: The existing lab would be divided into a Teaching Lab and an Environmental Simulations Lab. The teaching lab will continue to support hands-on computer teaching for graduate and undergraduate classes. The Lab will also function off-hours as a general lab used by Design Fundamentals students and other students who will not be required to have their own computers. And it will be available for use by students whose own computers are not available due to repair.

Proposed Environmental Simulations Lab: The Simulations Lab will contain equipment not duplicated in studio environments. The lab will also provide special output devices in a lab environment with staff experienced in the unique issues relevant to 3-D reproduction (a type of service bureau). The IDEA funding will focus the capabilities of the current lab in 203 Brooks hall to meet the needs of an Environmental Simulations lab which:

- is available to students who need computing capacities beyond those provided by a super-fast laptop or personal computers;
- is available to student and faculty for high-end computing, including satellite image processing, geographic information systems, 3-D modeling, rapid-prototyping;
- establishes a School of Design "Electronic Help Desk" to provide assistance to students and faculty in using and maintaining their equipment (repair assistance already available from the point of purchase or at the University). The Electronic Help Desk will also monitor leased equipment and software licenses for the college;
- offers high quality, large-format printers and plotters with greater capacity than those in the design studios.

	#	Unit cost	One-Time 1996-97	One-Time 1997-98	Recurring
Teaching Lab					
Graphics Projector	1	18,000	18,000		
Cabling and installation	1	2,000	2,000		
Upgraded or new lab computers	15	3,200	48,000		
Software for teaching computers	15	2,000	30,000		
Equipment maint/ongoing upgrades					9,600
Teaching Lab Subtotal			**$98,000**	**$0**	**$9,600**
Simulations Lab					
High speed workstations	4	20,000	80,000		
Upgraded or new lab computers	6	4,000	24,000		
Printers and Plotter					
Color laser printer	1	10,000	10,000		
Ink-jet color printers	2	2,500	5,000		
"E" size color plotter	1	8,000	8,000		
Peripherals					
Slide Scanner (600 dpi)	1	1,750	1,750		
Flat Bed Scanner (600 dpi)	1	2,000	2,000		
2 GB Hard Disk	1	2,000	2,000		
CD-R (CD-ROM back-up)	1	2,000	2,000		
Equipment maint/ongoing upgrades					56,925
Software					
Software for lab computers	15	2,000	30,000		
Software upgrades					9,300
Simulations Lab Subtotal			**$164,750**	**$0**	**$66,225**

4.2.4 Imaging Lab and Image Library

Current Photogragphy, Graphic Arts and Video Labs: The School of Design photography studio equipment and photographic and graphic arts printing facilities are based in traditional photographic media (silver-based film and chemical processes). The video editing system is linear tape-based with single event memory controller.

Proposed Imaging Lab: The Imaging Lab will focus on the electronic digital imaging, manipulation, structuring and sequencing in photography, graphic arts and video. Traditional darkroom functions would be phased out as they are re-located on campus. Elimination of film and chemistry also provides the advantages of eliminating existing health and safety problems and hazardous waste disposal costs. Electronic media will provide students and faculty with digital images for use directly in page layout or with image manipulation software without the considerable time required in conventional photographic development. Digital video acquisition and non-linear random access editing offers great image quality and speed benefits over analog linear video.

By focusing on high-end imaging, software configuration incompatibility between the labs can be eliminated. The lab will also provide service bureau type special output devices in a graphic arts lab environment with staff experienced in the unique issues relevant to graphic arts reproduction. Proposed plan includes:

- providing a digital workstation (PowerMac and slide scanner) for electronic documentation of student projects (documentation is required for accreditation);
- establishing a high-end imaging center providing access to digital cameras, both portable and studio versions, image processing computers and high resolution black and white and photo-realistic color printers to be used by all students and faculty;
- establishing a digital video and audio recording and editing capability with output to videotape and CD authoring to be used by all students and faculty;
- providing students with the capability to produce high quality presentations combining video animation, still images, text and sound;
- providing lab staff members training to gain expertise in digital imaging;
- replacing traditional photography techniques with slide scanners and digital cameras for use in the studio and in the field;
- replacing photo enlargers and darkroom with computers and special photo-realistic printers;

Current Slide Library: Limited collection of 64,000 aging slides. Slides are placed on reserve in the library for use by students and faculty, removing the originals from circulation. The viewing facility consists of slide viewers in the slide library. Study slides for history courses are available on "CourseWare" in the computer lab.

Proposed Image Library: The slide library will expand its current collection to better meet student and faculty needs by establishing a slide catalog database on a 4-station LAN that would encompass the entire collection:
- providing low-resolution "thumbnail" images of slides along with database catalog information on each image.
- providing a high-resolution archive of images linked to the database catalog.
- storing slide library databases on the School of Design Servers where they could be distributed electronically.

The viewing facility will be supplemented by the following capabilities:
- complete access to slide collection images in digital format.
- digital collections of study images from lectures and studios.
- the capacity for faculty to design study programs and quizzes that merge the slide catalog with lecture material for student exercises and independent study.

	#	Unit cost	One-Time 1996-97	One-Time 1997-98	Recurring
Hardware in Design Library					
4 station LAN	4	2,000	8,000		
Hardware in Imaging Lab					
Upgraded or new lab computers	6	4,000	24,000		
GB drives	3	250	750		
additional 32 MB RAM	3	1200	3,600		
Scanning station microcomputers	3	5,000	15,000		
Slide Scanners	2	1,750	3,500		
High speed/ high resolution Slide Scanner	1	7,000	7,000		
Frame Accu. Recorder/ Controller	1	4,500	4,500		
Video camera	1	2,000	2,000		
Non-linear digital video edit system	3	9,000	27,000		
Digital camera, 35mm format	1	7,000	7,000		
Digital cameras for general use	5	900	4,500		
Laser printer, tabloid size, 1200 dpi	1	6,000	6,000		
Removeable Storage Device	3	220	660		
Equipment maint/ongoing upgrades					10,650
Software					
Imaging lab and graphic arts software			1,300		1,300
CD ROM digital image collections					500
DNA Meganet site license	1	1,000	1,000		
Thumbs Up 6-user license	1	5,000	5,000		
Software upgrades and training					1,020
Imaging Lab and Library Subtotal			**$121,310**	**$0**	**$13,970**

4.2.5   Materials Lab and Rapid-Prototyping Lab

Current Materials Labs: The materials lab uses traditional methods only—woodworking and metalworking. There is no current method for translating the digital models into physical product. The print and textile lab has traditional looms.

Proposed Upgrade of Print and Textile Lab: The print and textiles lab requires mid-range computers to run industry-driven applications for the generation of print and textile patterns.

Proposed Rapid-Prototyping Lab: The prototyping lab will focus on a finite set of operations not duplicated in studio environments—object manufacturing, advanced product modeling, analysis, & rapid-prototyping—eliminating software configuration incompatibility. The lab will also provide special output devices in a lab environment with staff experienced in the unique issues relevant to rapid-prototyping (service bureau). This new equipment would make it possible to control by computer the modeling in all our disciplines. It is ideal for intricate 3D model fabrication, signage, furniture and scale architectural models.

Rapid prototyping of the 3-D product concept model is achieved without any tooling. The prototype is formed directly from the original 3-D product concept data. Parts with complex shapes and even with interior features are built within hours. Rapid Prototyping systems can reduce prototyping cost by as much as 90%. The data generated by the solids modeling software will accommodate downstream activities such as CNC Tooling, Finite Element Analysis and Mold Flow Analysis.

	#	Unit cost	One-Time 1996-97	One-Time 1997-98	Recurring
Print and Textiles Lab					
Personal computer	2	2,000	4,000		
11X17 Laser Printer	1	3,500	3,500		
Software					
loom interface	1	4,000	4,000		
Equipment maint/ongoing upgrades					2,600
Print and Textiles Lab Subtotal			**$11,500**	**$0**	**$2,600**
Rapid-Prototyping Lab					
Milling Machine	1	35,000	35,000		
CNC controlled					
Overhead router system					
High Speed Graphics Computer	1	20,000	20,000		
Equipment maint/ongoing upgrades					2,600
Rapid-Prototyping Lab Subtotal			**$55,000**	**$0**	**$2,600**

4.2.6   Faculty Computers

Current: The quality and capacity of computers used by School of Design faculty varies widely. A few faculty have newer computers which are connected to the ethernet, but roughly half of the faculty have fairly old equipment without the capacity to access graphic images.

Proposed: All regular (tenure-track and tenured) faculty members and full-time professional staff members will be provided with a computer and software which will enable them to more efficiently support, develop and teach School of Design courses. A computer "pool" will also be created for adjunct and part-time faculty to use during semesters that they are teaching. All of these computers will have the capabilities of the students' computers and will be upgraded as requirements for students' computers are changed.

	#	Unit cost	One-Time 1996-97	One-Time 1997-98	Recurring
Computers for regular faculty					
Personal computer or laptop	26	2,000	52,000		
Hardware maint/ongoing upgrades					20,000
Affiliated faculty computer pool					
Personal computer or laptop	10	3,000	30,000		
Equipment maint/ongoing upgrades					8,000
Software					
Software (ed. disc. pricing)	52	1,500	78,000		
Software upgrades					9,900
Faculty Computers Subtotal			**$160,000**	**$0**	**$37,900**

4.3   Administrative Support

Current: The School of Design already has three service unit directors that report to the dean's office—media, materials and computing. The computing lab and materials lab have salaried assistants and work-study help.

Proposed: New positions within School of Design will be required to support the new computing areas in the program and guarantee coordination and effective use of hardware, software, and faculty and staff time. The following positions would be added to and managed within those service units to ensure that all the existing service unit resources work together with the new electronic resources.

Program Coordinator/ Network Administrator (recurring 100% time)
    Responsibilities include coordinating the IDEA (all the various parts of School of Design's electronic environment). This would include overseeing the School of Design's Computing, Materials and Media Labs, scheduling employees, and ensuring the network is properly maintained. The Coordinator will be familiar with network software, supervise repairs of equipment, work with faculty and staff to choose and purchase new hardware and software, and be responsible for School of Design and WWW servers.

School of Design Computing Laboratories TAs/ Attendants (recurring 25-50% time)
    Grad Assistants and Undergrad Attendant positions will assist students in the Service Labs and help man the Electronic Help Desk. The School of Design Labs will be open approximately 80 hours per week. This funding will provide a base level of staffing which the lab has not had in previous years.

Slide Library Data Entry Assistants (two year 50% time)
    This person will enter the files for a selection of approximately 20,000 slides already available through the School of Design collection to bring the collection database up to its full potential as a research/ teaching resource. In addition, this individual will coordinate the purchase of digital image packages which will expand the school's image collection.

	#	Unit cost	One-Time 1996-97	One-Time 1997-98	Recurring
School of Design Network Coordinator					
1 FTE (salary and fringe)					55,000
Computer Lab TAs/Attendants					
25% Grad Assistants (9mo)	3	6,000			18,000
25% Ugrad Attendants (9mo)	3	3,600			10,800
25% Ugrad Attendants (3mo ss)	2	1,200			2,400
Slide Library Data Entry Assistants					
50% Data entry assist (12 mo)	3	10,000	30,000		
50% Data entry assist (12 mo)	3	10,000		30,000	
Administration Subtotal			$30,000	$30,000	$86,200

4.4   Training and Course Development

Current: Faculty and staff have had to acquire skills and expertise on their own or by using limited departmental professional development funding for travel to attend workshops. The School has provided some workshops for faculty.

Proposed: Staff in the slide library and photo/video lab need to attend seminars on digital imaging. Funds will provide for intensive training and course development during the first two years of this program, with ongoing funds for continuing training.

Faculty and Staff Training

School of Design faculty will receive training in various forms of software used by Architecture, Environmental Design, Graphic Design, Industrial Design, and Landscape Architecture allowing faculty to encourage and support student use of computing in both academic and studio classes. Ongoing training will continue for faculty and professional staff in such topics as network-based and distance learning teaching techniques and software.

Course Development

A course development grant pool will be created for regular and adjunct faculty and staff who work on course development projects, enabling them to apply for funding by writing a proposal for developing specific computer-based instruction for their classes. These competitive grants would be administered by School of Design and could be used for release times, RA support, summer salary, special materials, or software.

	#	Unit cost	One-Time 1996-97	One-Time 1997-98	Recurring
Faculty and Staff Training					
Intensive courses (instr's salary)	2	3,000	6,000		
Intensive courses (instr's salary)	5	3,000		15,000	
Professional development/ training					
$200/yr x 60 faculty and prof. staff					12,000
Course Development					
96-97 Course Development Grant Pool					
Faculty release time or summer salary					
6-10 grants @ $1500-4000 each			25,000		
Grant matl's and supplies			5,000		
97-98 Course Development Grant Pool					
Faculty release time or summer salary					
6-10 grants @ $1500-4000 each				25,000	
Grant matl's and supplies				5,000	
Development Subtotal			$36,000	$45,000	$12,000

4.5   Space Planning and Security Measures

Current: The School of Design has had no major renovation for nearly 20 years. Minor improvements, sponsored by private funding, are presently underway. An accessibility project has also been initiated by the University. The School community has been informed of a networking effort but no work has begun. The school has no provision for electrical power upgrades or security systems.

Proposed: The existing computer lab and adjacent classroom (Brooks Hall 202 and 203) will be remodeled to provide a control desk, secure office for lab director, server room, an equipment storage room, projection room, teaching lab and a mult-media presentation classroom.

The existing darkroom will be remodeled with the adjoining areas to provide the new imaging center. The sinks will be removed and lighting and electrical upgraded to meet computing environment standards. Some new furniture will be required for the imaging center.

Install card-key security system to secure critical studio areas and the Simulations and Imaging Labs in order to provide 24 hour access to these high-demand areas. All other security will be either traditional key locks or lockable cabinets.

	#	Unit cost	1996-97	One-Time 1997-98	One-Time Recurring
Remodel					
Simulations lab/ classroom			30,000		
Multi-media lab (remove trad. equip)				30,000	
Rapid-prototyping lab			10,000		
Install card-key security system to critical areas			50,000		4,500
Provide lockers and light cable security					
for studio clusters and lab areas	10	3,500	35,000		
Space and Security Subtotal			$155,000	$0	$4,500

5.   **OUTCOMES
STRATEGIC PLAN FOR TECHNOLOGY**

Aspiration:
*Advance the technological capabilities of the School to
enhance the academic experience, improve administrative
services and support research and creative activity.*

5.1   **Implementation Goal:**
Integrated Digital Environment for the Academy

The goals involved in the strategic direction are the outcomes of the School of Design desire:

- To provide every student and faculty member with individual CAD workstations suited to the demands of their profession and research, most of which will be powered by the next generation of super-fast laptop or personal computers provided by the students, networked together and linked to a central server that will have the latest software;

- To continue to maintain central labs that will function as the School of Design computing service bureau with high-end computing and visualization hardware and software;

- To have every course in the curriculum take advantage of the information and computing technology, using the appropriate software to aid in instruction and course work; and

- To use the electronic environment to assist in integrating core content courses and design studios.

In order to meet that goal, in 1996-97 the School of Design will:

- Initiate IDEA funding, both recurring and one-time, to implement the skeleton of the network system and central server;

- Request the establishment of a requirement for student-owned super-fast laptop or personal computers for selected professional, graduate and undergraduate programs. Implementation would begin with 1997-1998 new students;

- Establish a grant program to make it possible for under-privileged students in the selected professional, graduate and undergraduate programs to lease or buy the next generation of super-fast laptop or personal computers;

- Continue to upgrade the existing service units to meet the IDEA goals; and

- Seek opportunities for outside support in this area (e.g. recent gifts.....).

During 1997-98, School of Design will:

- Implement the full network and central server in a renovated computing lab;

- Integrate the use of information and computing technology across the curriculum;

- Refine and keep up-to-date the use of information and computing technology across the curriculum;

- Explore the possibility of expanding core professional degree programs to remote sites within North Carolina by using Distance-Learning Technology; and

- Continue to seek outside private support for computing needs.

5.2　　　　　　Consequences of not funding this request:

Simply put, without this support, the School of Design faces a weakened ability to recruit high-quality students, loss of top faculty and staff, a downturn in the national rankings of professional programs, loss of support from the professional community, and ultimately, the inability to maintain accreditation of professional programs.

Dean Marvin Malecha, Ann Sundberg (School of Design Development Officer) and others who work on fundraising for the School of Design continue to report that the professional community is asking that School of Design graduates be familiar with computer technology. The professional community is at the same time supportive of the school and the tradition of excellence at the School of Design and disappointed that the leadership in computing is not forthcoming. The School of Design must be able to give students a full education—one that includes adequate opportunities for them to acquire an understanding of the principles of computer-aided design and other digital technologies—in order to obtain meaningful employment and contribute to society.
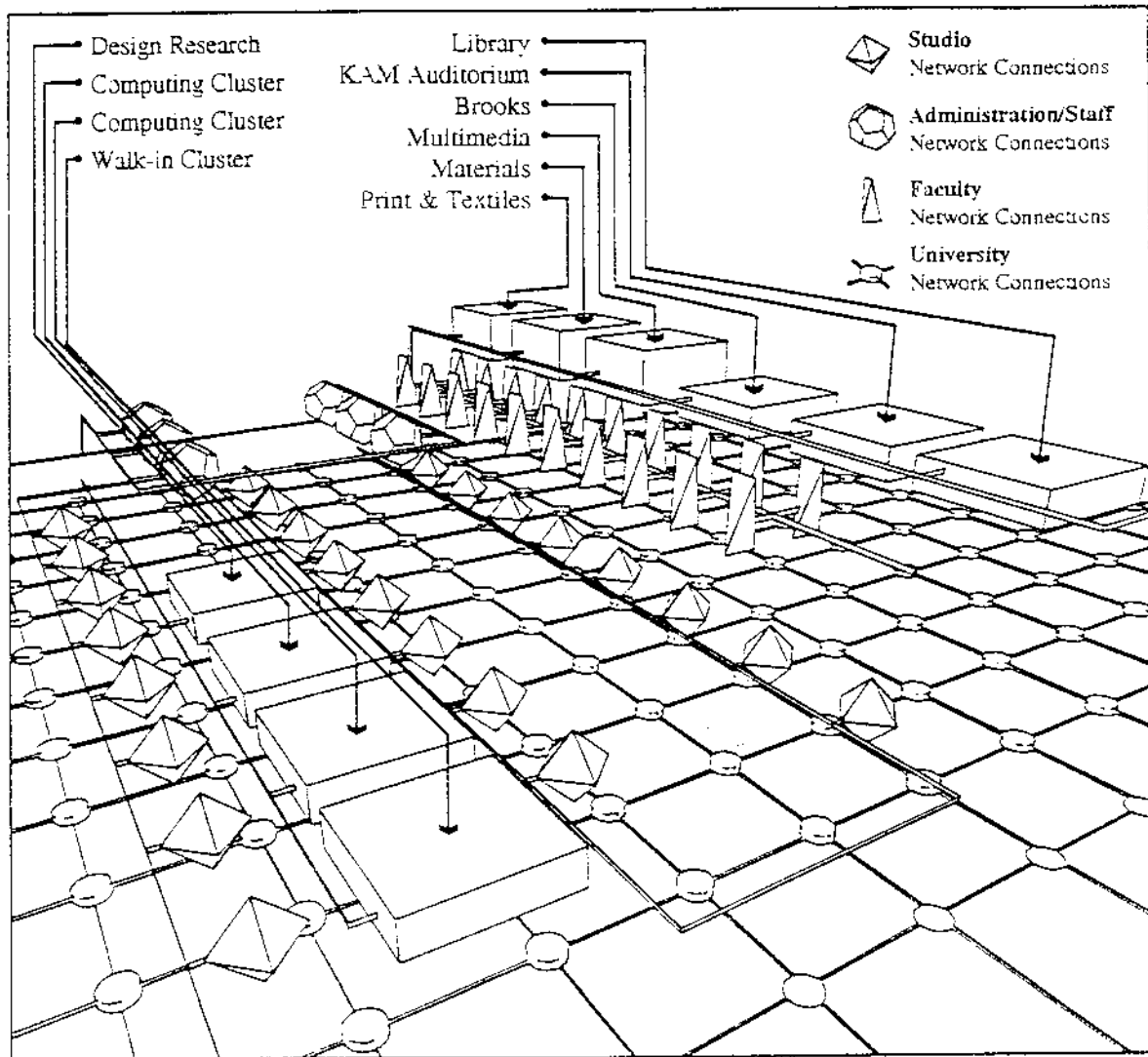
Accreditation teams for Architecture and Landscape Architecture professional programs now review computer equipment and facilities as part of their accreditation review. If the School of Design cannot remain at least relatively current in these technologies, the accreditation of School of Design's professional programs may be jeopardized. For example, the 1995 report of the National Architecture Accreditation Board (NAAB), as cited on page 14 of the document, was emphatic in its recommendation regarding the implementation of new technologies.

> Computers have become an essential part of architectural practice. The computer is a tool and students must be facile with all of the tools of the profession.

> The computer program must be strengthened if students are to meet the needs of the professional community upon graduation. Computer hardware and software and their constant updating require capitalization or a creative approach to equipment acquisition. The Department of Architecture must explore with the University various ways of creating a program which can continue to grow. Several schools now require students to come to school with their own computers. The students responded positively to this approach at the open student meeting. Other schools have maximized their research links and acquired very sophisticated equipment for students to access through grants and links with computer hardware and software companies.

Prospective School of Design students are increasingly more computer-aware and are increasingly more sophisticated consumers. If the School of Design's computer instruction, hardware, and software fall behind those of other universities, we will lose top students to other institutions. At present, our students are reporting to us that the technical schools in the triangle area have computing equipment and facilities far superior to ours.

Support for the technologies used by faculty in their research is critical in attracting and retaining faculty at the leading edge of the design disciplines. Several School of Design faculty will retire in the next few years. Without the appropriate technology to support faculty research, the school will not be competitive in seeking either research dollars or the best new faculty.

Design Research
Computing Cluster
Computing Cluster
Walk-in Cluster

Library
KAM Auditorium
Brooks
Multimedia
Materials
Print & Textiles

Studio
Network Connections

Administration/Staff
Network Connections

Faculty
Network Connections

University
Network Connections

September, 1999
Chania, Greece

EAAE

Managing A School of
Architecture

With

"Eyes open Idealism"

A presentation to the second annual meeting of the heads
of architecture schools in Europe, a European Association
for Architectural Education event.

Marvin J. Malecha, FAIA, Hon. EAAE
Dean of the School of Design at NC State University

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Prologue

The management of a school of architecture and design is a great privilege. The individual chosen to lead is given the opportunity to live the life of the mind and engage in creative thought with individuals who possess creative abilities of the first order. Yet, it is also a personal challenge. It is a position guided by a strong belief system that is tested each and every day the individual remains in office. It is a position that allows an individual the opportunity to foster the meeting of the best human aspirations with unbounded energy. And, it is a position that demands that the worst of human nature be confronted. This paper is presented from a base of experience equaling more than twenty years of duties including departmental leadership and deanship. It is a paper that assumes that the individual who accepts the leadership of an architectural program has not only been chosen because of administrative ability, but most importantly because of a demonstrated devotion to the pursuit of design studies. The responsibility for leadership in the academy is dependent on the ability of an individual to form a relationship of trust with a complex community of specific constituencies and dependents who often have conflicting opinions. An individual who aspires to lead must articulate a vision of the organization that connects with the most dedicated theorist and the most ardent keeper of the institutional legacy. The dean and department head must be willing and able to assume the

role of teacher to both faculty and staff regarding the most pressing issues before the community.

Two individuals came to mind as I prepared the text of this presentation. The first, Panos Koulermos, took me under his wing as I assumed the Department Chair position at Cal Poly Pomona. His experience and guidance as a dear friend inspired me to understand that all we do in life begins with passion and idealism.

Many of the observations of this text are the result of a close collaboration with Dean Robert Greenstreet. I am thankful for this collaboration as it has made me a more reflective academic leader.
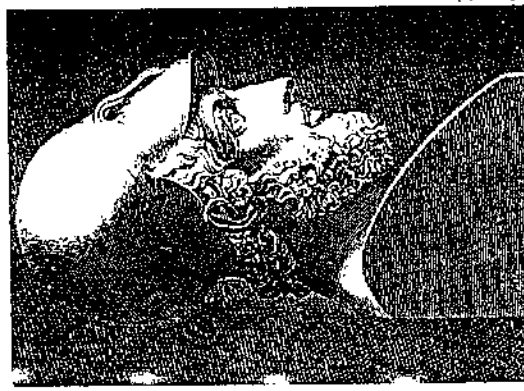
Marvin J. Malecha

Leadership in Design Education

It is appropriate at meeting convened in Greece to begin a mini-seminar on leadership strategies by citing the accomplishments of one of the most significant leaders in history, Pericles of Athens. The Athenian democracy has become the touchstone of western civilization and the educational exploration of the philosophical schools of Athens continues to inspire our intellectual investigations even today. It is a model of considerable inspiration for the text of this presentation. Leadership is a concept that is as often defined by intelligent following as it is by courageous trail blazing. However it is defined, leadership must set out the aspirations of those who comprise the community. The strength of leadership is marked by the openness to accountability.
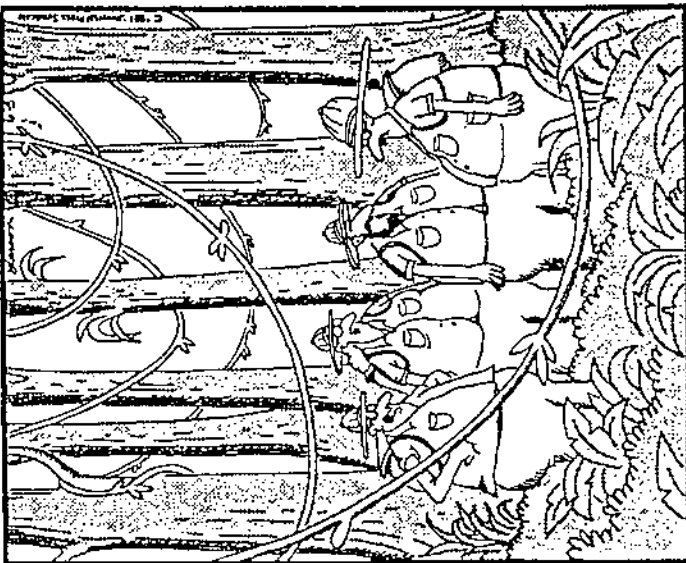
The story of the Athenians in the times of Pericles suggests that the creation and survival of democracy requires leadership of a high order. When tested the Athenians behaved with the required devotion, wisdom, and moderation in a large part because they had been inspired by the democratic vision and example that Pericles had so effectively communicated to them. It was a vision that exalted the individual within the political community; it limited the scope and power of the state, leaving enough space for individual freedom, privacy, and the human dignity of which they are a crucial part. It rejected the leveling principle pursued by Ancient Sparta. By rewarding merit, it encouraged the individual and excellence that

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makes life sweet and raises the quality of life for every one. Above all, Pericles convinced the Athenians, that their private needs, both moral, and material, required the kind of community Athens had become. Therefore, they were willing to run risks in its defense, make sacrifices on its behalf, and restrain their passions and desires to preserve it.

Donald Kagan, Pericles of Athens and the Birth of Democracy, The Triumph of Vision in Leadership. NY: Touchstone Publishers, 1991, p. 273
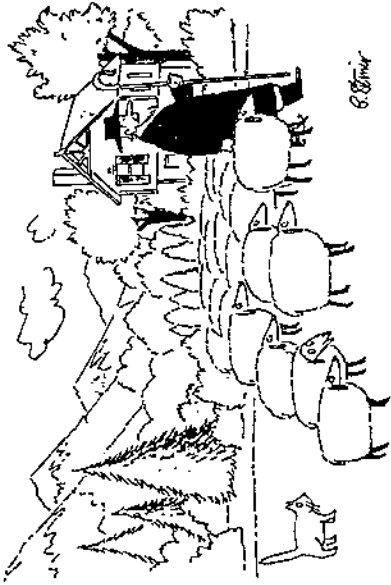

1. Pericles of Athens
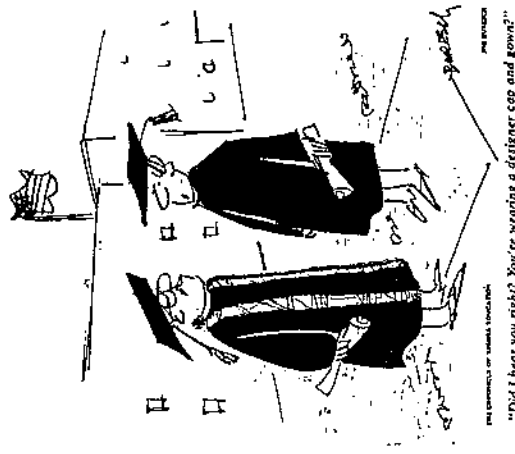
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"She's not all over you, but she gets the job done."

3. Defending a Demanding Democracy

The leadership of an academic program today functions within a demanding and often difficult democracy. The faculty, non-academic staff, students and alumni are well informed and eager to promote specific positions and priorities. This is a creative citizenry not willing to simply accept a means of doing at face value. The senior administration of a significant academic institution expect that the school or college will creatively be positioned by the dean to attract significant funding. The office of a department head or dean is an office requiring reflection-

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"Well, we're lost. I knew from the start that it was just plain idiotic to choose a leader based simply on the size of his or her respective pith helmet.
Sorry, Cromwell."

2. Leading from a Base of Experience

A base of experience provides the context of leadership. The issue is can the individual who would lead learn from past experience so as to be able to apply lessons to related but different situations.

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academic staff has become a central aspect of the dean's responsibilities. Why should a discussion of management be included in such a distinguished meeting of educational leaders? Because without increasingly sophisticated management strategies in architectural education the dreams shared at this meeting will not be realized. This is not a message unique to the United States. It is a growing reality for all educators.

"Did I hear you right? You're wearing a _designer_ cap and gown?"

4. Representing Design Attitudes on Campus
Among the most visible of duties for a leader of a design program is the promotion and nurturing of design on campus. This is a responsibility that requires persistence and opportunism. The dean's message that each

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in-action. It is an office that is frequently assessing the bottom line cost for the desired outcome.

The dean or department head should recognize that every move he or she makes will be observed and interpreted. The adoption of the design method as the basis for action is an acceptance of the symbolic nature of the actions of an academic leader in the design professions. The design method is founded on the concept of exploration. It is a process of seeking a greater metaphor for action even while attention to detail is recognized as central to the realization of a plan. The design process is dependent on a vision and it can only be determined as successful when the outcomes are measurable. This understanding is at the very root of this paper.
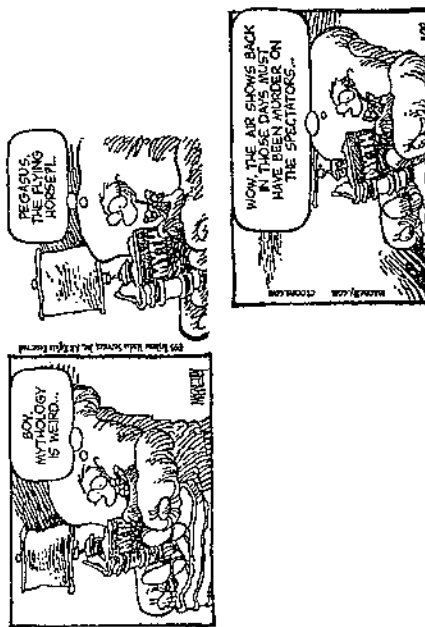
Why should a discussion of management be included in such a distinguished setting as a meeting of the architecture programs of Europe? Again the advantage of the study and practice of architecture presents the example of what is required to realize an exceptional structure. It is the discipline of decision making in situations of conflicted priorities with information that comes to the situation from disparate sources. The most sublime curricular aspirations have no hope of realization without a culture of management. In a society that expects an ever more entrepreneurial spirit the academic can not assume that such expectations will stop at the door of the academy. And, the encouragement and development of academic and non

project of graphic identity, art in public places, landscape and building design, and discussion of teaching pedagogy, is important to a design program must be continually reinforced. Clearly, a campus that values the study of literature would never celebrate the acquisition of mediocre examples of writing. So too it must be clear that mediocrity in design cannot be celebrated. The pedagogy of design education has much to offer even the most established institutions. It is a message of the value of the study of design and architecture to a university community. A passion for good design not only underlies the leadership of a dean within a program, but it is the foundation of respect that a dean receives from colleagues and administrative superiors on campus.
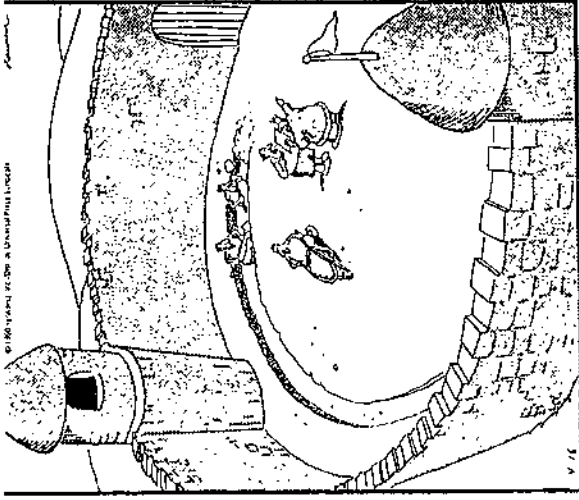
5. A Shared Rather than Imposed Mythology

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Leadership that is successful fosters a belief system that is inclusive rather than elitist. Certainly, the value an individual can bring to leadership can be considerable. But if the belief system of that individual is such that it demeans the contributions of others it will soon be seen as imposed, or worse by those who will be expected to work with it. Successful leadership encourages vigorous discourse on subject that define the value system of the community. When the mythology of the place is developed under such conditions it will transcend individuals and time to foster a deep legacy for the program.

6. Fostering a Climate of Respect

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Suddenly, a heated exchange took place between the king and the most contractor.
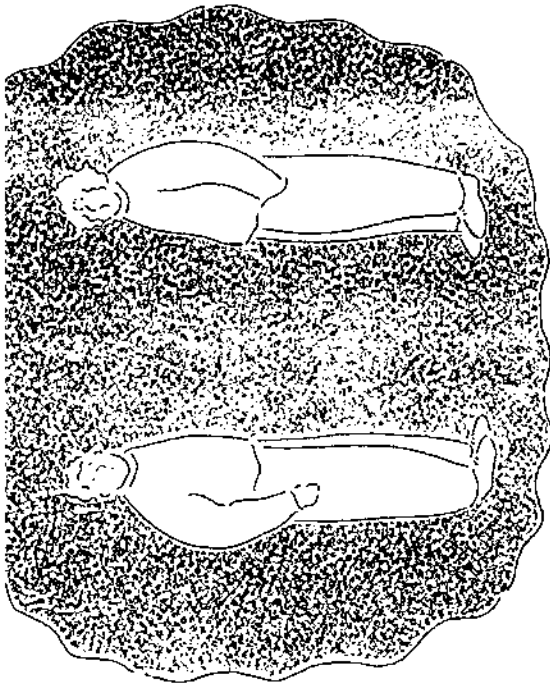
Leadership begins in a climate of respect. Even the most difficult issues can be brought to resolution when the dignity and values of others are honored. A climate of respect is at the very heart of the design studio community environment. The speculation of the design studio demands that an open climate free of ridicule or harassment exists for the flowering of ideas. The moment this environment erodes is the moment that the search for ideas ends. Disagreement in the academic environment is a healthy sign. It indicates that the life of the mind is continually refreshed. It demands that the proponents of an idea must be prepared to be tested. However, disagreement can only flourish where ideas are kept apart from personal judgements. The open and honest criticism of ideas cannot be confused with judgement of personal worth or the value of individual character. It is the responsibility of the academic administrator to guide and protect the generation of ideas while insuring and environment of personal dignity.

7. Maintaining Direct Involvement

Academic leadership is hands-on. Intelligent delegation is a necessary aspect of deanship. However, even in the situations of delegation the outcomes must be understood and the means to resolution clearly agreed upon among the leadership team. There is no such thing as necessary deniability when it comes to the areas of responsibility assigned to a dean. The ultimate success of a term of academic leadership is dependent upon the details of execution. Just as the most interesting concept for the design of a building can be undone by the quality of the details of its execution, so too can the ideas underlying a deanship be derailed by the inability to implement key aspect of administration. The final analysis of a deanship will demonstrate the necessity for the close attention to details for effective leadership.

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Learnig to Lead　　　51

Choosing Status Over Results
Is it a Personal and professional failure if the organization you lead does not make it objectives?
Is success a career move?
Can the organization succeed without you?

Choosing Popularity Over Accountability
Are you reports close personal friends?
Does it bother you if your reports are unhappy with you?
Are you reluctant to give negative feedback?

Choosing Certainty Over Clarity
Must you be intellectually precise?
Do you wait for more information before acting?
Do you enjoy debating details?

Choosing Harmony Over Productive Conflict
Do you prefer pleasant meetings?
Are meetings you lead often boring?
Are you uncomfortable if your direct reports argue?

Choosing Invulnerability Over Trust
Can you admit when you are wrong?
Do you fear others want your job?
Do you keep you weaknesses secret?

Patrick Lencioni, The Five temptations of a CEO

9. Five Temptations of Leadership

THE CHRONICLE OF HIGHER EDUCATION

"You know me, I'm a problem solver. I listen. I flirt with understanding. I move on."

CHRISTOPHER WEYANT

8. Comprehending Disparate Information

Among the most interesting and frustrating aspects of academic leadership is the dynamic nature of the information and experiences. Meetings often occur on fifteen minute intervals on subjects as diverse as a student grievance and a call from the university chancellor. In any of these cases the individual must be prepared to think quickly and to comprehend the issues of the situation with little time for reflection. This stretches the individuals ability to deal with any one issue substantively. The individual must identify issues where substantive thought can be engaged.

The ultimate skill is to learn what you do best and seek to spend as much time as possible In that endeavor.
Ken Carbone

Leadership is measured by the outcomes of the involvement of an individual in a community. The five temptations of leadership as articulated by Patrick Lencioni in The Five temptations of a CEO clearly articulates the expectations of a leader by identifying the temptations that work against effective leadership. The enhancement of individual status should never be confused with real gains on behalf of the organization. Popularity is the leader's temptation while accountability is the necessary measure of an individual's ability to lead. Everyone seeks approval and affection, but holding a standard often is an unpopular responsibility. Leadership often requires the choice of a path of action before each of the facts are known and every detail resolved. The dependents of leadership require a sense of continual movement. The leader must be prepared to act and to adjust rather than to wait for the certain solution. Delay is the enemy of flexibility in leadership and flexibility is the fuel for continual reconfiguration and improvement in a complex academic community.

Chose Trust
Over Invulnerability

Chose Conflict
Over Harmony

Chose Clarity
Over Certainty

Chose Accountability
Over Popularity

Chose Results
Over Status

Patrick Lencioni, The Five temptations of a CEO

10.   Overcoming the Five Temptations

The lessons of overcoming the temptations of leadership, again noted by Patrick Lencioni, ring true with experience. The leader must seek the very best colleagues and then be willing to trust those individuals to act responsibly and appropriately. Harmony is a great temptation for those responsible to convene and moderate diverse interests. However, the search for

harmony may subdue the vital need for diverse opinions in a healthy community. Those who express alternate points of view are a valuable asset to the organization. The leader is expected to keep the community in a continual state of development and maturation. Such a process requires action and reflection to be continually interactive rather than linear. Perhaps the most difficult aspect of leadership is that accountability must take precedence over popularity. The academic leader must communicate the effectiveness of individuals including faculty and support staff. When accountability is uncertain the message the leader sends to the community is that the stated goals of the community are also uncertain.

The credit for effective leadership emanates from the successes and accomplishments of those who are led. When credit for leadership is directly sought after it is elusive. This is the puzzle of leadership. Those who seek self aggrandizement by definition fail at the fundamental requirement of the effective leader, that is to see to the success of others.

Building Relationships
Among the Constituencies
and Dependencies of Leadership

Academic leadership is founded on trust and respect rather than power and vested authority. The sword, shield, and helmet that is issued to an academic dean along with academic regalia are no more than the toys of children, rubber painted to simulate steel. If the choice is ever made to utilize these weapons the combatant will be essentially unarmed in the arena. Selflessness rather than ego propel academic leadership. And the resolution of disparate ideas and people through diplomacy is more effective than a demonstration of power. The academic leader is challenged to walk along the paths of divergent interest groups. Five major constituencies comprise the academic community; students, faculty, support staff, senior academic administration and the alumni and immediate professional friends of the program. There are several dependencies including; the community beyond the walls of the academy, parents, and future employers. Each of these constituencies and dependencies require a specific response from the academic leader, and, each of the representative groups expect the academic leader to walk in their shoes. Two models for action emerge. The first, the Clinton model, is the "I feel your pain" posture. This model depends on the individual who leads to either become fully involved with each of the groups or to be sensitive to their issues as

to provide academic leadership. An academic leader must move with confidence in a variety of experiences as diverse as working in a traditional studio, conducting alumni receptions, and providing a tour of the school to a prospective student and his or her family.

The academic leader must move comfortably in the management of a larger academic community. The senior administration of the host institution for the study of design and architecture must be considered an important constituent of the dean or program leader. In the terms of a design professional, the senior administration must not be considered the enemy, they are an important client. The over-riding paradigm of the university environment is collegial. Those who would lead an academic program in such an environment must understand that to be valued in such an environment requires a demonstration of value. The splendid isolation of past design programs has been the undoing of many fine programs. Today the academic leader must engage the entire university community to be considered a valued member of the community.

they are experienced. The second model is Bobby Kennedy's posture, that is to represent the opinions and needs of each constituency and dependency to the others. The first is an attempt to have each constituency believe their needs are understood by a benevolent leader. The second is a step toward real progress by working toward the broad understanding of the complexity of the needs of each of the constituencies within a community by each of the constituencies of that community.

It is the students who must place the most trust in a dean or program head. Their time in the school is golden and it cannot be repeated. An academic leader cannot lose his or her connection to the students. If such a continuous communication between the dean and the students is lost, it is the undoing of the leadership of the program. The academic leader is a member of the faculty. An entire career is founded on academic accomplishment as a prelude to leadership. The line some would draw between administration and faculty is entirely artificial. The academic leader must resist this characterization or risk being isolated from faculty colleagues. The faculty expect recognition, support and appreciation. They wish to share in the decision process. The non-academic staff play an important role in the life of an academic community. Their role as advisors and advocates for the students must not be underestimated. Similarly the non-academic staff expect and deserve a voice in the life of a school. The dean is expected to be a senior member of this staff just as he or she is expected
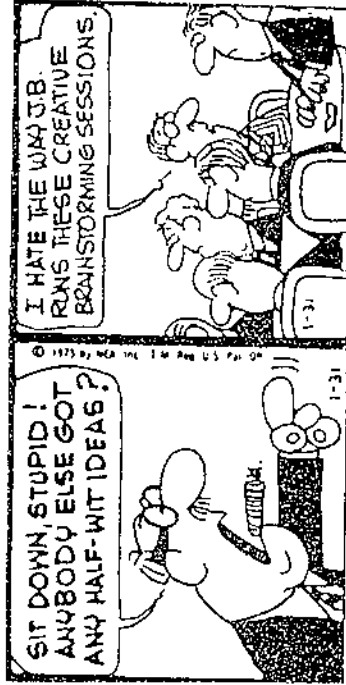
"We may as well go home. It's obvious that this meeting isn't going to settle anything."

11. Moderating the Discussion and Setting the Agenda

Among the most satisfying aspects of a leadership position is the discretion to set the agenda for discussion and action. This responsibility has the potential to significantly change the spirit of a place. To realize this potential the leader must be willing to connect resources to the discussion.

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12. Incorporating the Work and Ideas of Others

The responsibility of leadership is to establish concepts and ideas of such a nature, with general principles, that it is possible to incorporate the ideas of others. This process is essential for the engagement of a substantial portion of an academic community in the initiative underway. The dean or program head cannot lead without the engagement of a substantial portion of the community.

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The Philosophical Aspects of Cultural Difference

Developed by Edwin J. Nichols, Ph.D.

Ethnic Groups/ World Views	Axiology THE NATURE OF VALUES	Epistemology THE NATURE OF KNOWING	Logic THE NATURE OF REASONING	Process THE NATURE OF DOING
Euro-American European	Member-Object The highest value lies in the object or the acquisition of the object.	Cognitive One knows through counting and measuring.	Dialectic Either/Or	Technology All sets are repeatable and reproducible.
African African-American Hispanic Arabs	Member-Member The highest value lies in the interpersonal relationships between persons.	Affective One knows through symbolic imagery and rhythm.	Diunital The union of opposites.	Ntuology All sets are interrelated through human and spiritual networks.
Asian Asian-American Polynesian	Member-Group The highest value lies in the cohesiveness of the group.	Conative One knows through striving toward the transcendence.	Nyaya The objective world is conceived independent of thought and mind.	Cosmology All sets are independently interrelated in the harmony of the universe.
Native American	Member-Great Spirit The highest value lies in oneness with the Great Spirit.	Transpersonal One knows through reflection and spiritual insight/ receptivity.	Wakan Tanka "great mystery" (medicine wheel) 4 directions	Transcendence All sets of life are interrelated through mineral, plant, human and spiritual networks.

14. Accepting and Celebrating Diversity

Administrating a design program is an exercise in celebrating diversity. The varying approaches of designers indicate the vitality of the creative process. This diversity is strengthened by the incorporation of many intellectual traditions and cultural legacies. It is the responsibility of the academic leader to insure that the rich traditions of culture, race, gender and tradition are incorporated into the consideration of design studies.

Religious Truths

Taoism Shit happens.	Confucianism Confucious say, "Shit happens."	Buddhism If shit happens, it is not really shit.
Zen Buddhism What is the sound, of shit happening?	Hinduism This shit happened before.	Islam If shit happens, it is the will of Allah.
Protestantism Let shit happen to someone else.	Catholicism If shit happens, then you deserve it.	Judaism Why does shit always happen to us?
New Age Affirm shit does not happen to me.	Atheist I don't believe this shit.	Rastafarian Let's roll that shit up and smoke it.

13. Recognizing Varying Perspectives

A healthy academic community is comprised of many, often conflicting perspectives. The academic leader can draw strength from these divergent perspectives. It is from an array of ideas from which new perspectives grow. Those who would blindly defend a single manner of thought are condemned to think inside of an accepted pattern and deprived of the opportunity to think creatively. Flexibility of action is absolutely essential for effective leadership.
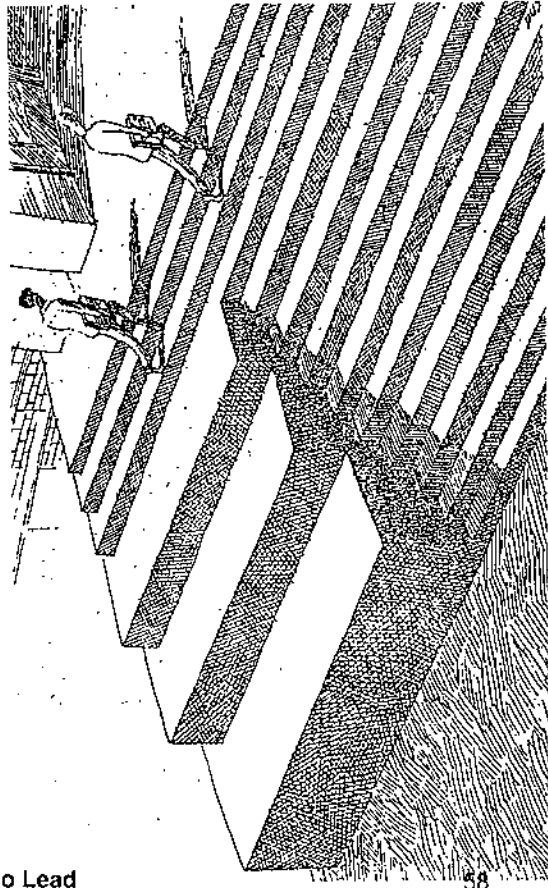
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How to Solve Disputes

Home sharing is a business relationship with an unusually strong emotional component. To get along with your new partner, you'll have to learn how to share your disagreements When conflicts or disagreements arise, the National Shared Housing Resource Center suggests the following "Ten Commandments" for solving disputes.

State the problem and how you would like it resolved.

Discuss one issue at a time without being defensive.

Make sure you agree on what the problem is.

Listen carefully to what the other person is saying, thinking and feeling.

List different solutions for resolving the problem, don' disregard ideas, list specific steps.

Discuss possible solutions with the positive and negative aspects of each.

Chose a plan both parties are comfortable with.

Decide the who, what, when, where, and why of the plan implementation.

Decide on a time to discuss progress.

Take Pride in working out the problem.
National Shared Housing Resource Center

16. Resolving Disputes

Learnig to Lead

15. Facilitating Opportunity

Among the most important responsibilities of an academic leader is the facilitation of opportunity. This is an active not a passive role. This responsibility includes curricular development, the hiring of a diverse faculty and non-academic support staff, and providing growth opportunities for every member of the school community.

The individual chosen to lead is, by the nature of the position, placed in a situation that places stress on a system. This is particularly true of the dean or program head who has accepted the position from outside of the decision community. In any case the foundation of decision making in situations of conflicted priorities is similar to conflict resolution. However, this is a matter related to the establishment of priorities. It is related to the need for continual growth and maturation of an institution. Decision making in conflicted situations emphasizes the need to act or matters where the path is not clear. In such instances the willingness to act is as important as the decision itself.

Resolving disputes is an unavoidable aspect of academic leadership. It is a test of the credibility the leader brings to the position. It is an exercise in clarity, listening and engagement. The resolution of disputes must become a shared responsibility among each of the parties involved. Dispute resolution is aided in situations when a clear framework for action exists. Freedom and order accompany each other. In the situation of dispute resolution the academic leader must provide the framework of order. In this way trust can underlie the decision process.

"C'mon, c'mon—it's either one or the other."

17. Decision Making In Conflicted Situations

Legacy and Aspirations

A dean assumes a historical context for the actions he or she instigates. The trace of past actions and the implications on the future of actions undertaken is a substantial effect of the leadership of an individual. No actions of leadership should be undertaken without this sensitivity. The academic leader must act with a long view backward and forward. The traces of the past are often lessons in how to proceed. Often ideas worthy of further consideration were mistakenly left behind in the enthusiasm of progress. The long view forward frames the investment in the future that must be undertaken. A mature academic leader understands that many of the fruits of the labor will not be realized until the next dean is in office. The realization of ideas may be even further into the future. Respecting past legacies and commitments is as important as establishing new traditions. Successive generations of leaders leave an imprint giving the community a complexity that is both enriching and challenging to future generations. A place without a past or tradition is an incomplete experience. The essence of an educational institution is dedicated as much to the treasuring and conveyance of legacy as it is about the preparation of the individual for a specific position in life. People with a heritage and traditions to maintain are more likely to be responsible for their own actions as they leave their own imprint on the future.
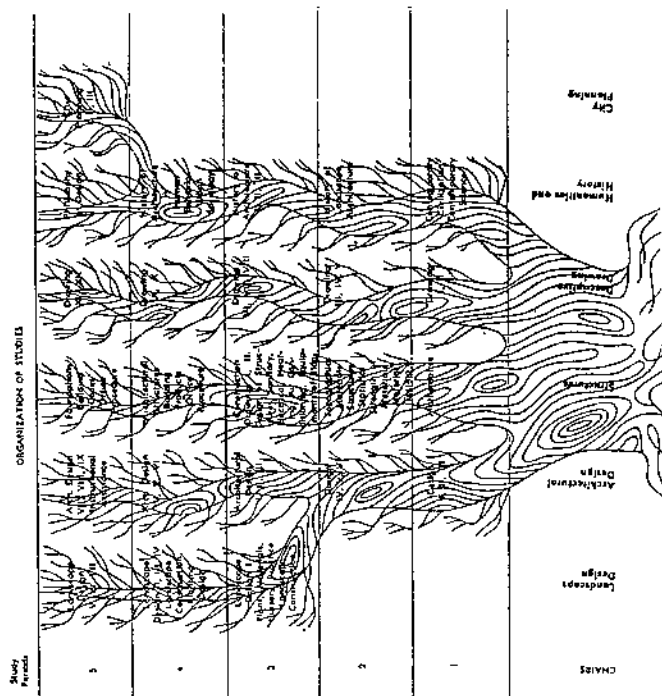

A great deal of **intelligence**
can be
invested in
ignorance
when the
need for
illusion
is
great.

Saul Bellow

18.   **Recognizing and Accepting Failure**
Failure accompanies leadership. The academic leader must become adept at recognizing failure, either stopping what is underway or substantially changing the course of events. Everyone fails. It is better to recognize that failure is a natural accompaniment of action than to take no action at all.

question what exists to provoke a responsive posture and to avoid the carrying out of retribution for past battles. The tradition of curricular development at NC State University School of Design was founded on a natural model emphasizing the interaction of information in the study of architecture. It serves as the foundation for the future model.

The Integrated Intellectual Ecosystem

20. The NC State Curricular Ecology

The traditional model guiding the School of Design at NC State University provides the inspiration for a School now better described as a curricular ecology. It is important to realize that the latter model is clearly derived from the historical model. The new model will dramatically guide the University program with the same clarity that the first curricular tree demonstrated fifty years ago.

ORGANIZATION OF STUDIES

Elective

American or English Literature or Advanced Elective

Modern Language or Advanced Anatomy

Military Science Sport Activities

English Composition Military Science Fundamental Activities Hygiene

Related Subjects

City Planning

Humanities and History

Structures

Architectural Design

Landscape Design

CHAIRS

Study Periods

The NC State Curricular Tree

19. The NC State Curricular Tree

Unless the assignment is to build a new program, an academic leader's responsibility begins with the legacy of the place and its people. The individual who arrives at a school from the outside must carefully study what has occurred over the history of the program. The individual who assumes a position from the inside of an organization must begin his or her duties by stepping back from the perspective of a position held as a member of the community to objectively address the issues of the academic community. Just as the newly arrived leader should not assume all that is new is good and all that exists should be changed, the individual who assumes leadership from within should be aware of the need to

Develop Teaching, Research and Service
  Develop Faculty Enhancement
  Establish Recognition Programs
  Conduct Regular Assessment
Integrate the Humanities and the Sciences
  Network the School and the University
  Conduct Coursework Open to the University
Fully Employ Technology
  Promote development programs for the Faculty
  Develop Distance Education
  Weave New Technologies into Curricular Development
Collaborate with Business and Industry
  Commit to Continuing Education Course work
  Establish Sponsored Project Work
Expand Multi-Cultural and Global Awareness
  Conduct International Study
  Diversify the Student and Faculty Population
  Form partnerships with Institutions Abroad
Secure External Funding
  Lead a n Advancement Program
Establish a Management Culture
  Review School Management

Marvin J. Malecha

Fostering an Engaged Environment

The academic leader must lead the effort to foster an engaged posture by the faculty and students of a professional program. It is an opportunity to stimulate thought on the relevancy of a design and architecture program while engendering a commitment to social action on the part of design professionals. It is equally important that the academic leader work to engage the work of the professional program with the concerns and priorities of the university community. The splendid isolation of the past is an unwise and unfruitful position. There is great reward for engagement. The academic leader must accept engagement as a way of managing. It must be valued as a strategy with deep theoretical underpinnings.

Symbiosis and Leadership
  within the University

University Goals   School and College Goals

Improve Student Success and Satisfaction
  Emphasize the one on one nature of Design instruction
  Provide advising an Counseling services
Achieve a Diverse Community
  Develop outreach programs
  Develop Community Based Learning Experiences

21.   Symbiosis and Leadership within the University

It is the responsibility of the dean or program leader to bring the goals of the program into a symbiotic relationship with the goals of the university.

Similarly, it is the responsibility of the academic leader to bring the goals of the academic program into symbiosis with the design professions and the community.

23.   The Climate of a Multiplier

The role of the academic leader is to act as a multiplier of abilities, resources and dreams. It is at the very basis of education that individuals with aspirations arrive at the academy with the hope to build skill and understanding toward the realization of a productive life. A dean provides the setting for individuals to realize dreams. It is this role that justifies the responsibility of a dean or program head to dedicate considerable effort to the

Symbiosis and Leadership

Community Goals
    with the Community
    School and College Goals

Maintain Professional Relationships
    Maintain Accreditation
    Establish Work-Study Programs
    Employ Practicing Professional
    Establish an Integrated Curriculum

Maintain Relationships with Peer Institutions
    Provide Curricular Leadership
    Seek to nurture a network of Peers
    Establish a Research

Connect the Work of Students and
Faculty with Community Interests
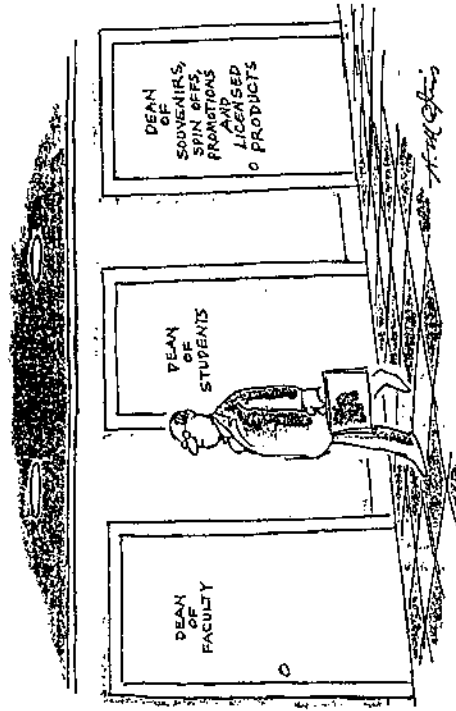   Establish an Extension Effort to
      reach the Community
    Dedicate Studio Work to the Needs
      of the Community

Marvin J. Malecha

22.   Symbiosis and Leadership with the Community
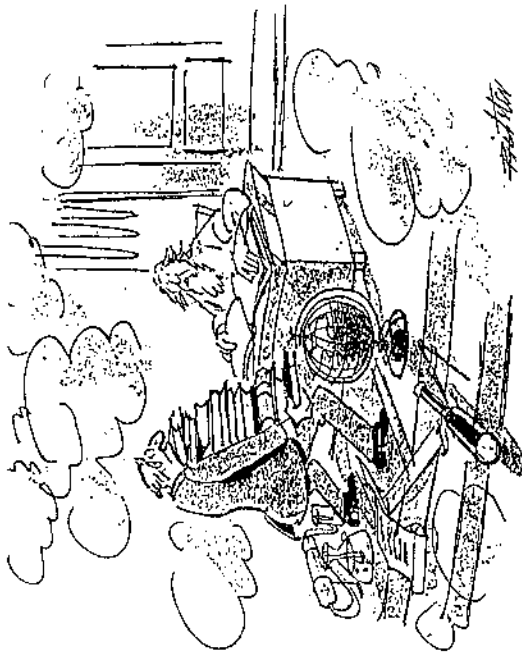
Following directly on the responsibility to act as a multiplier of human, physical, and fiscal resources is the responsibility of a dean to venture ideas. Academic leadership must transcend management process by a fundamental engagement with ideas. It is a great privilege of leadership to be in a position to venture and act upon ideas. The most frequently expressed regret of the outgoing dean is that ideas were sacrificed for expediency or that ideas were never properly explored. The venturing of ideas requires an overt commitment to the intellectual exploration implied in such an effort.

A Personal Foundation of Substance

A career in academic management requires facility within the design disciplines. The academic responsibilities that define the position requires the individual who aspires to leadership to continually build a body of knowledge related to the discipline of architecture or design. The academic leader must continually be engaged in teaching, scholarship and practice to maintain credibility with students and academic colleagues alike. The nature of this involvement is obviously of a nature fundamentally different from the faculty in that it is only possible to continue such work in collaboration with others. Fundamentally, this is not as much a publish or perish
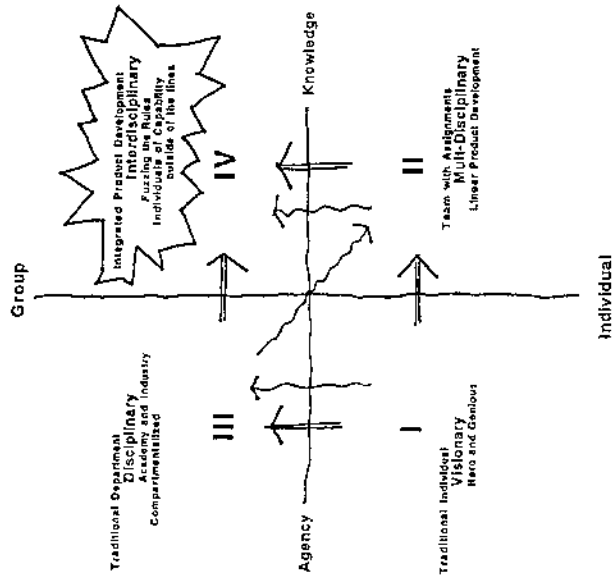
raising of money. Such funds provide students with support for study, the faculty with development funds, improve facilities, and open possibilities for the entire community to grow beyond the limits imposed by basic funding. Accompanying the concept of multiplication is the reality of networking for the purpose of deal making within the academic community. Rewards come to the individual who is perceived as a vital member of the management team. Reward comes to the leader who surrenders to the needs of another knowing that such behavior prompts the community to address needs expressed by that individual. The academic leader is a multiplier of all that comes to the school.

Ideas are like the stars;
you will not succeed in touching them
with your hands.
But like the seafaring man
on the desert of waters,
You choose them as your guides,
And following them
you will reach your
destiny.

Carl Schurz, 1859

24.   Venturing Ideas

Group   Knowledge

IV   Integrated Product Development / Interdisciplinary / *Fuzzing the Rules* / *Individuals of Capability outside of the lines*

II   Team with Assignments / Multi-Disciplinary / *Linear Product Development*

III   Traditional Department / Disciplinary / *Academy and Industry* / *Compartmentalized*

I   Traditional Individual / Visionary / *Hero and Genious*

Agency   Individual

26. Seeking Collaborations

The work of a dean or program leader is best realized in collaborations.

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mentality as it is an process of heightened awareness of what is underway in the design professions.

"*Very imperative, Dr. Barniski. But I'm afraid that up here we judge the quality of your life, not the quality of your scholarship.*"

25. Building a Body of Work

It is the quality of work and its influential nature that is important, not its quantity or relationship to traditional measures of publication that matters.

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Deliberations on the Effects of Continual

Reconfiguration

Reflections on the nature of design studies requires asking the most essential questions. Is the studio the only place for the convergence of ideas? How are other course materials integrated into the studio experience? How is design thinking articulates as a distinct teaching pedagogy? What effect does change in society and in practice have on the academic experience? Should the academy in a more engaged posture accommodate change at a more rapid rate? And, does such rapid change threaten the responsibility for the maintenance of legacy implied in the role of the academy?

We live in an age of continuous change. The only constant we have at this point in our national development is change. And change is threatening. It creates apprehension. It makes us nervous. Fear brings about protectionism; economic protectionism, moral protectionism, demographic protectionism, political protectionism, academic and intellectual protectionism. The progress we have made in creating a democratic multi-cultural and multi-racial society is in doubt and further progress is threatened by fear: fear of change.

Auturo Madrid, Less is Not More..in the Case of Education, Brooklyn College commencement address, 4 June 1997

Five Aphorisms

1. A bird in the hand
is worth two in the bush:

look to the **structure** of the school **at hand.**

2. Festina Lente, Hurry Slowly:
when and how are **ideas engaged** for

change, **timing is everything.**

3. Carpe Diem:
there are always **opportunities** to be **seized!**

4. Chose your battles carefully,
then fight the good fight:

change does not occur in isolation, what are the limits to be pushed?

5. Horses for courses:
Who are the **people** at hand and what are their **capabilities?**

Brian Wilson

27.   Deliberations on Change

The academy is often misunderstood as a bastion against change. What is most vehemently defended by the faculty is the control of personal aspirations and the time for substantive reflection. The statement paraphrased as, the reason academics battle so fiercely is that there is so little at stake. On the contrary, what is contested is the discretion of an individual over his or her own time. It is the very reason many individuals entered the academy in the first place. And, if time is our most valuable treasure, it is a battle for that which is most important. Yet, within this context is a need for continual growth and change. Toward this end the academic leader must motivate the faculty to continue maturing as teachers and scholars while holding each individual accountable for such growth.

Abilities and **Experience**

Community Patrons Clients

and Structural and Neighbors **Owners**

and **Users** digital currency

Regulatory and Funding Agencies

Mechanical and **Specialized Consultants**

Architects and Graphics

Landscape Interiors and Furniture and Fixtures

Marvin J. Malecha

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The study and practice of design is a life-long pursuit. It is a path undertaken as a calling and a choice. Along this path, design thinking is a way of seeing that provokes a common sense strategy to accommodate a life of continual change. The pursuit of a life in design is measured by artisanship, reflection, and social relevancy. It is a search for meaning and harmony in a world of far too little of either. The dynamic relationship between skillfulness and understanding gained from experience is the essence of a life in design. But, such a life is fueled by the promise that comes from an openness to new ways.

The University as a **Social Fabric,**

Engaged Community,

Industry Departments and

Committees and **Disciplines** of Study

and Workshops

Students **Staff** Social Welfare

Faculty College and **University**
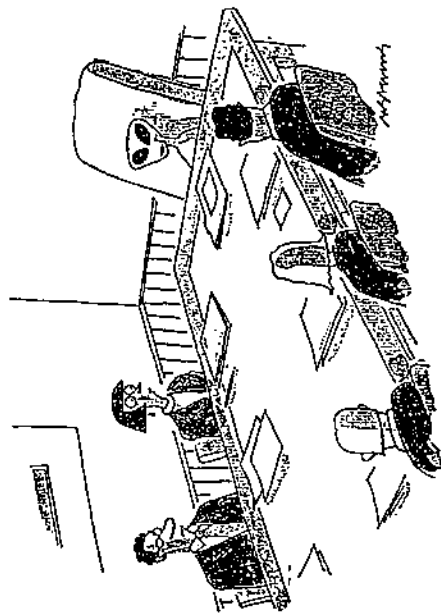
Parents and Family

Social Welfare
Marvin J. Malecha

28. Patterns of Continual Reconfiguration in the Academy

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The very nature of the assignment of an academic leader is to bring change. This is an unavoidable aspect of what the individual brings to a position. This especially should be of no surprise to a design professional. A building carefully designed to respond to the needs of the inhabitants will never-the-less effect significant change upon those individuals. It must be this way or the building is a failure. So it is with leadership. The imposed stress of leadership should be embraced as a positive effect of leadership.

Expectations, Trust and Accountability

The life of an academic leader is defined by the heightened expectations that others hold for the effects of a leaders influence. It is fueled by the trust others place in the ability of a leader and it is clearly measured by specific outcomes for which the individual leader is held accountable. The dean or program head can resist this reality or accept and celebrate it as a stimulus for action. The community will more harshly judge the individual who does not act and will be less likely to trust the leader who is unwilling to be accountable.

29. Patterns of Continual Reconfiguration In Practice

There has never been a time of greater change in the design professions. The role of the academic leader is to observe and translate this change into the life of the academic community. There is a symbiotic relationship between education and practice. The academic leader is the umbilical cord between the two disparate worlds.

"First of all, I want to assure everyone that I'm not contemplating any major changes."

30. Imposing Stress by the Nature of the Assignment

assessment of the performance of deans and program heads is a list that is ambitious and often focused on the responsibility of an individual to bring distinction to a program. This responsibility is articulated in a variety of ways but it always includes planning and resource management, participatory decision making, relationship building, program development, staff development, and leadership in teaching.

Employee performance reviews were due, and I had instructed a woman who worked for me to complete her own evaluation and bring it to me for signature.

Later that day, I called her into my office and held up the review. "What's this?" I asked. "You scored yourself 99 out of 100."

"Well," she replied, lowering her eyes, nobody's perfect."

Diane Sylvester.
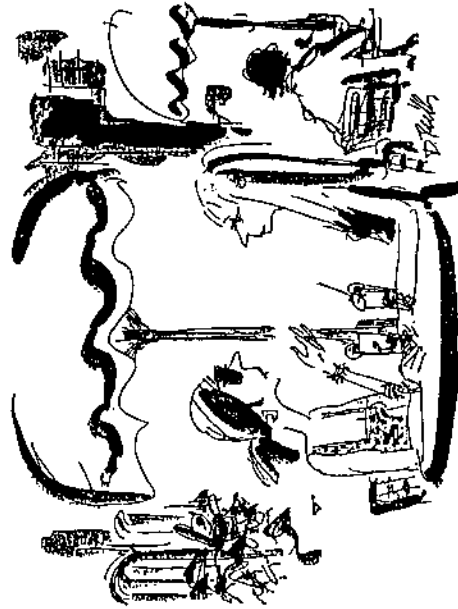
32. Self-Assessment

An academic leader must develop the ability for self assessment. It is an important perspective that allows the individual to learn from mistakes as well as successes.

Leadership Skills and Perspectives

Meeting Job Challenges

Resourcefulness, Doing Whatever it Takes
Being a Quick Study
Decisiveness

Leading People

Leading Employees,
Setting a Development Climate
Confronting Problem Employees
Work Team Orientation
Hiring Talented Staff

Respecting Self and Others

Building and Mending Relationships
Compassion and Sensitivity
Straightforwardness and Composure
Balance Between Personal Life and Work
Self-Awareness
Putting People at Ease
Acting with Flexiblity

Center for Creative Leadership, Benchmarks, A Manual and Trainers Guide.

31. Expectations

The expectations for performance are becoming an increasingly articulated aspect of the appointment of an academic leader. It has become an addendum to the appointment contract in some universities. The

Over time the most important relationships an academic leader can form are those where honest criticism can influence behavior. No one is perfect, everyone can benefit from the observations of trusted advisors. The academic leader should seek to form such relationships. A support network is a decided advantage when difficult problems are confronted.

Now that I'm here, we'll turn the program around 360 degrees.

Jason Kidd, Dallas Mavericks

35. Outcomes

The academic leader should expect that there will be an expectation for outcomes. This expectation is no less important to the students and faculty than to the senior administration. The difference is what outcomes are expected. This returns the discussion to the concept of constituencies and dependencies. Each of these groups will expect to witness gains from their own perspective.

Cauliflower is nothing but cabbage with a college education

Mark Twain

33. A Sense of Humor

A part of the qualities associated with leadership is a sense of humor. It is the most valuable tool of an individual in a position of great seriousness to maintain emotional well being. The ability to laugh cannot be underestimated.

"The jury's still out on Marvin, but I'm running out of alternates."

34. Accepting and Maturing Through Criticism

The leadership of an academic program is a delicate balance of the manner by which students experience the curriculum, the philosophical underpinnings of the program, and the logistics necessary to carry out the experience. It is influenced significantly by the context in which it is offered. It is the responsibility of the dean or program head to amplify the accomplishments of the community and to accentuate the importance of the program to the greater community. This is especially important when the study of design and architecture is carried out in a much larger academic context. The substance the accompanies the act of amplification is often stimulated by the need to increase the influence of the program. This propels the study of design and architecture into community involvement and sponsored project work with business and industry. It is the responsibility of the dean to provide this perspective to individuals who might otherwise be completely consumed by personal interests.

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Closing Thoughts on the Life and the Expectations of a Dean

The management responsibilities of a dean are reflected in the legacy of Pericles. These perspectives engage a broad constituency and define an individual committed to a life of making connections among people, ideas and opportunities. It is a life filled with the opportunity to make a difference in the lives of others. It is a life that connects dreams with outcomes.

The Jack Russell Terrier will stand on his front legs to mark his territory higher so that dogs that follow deduce a larger dog and therefore, a larger threat.

36.   Leadership Skills and Perspectives

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Leadership perspectives when combined with a vision of a shining community on a hill define the expectations of a dean. These expectations, often ambitious for their expressed hopes for the impact of an individual on a program, define what is required of a dean.

Deanship requires leadership of a high order.

The academic leader is expected to articulate a clear belief system that is founded on fairness and open to scrutiny. Everyone within the academic community must know what the dean believes. It is a fundamental aspect of the respect required by the position. This aspect of a dean's leadership provides the foundation for every other requirement of the position.

Deanship requires the ability to form a shared vision.

The development of a shared vision for the community is among the most important responsibilities of the academic leader. The fostering of shared interests, rather than a disjointed collection of special interests, is dependent on the ability of the individual who leads the community to formulate a position, and communicate the shared vision to others. The act of listening begins the process of assimilation necessary for a shared vision.

Deanship requires rejoicing in the accomplishments of others.

The role of a dean or program head is a position that is founded on delight in the accomplishments of others. Success in an academic community is most exemplified

37. The Shining City on a Hill

Academic leaders look to their respective programs as a shining city on a hill. It is an aspiration that drives experimentation and ambition. It is a healthy motivator even in the most dire situations. Every academic leader must lead from a dream of what might be even while knowing the reality of the situation at hand. Thomas Jefferson referred to this quality as "eyes open idealism." It is the most important characteristic of a leader.

in the commencement/graduation ceremony that celebrates the accomplishment of individuals who aspire to productive lives. Commencement also celebrates the success of faculty who have mentored and endured along with the students the trial of learning. A successful leader takes pride in facilitating the success of others. This may require both gentle and forceful interventions as issues such as tenure and promotion are considered. A successful academic leader sets the stage for the success of faculty, students and support staff.

Deanship is a life of multiplication.

A dean or program head is a multiplier. It is the responsibility of a dean to insure that a program multiplies the abilities of individuals, the resources available to the program, and the value of the program to its larger university and community context. A young student arrives on the doorstep of an institution with great aspirations, optimism, and intelligence. The academic program provides the setting and resources to challenge these talents and enhance them. The experience of the student through the program is intended to multiply every aspect of the students capabilities. This is a shared and essential definition of multiplication. The management of the program, by the dean or program head, demands a similar attitude. Fund raising has become an important duty of the dean as a by product of the responsibility top multiply the resources available to students and faculty. In many instances, particularly publicly funded institutions, there is an expectation that the leadership of the program will match

or exceed funding from the public budget. When the development of new sources of support is connected to the multiplication of the experiences of students, faculty, and support staff, it is an effort of the greatest importance.

Deanship requires the ability to manage assets and resources.

The role of an academic leader carries with it the management of people, facilities and resources. The question of goal setting with appropriate strategies, tactics and logistics applies in the academic setting as it does in any management situation. The successful presentation of a curricular plan relies on the ability of the academic leader to match people with assignments, to determine and realize the necessary facilities to foster success in the classroom, and the management of fiscal resources to insure that the necessary enhancements of facilities, equipment and visitors are a part of the normal experience of the school. This responsibility transcends property and equipment and includes the encouragement of individuals to continue personal growth and development. It is a responsibility to find the optimum morale of all members of the community to foster a spirit of achievement throughout the program. The reality of deanship today is that strong planning is often the only means to counter even or reduced funding sources. Flexibility and vitality in management often signals the ability to find alternate sources of funding and partnerships that enhance the academic experience in the most restricted of budget climates. All dreams begin

with what is, define what could be, and give context for goals and aspirations. However, it is the strategies, tactics, and logistics of management practices that together lead to the realization of dreams.

Deanship requires attention to details.
The effectiveness of the implementation of ideas is best illustrated in the details of execution. The attention to detail is as varied in its form as the reality of the facilities in which classes are conducted to the experiences of a visiting student and his or her parents the moment they enter the front door on an initial visit to the school. The academic leader must have the pulse of the program he or she leads. This can not be found behind the impressive desk of a dean. It is found by walking around, by implicating himself or herself in meetings as varied as curriculum and technology implementation, and it is found by visiting classrooms and faculty offices. A dean must be thoroughly immersed in the program he or she has chosen to lead.

Deanship requires the attitude of a teacher.
The effective academic leader is a teacher of teachers, administrators, support staff, and students. The paradigm of teaching combined with the paradigm of the design process articulates an intensely personal interactive relationship. It is the responsibility of the academic leader to guide the processes and vision of a program in much the same way that a studio master guides students through a complex design program. The clarity of the message must be clearly articulated before

proceeding into action items. There must be time for questions and challenges to the information. The dean must be patient with attempts to address issues and problems that are best described as mistakes of enthusiasm. And, it is the responsibility of the academic leader to prepare the next generation of leaders.

Deanship requires maintaining a personal perspective.
Academic leadership requires the perspective of substantive personal inquiry. The life of an administrator is significantly enhanced by continual contact with students in the classroom. This is only possible when the administrator remains current with professional and academic interests. A life of the mind must complement the every day decisions that demand attention. A strong personal life is also an important characteristic that enhances the ability of an individual to lead. A personal life in turmoil erode the individual's ability to place administrative decisions in the perspective of a greater life. It is equally essential that an individual who aspires to leadership must never make decisions in an atmosphere unbalanced by the need for revenge or to exact just desert. A strong personal life allows the individual to depersonalize what is intervening in the necessity of decision making in the work-place. A personal perspective on what is most important in life drive effective decision-making.

Deanship requires unbounded energy and enthusiasm.
The academic leader is the chief cheerleader of the program under his or her responsibility. It is the

persistence of the academic leader, sheer will power, that often brings ideas to life. It is not a position with a fixed time schedule or predictable agenda. Each day brings new challenges. Importantly, the energy and enthusiasm of the individual infects the entire community. A dearth of energy and enthusiasm on the part of the academic leader is an indicator of the energy and enthusiasm the constituents and dependents will have for the program.

Deanship requires the perspective of humanity.
The fact of leadership is that the important moments are generally at those times when the rules must be suspended or exceptions to the rule invoked. These are the moments when the humanity of the dean is more important than a robotic adherence to bureaucratic regulations. It has been said that a monkey can be taught to drive an automobile around the block but it is the judgement abilities of the human being that are required to achieve a license to drive. A dean is chosen for his or her ability to make reasoned and humane judgements on the margins of the life of a community.

As a **Dean**

It is an **Honor**

To **Witness**

So Much **Confusion**

Marvin J. Malecha

Epilogue

I carry a portion of a seashell in my pocket that has been worn down by the sea to be in the shape of a wing. It is a good luck charm that was given to me by my daughter. This gift is the result of a lesson in trust that she taught me. She is a young woman of great energy and self-confidence. Not long after learning to drive she approached me with the idea that she would drive to the seashore with her friends to spend the day. It is about a two hour drive from our home. I objected, she persisted and I relented. But, not without great reservation and some harsh words on both of our parts. When she returned from her day in the sun she presented me with this gift of a wing. Not long after I celebrated a birthday. She wrote in her card to me a thank you note for allowing her wings to grow even if they were still only stubs. Without trust her wings could never grow. An academic leader must practice trust in order to build a team capable of mature decision making. Trust is difficult to practice. Yet, it is the very essence of leadership.

Illustrations and Citations

The illustrations that accompany this text are drawn from a variety of sources. But it is obvious that modern humor has inspired much of the comments of this text. The humorist often makes observations derived from astute observation of a world increasingly dependent on sophisticated management techniques. Leadership is an exercise in human relationships. This is never captured better than by the humorist.
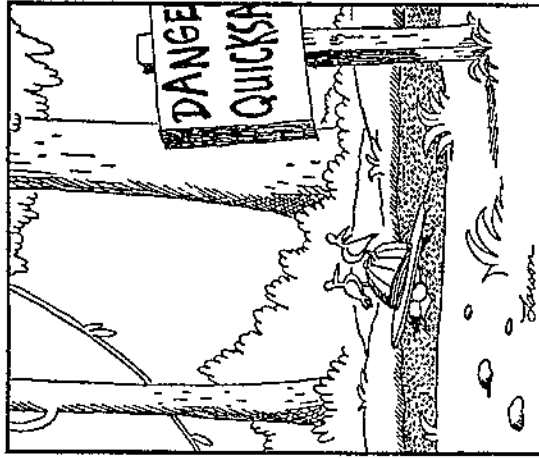
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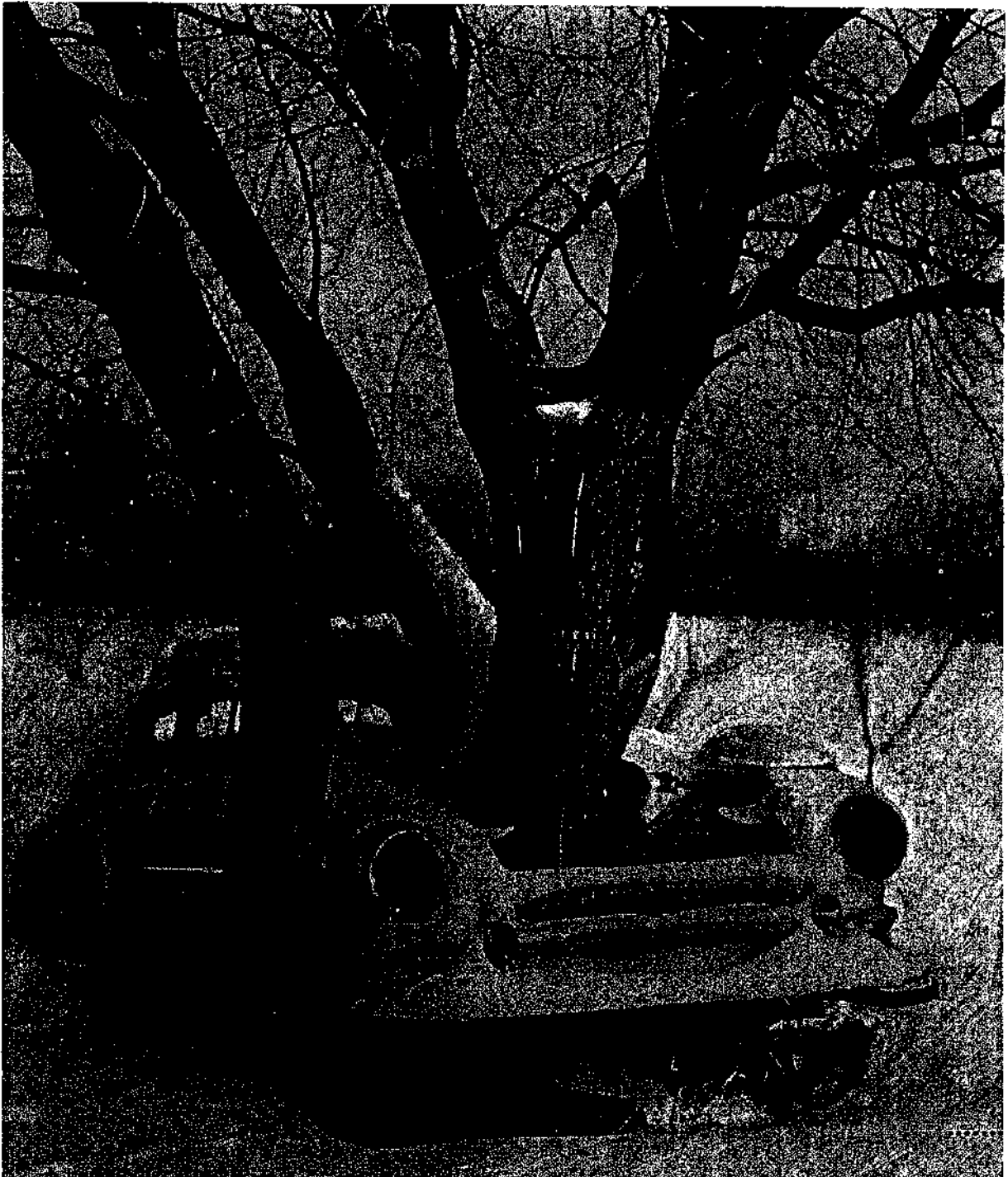
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"Say, there's something wrong here. ... We may have to move shortly."

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35. Outcomes
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36. Leadership Skills and Perspectives
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37. The Shining City on a Hill
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Page 65. The Far Side, Gary Larson, Universal Press Syndicate

Progress and Obsolescence are a Short Distance Apart