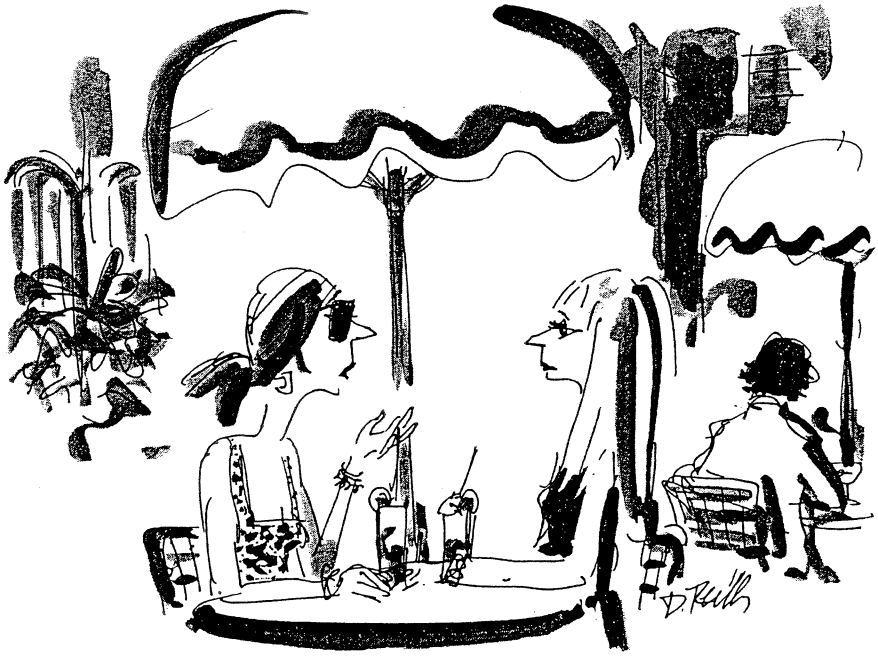
The demonstration of value is an essential aspect of building support among the constituencies of the senior administration of the institution and the external constituencies that include alumni, friends and the community. Assessment practices are among the most intensely developing responsibilities 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."

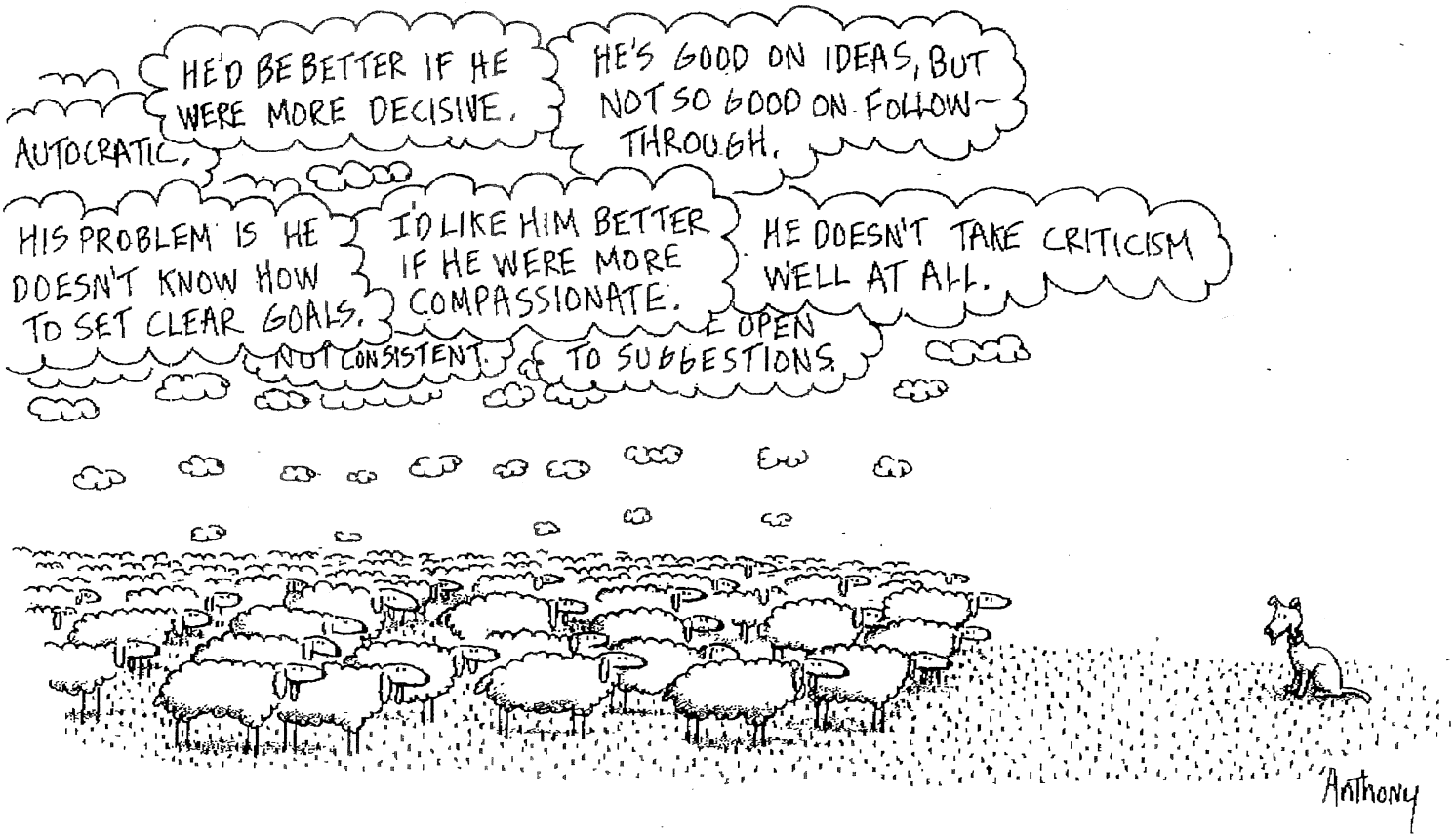
Demonstrating Value and Cultivating Dreams

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.

Demonstrating Value and Cultivating Dreams

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

Demonstrating Value and Cultivating Dreams

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

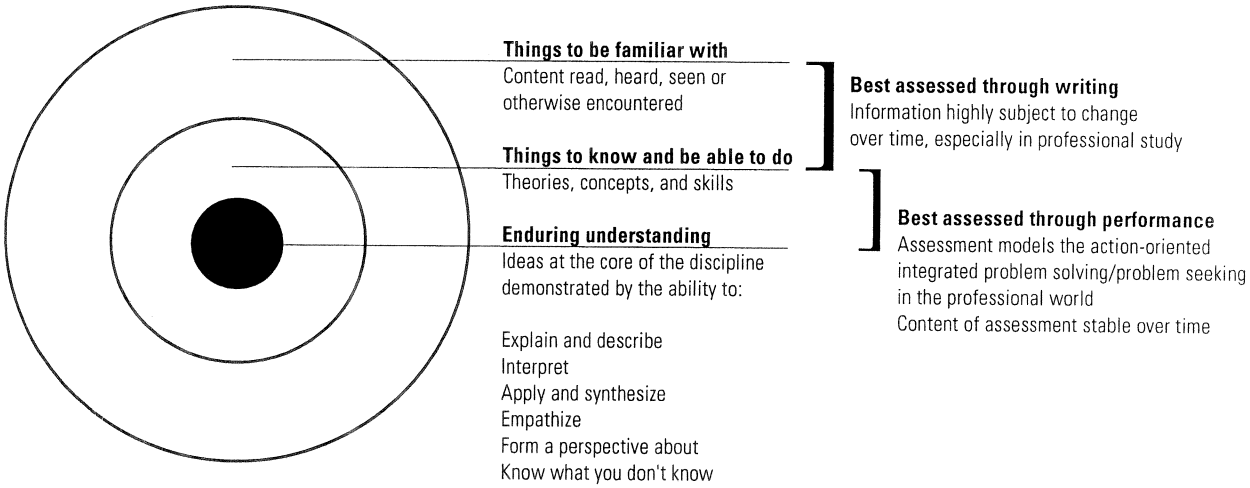
The Six Essential Steps of a Capital Campaign
David Heetland

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, technological, 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.



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 statistically 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 performance 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 assessment 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.

MEASURING CURRICULUM EFFECTIVENESS -

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

Academic year:

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

Academic year:

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.

Academic year:

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

Academic year:

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

(touchpoints for planning and data collection)

← August — academic year — May →

	2000-2001	2001-2002	2002-2003	2003-2004	2004-2005	2005-2006
● University/college-level curriculum evaluation activities:						
▲ Department-level curriculum evaluation activities:						
■ Department-level instructional evaluation activities:						
☛ Ongoing evaluation activities conducted during any given semester:						

list strategies used in assessment at each scale

enter name of strategy in appropriate year and semester

Assessment Map / School of Architecture

(Touchpoints for planning and data collection)

DRAFT

● University/college level curriculum evaluation activities

Accreditation – Review of undergraduate and graduate programs (a 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 academics, essay reviews and portfolio to admit the best-qualified students. An admissions committee conducts the review process.

Annual report of department – School identifies changes is strategic environment, new curriculum objectives and actions, and focus for curricular attention in coming year (May).

Compact planning – School identifies curricular challenges and integrates them with college planning process.

General administration surveys – School participates in 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 standing committee.

Annual NAAB (National Architectural Accreditation Board) reports

☛ Ongoing evaluation activities conducted during any given semester

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.

▲ 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 mutual expectations (May).

Retreats – School conducts fall and winter retreats to assess its progress and for future planning.

Faculty council – Full-time faculty meet weekly throughout the academic year.

▼ Department-level instructional evaluation activities

RRPT/post-tenure reviews – Required evaluation of faculty influences placement and development of new skills in ways that shape instructional activities.

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	
● GA Surveys ● Administrative retreat ● School retreat	● Administrative retreat ● School retreat ● Admissions ● Annual report (School) ● Compact planning ● GA Surveys ● NAAB annual report	● GA Surveys ● Administrative retreat ● School retreat	● Administrative retreat ● School retreat ● Admissions ● Annual report (School) ● Compact planning ● GA Surveys ● NAAB annual report
▲ Graduate final project reviews ▲ Graduate presentations ▲ Grad final project proposals ▲ Studio final critiques	▲ Annual report by faculty ▲ Graduate final project reviews ▲ Graduate presentations ▲ Student final critiques	▲ Graduate final project reviews ▲ Graduate presentations ▲ Grad final project proposals ▲ Studio final critiques	▲ Annual report by faculty ▲ Graduate final project reviews ▲ Graduate presentations ▲ Student final critiques
▼ Course planning ▼ Student evaluations of instruction ▼ Student critiques	▼ RRPT ▼ CRTF ▼ Course planning ▼ Student evaluations of instruction ▼ Student critiques	▼ Course planning ▼ Student evaluations of instruction ▼ Student critiques	▼ RRPT ▼ CRTF ▼ Course planning ▼ Student evaluations of instruction ▼ Student critiques

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Assessment Map / School of Architecture

(Touchpoints for planning and data collection)

2002-2003		2003-2004		2004-2005		2005-2006	
● GA Surveys ● Administrative retreat ● School retreat	● Administrative retreat ● School retreat ● Admissions ● Annual report (School) ● Compact planning ● GA Surveys ● NAAB annual report	● GA Surveys ● Administrative retreat ● School retreat	● Administrative retreat ● School retreat ● Admissions ● Annual report (School) ● Compact planning ● GA Surveys ● NAAB annual report	● GA Surveys ● Administrative retreat ● School retreat	● Administrative retreat ● School retreat ● Admissions ● Annual report (School) ● Compact planning ● GA Surveys ● NAAB annual report	● GA Surveys ● Administrative retreat ● School retreat	● NAAB accreditation visit ● Administrative retreat ● School retreat ● Admissions ● Annual report (School) ● Compact planning ● GA Surveys ● NAAB annual report
▲ Graduate final project reviews ▲ Graduate presentations ▲ Grad final project proposals ▲ Studio final critiques	▲ Annual report by faculty ▲ Graduate final project reviews ▲ Graduate presentations ▲ Student final critiques	▲ Graduate final project reviews ▲ Graduate presentations ▲ Grad final project proposals ▲ Studio final critiques	▲ Annual report by faculty ▲ Graduate final project reviews ▲ Graduate presentations ▲ Student final critiques	▲ Graduate final project reviews ▲ Graduate presentations ▲ Grad final project proposals ▲ Studio final critiques	▲ Annual report by faculty ▲ Graduate final project reviews ▲ Graduate presentations ▲ Student final critiques	▲ Graduate final project reviews ▲ Graduate presentations ▲ Grad final project proposals ▲ Studio final critiques	▲ Annual report by faculty ▲ Graduate final project reviews ▲ Graduate presentations ▲ Student final critiques
▼ Course planning ▼ Student evaluations of instruction ▼ Student critiques	▼ RRPT ▼ CRTF ▼ Course planning ▼ Student evaluations of instruction ▼ Student critiques	▼ Course planning ▼ Student evaluations of instruction ▼ Student critiques	▼ RRPT ▼ CRTF ▼ Course planning ▼ Student evaluations of instruction ▼ Student critiques	▼ Course planning ▼ Student evaluations of instruction ▼ Student critiques	▼ RRPT ▼ CRTF ▼ Course planning ▼ Student evaluations of instruction ▼ Student critiques	▼ Course planning ▼ Student evaluations of instruction ▼ Student critiques	▼ RRPT ▼ CRTF ▼ Course planning ▼ Student evaluations of instruction ▼ Student critiques

Academic year: 2001-2002

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.

Academic year: 2001-2002

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

Academic year: 2001-2002

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

DRAFT

LEARNING OBJECTIVES	LEARNING OUTCOMES	MEASURE/DATA TOUCHPOINTS	TIMING FOR ASSESSMENT
Develop basic design, 2-D communication skills, and 3-D physical and computer modeling skills through a series of design studios of increasing complexity.	**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.

LEARNING OBJECTIVES	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.
Employ a range of approaches to develop a final building design project that demonstrates a mature understanding and application of theory, technology and design.	**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.

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.

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.

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.

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 element***s*** 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:

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.I Brief Resume'

2.I.A Education. Master's, professional or equivalent degree, or equivalent professional experience.

2.I.B Professional Experience and Licenses. Teaching and/or professional experience, position titles, and any related licenses held.

2.I.C Scholarly and Professional Honors. Fellowships, awards, exhibitions, shows, prizes.

2.I.D Professional Society Memberships. Memberships in professional and related service organizations, elected or appointed offices held.

2.I.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.

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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:

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/uapr/resources/UAPRwkshpAnytime.html
- On-line Assessment Tool-Kit - http://www.ncsu.edu/provost/academic_programs/uapr/resources/UAPRToolkit.html
- Mini-Grants - http://www.ncsu.edu/provost/academic_programs/uapr/resources/UAPRsupport.html
- Facilitators - http://www.ncsu.edu/provost/academic_programs/uapr/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/uapr/resources/UAPRcolleges.html
- Access to an Extensive Assessment Library - located 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 projects on student learning and development
- Development and refinement of electronic solutions 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

Learning, Value and Cultivating Dreams

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http://www.ncsu.edu/undergrad_affairs/assessment/assess.htm

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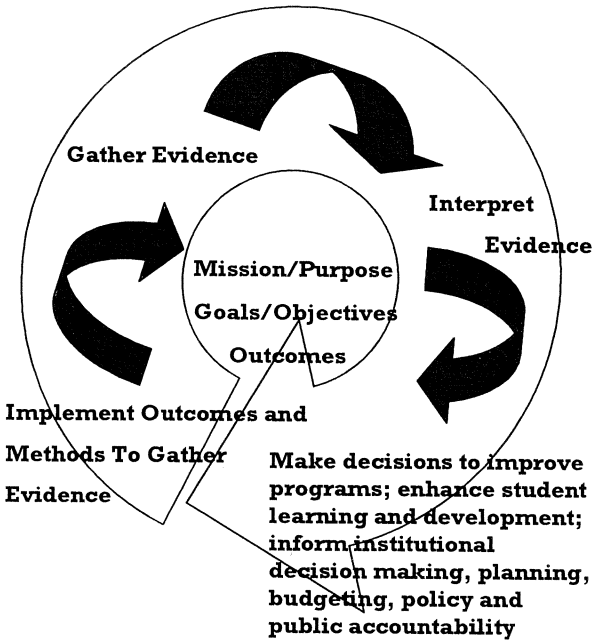
Undergraduate Assessment Office

Division of Undergraduate Affairs



The Iterative Assessment Cycle (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.

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, models of best practices, and national benchmarks
- celebrate successes
- reflect on the attitudes 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).

One hundred copies of this brochure were made at $1.58 a piece.

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

- **CUE** – the Council on Undergraduate Education over-sees 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)

"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

- 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

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.

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."

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.

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).

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.

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.

Demonstrating Value and Cultivating Dreams

Engagement: looking for love in the right places.....

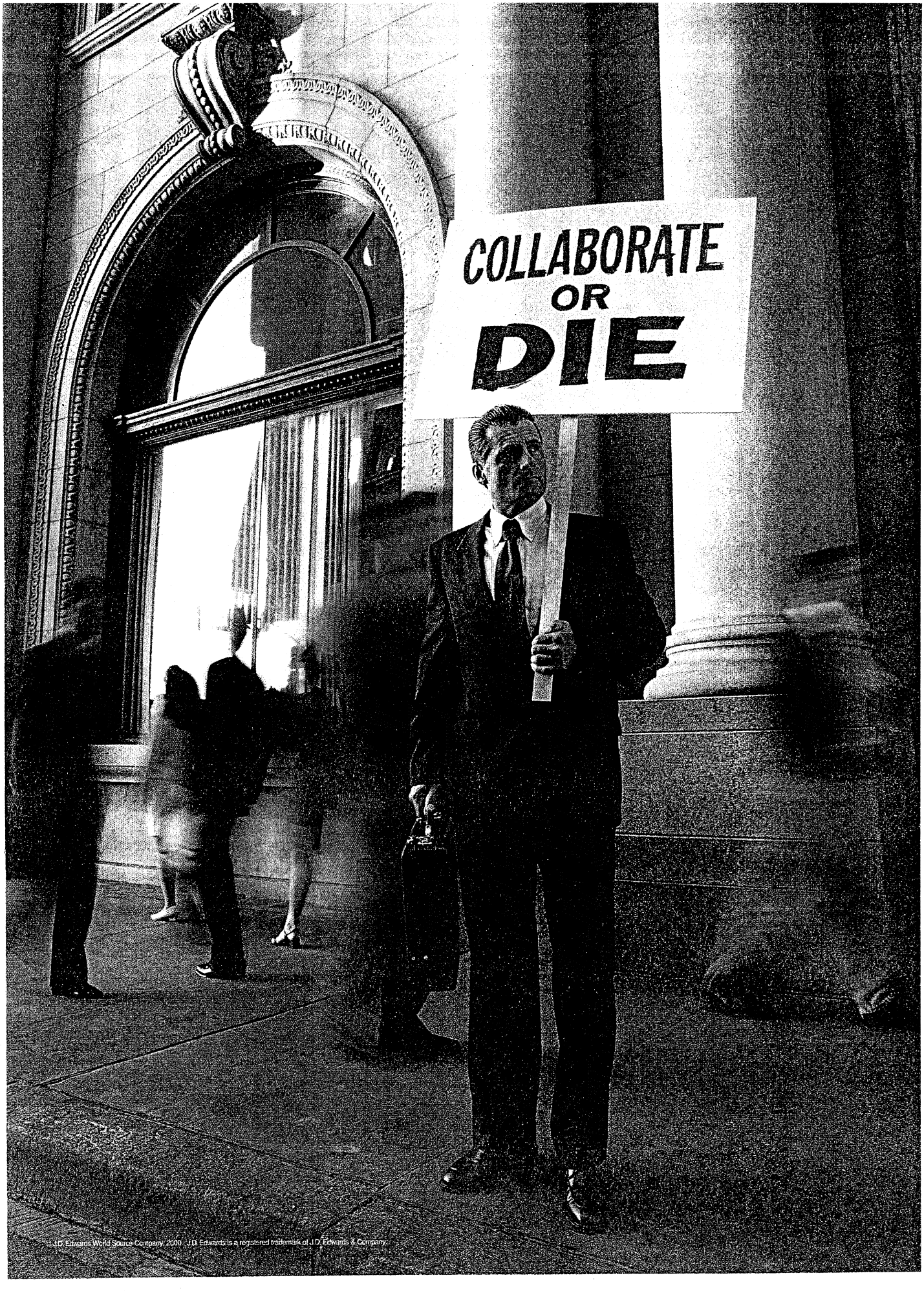
The determination of an academic leader to bring continuing relevancy to academic programs is fueled by the ability of the academic community to reach beyond itself into the related professional community and society. This extension of the program begins by the encouragement of good citizenship in the 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



Media Relations Tips

NC STATE UNIVERSITY

NC State News Services Guide for Media Relations

- Introduction
- News Services – Who We Are
- When A Reporter Calls, What Do I Do?
- Public Information Policy
- Crisis Situations

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: http://www2.ncsu.edu/ncsu/univ_relations/pubinfo.htm.

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

North Carolina State University is a land-grant university and a constituent institution of the University of North Carolina.

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

- 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.

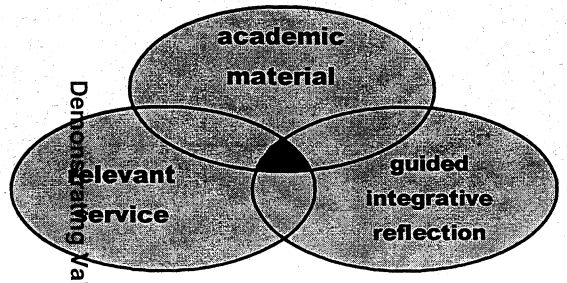
The College External Relations Office is the primary source of information for alumni, friends, professional organizations, and the general public about current developments and giving opportunities at the College. It provides this information through a variety of publications, news releases and external 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.

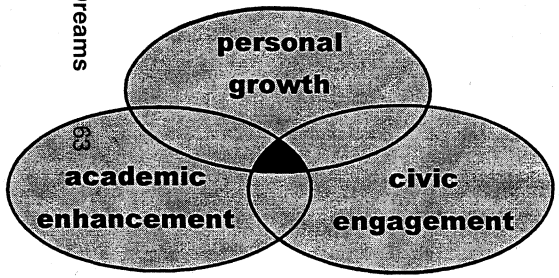
The Office raises financial resources to enhance the College and meet a variety of needs. Support from individuals, foundations and corporations strengthens the quality of the educational experience for which the College of Design is so widely known.

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.

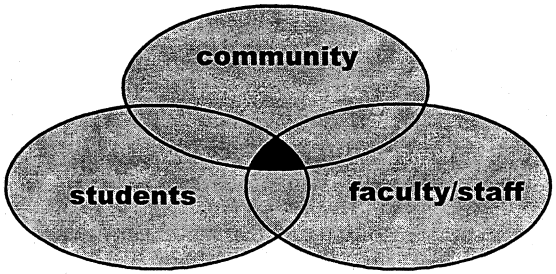
Components of Service-Learning



Objectives



Partners



"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."

--Carnegie Commission

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

NC STATE UNIVERSITY

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

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.

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."

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.

"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."

"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 mutlifaceted 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."

"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 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.

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 importa addition to our organization this year. We woulc 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 fo the students' initative."

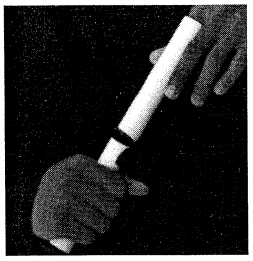
SIXTH REPORT

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



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


Graham Spanier

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."

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.

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.

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

As 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 revisioning 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.

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.

Even the best definition leaves grey areas of uncertainty.

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.

The best documentation is one that most effectively communicates and "makes visible" the scholarly activity of professional service.

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.

FIGURE 1

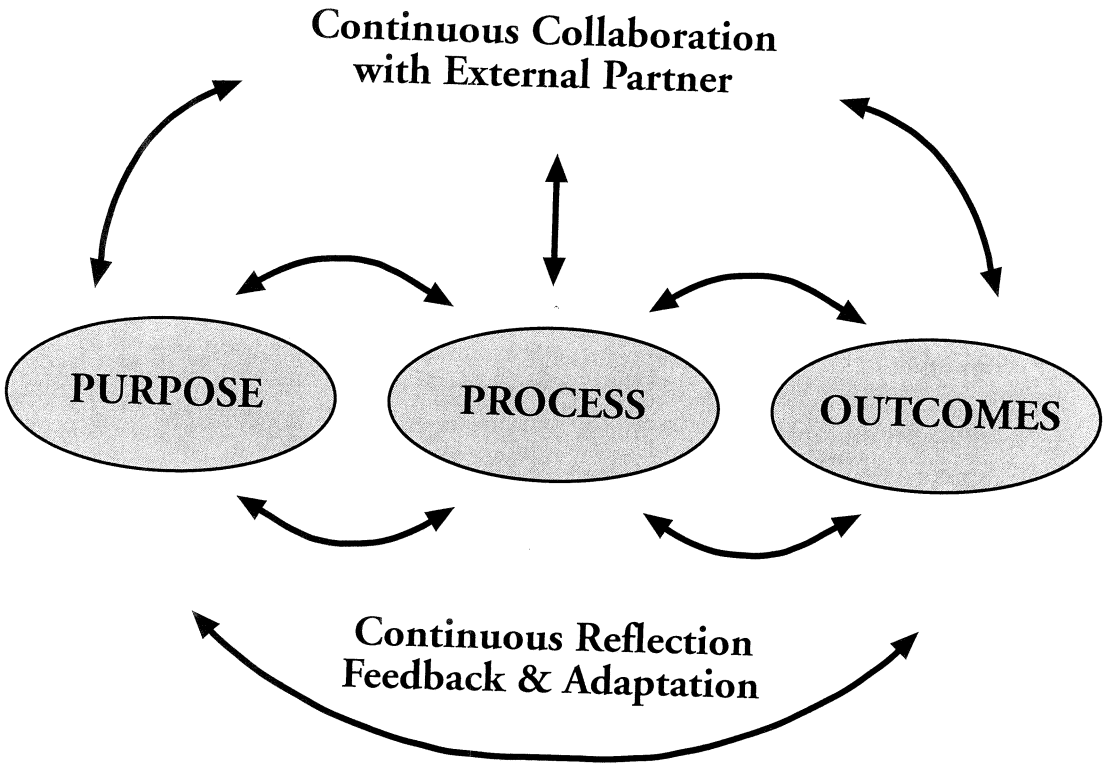


FIGURE 2

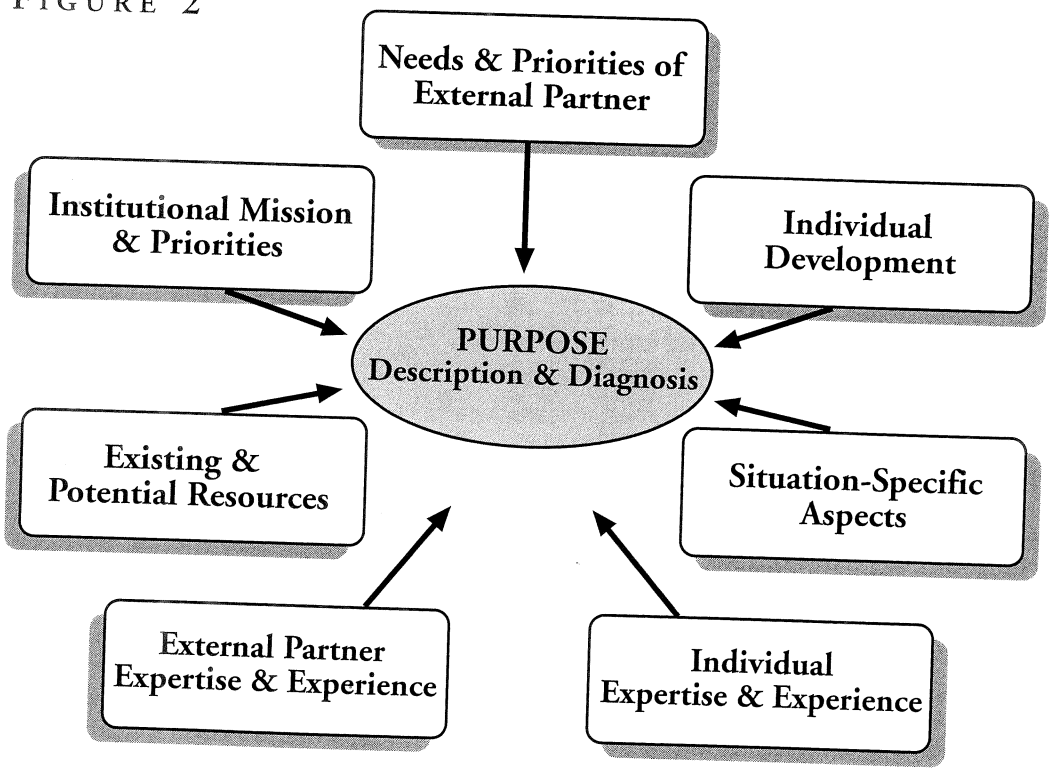


FIGURE 3

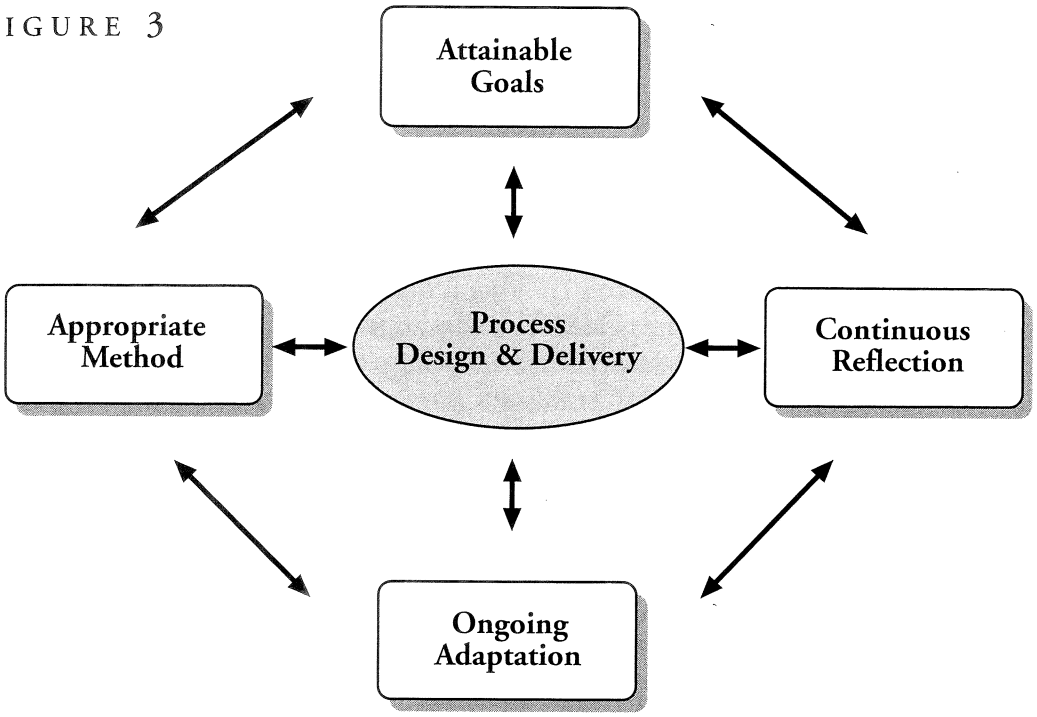
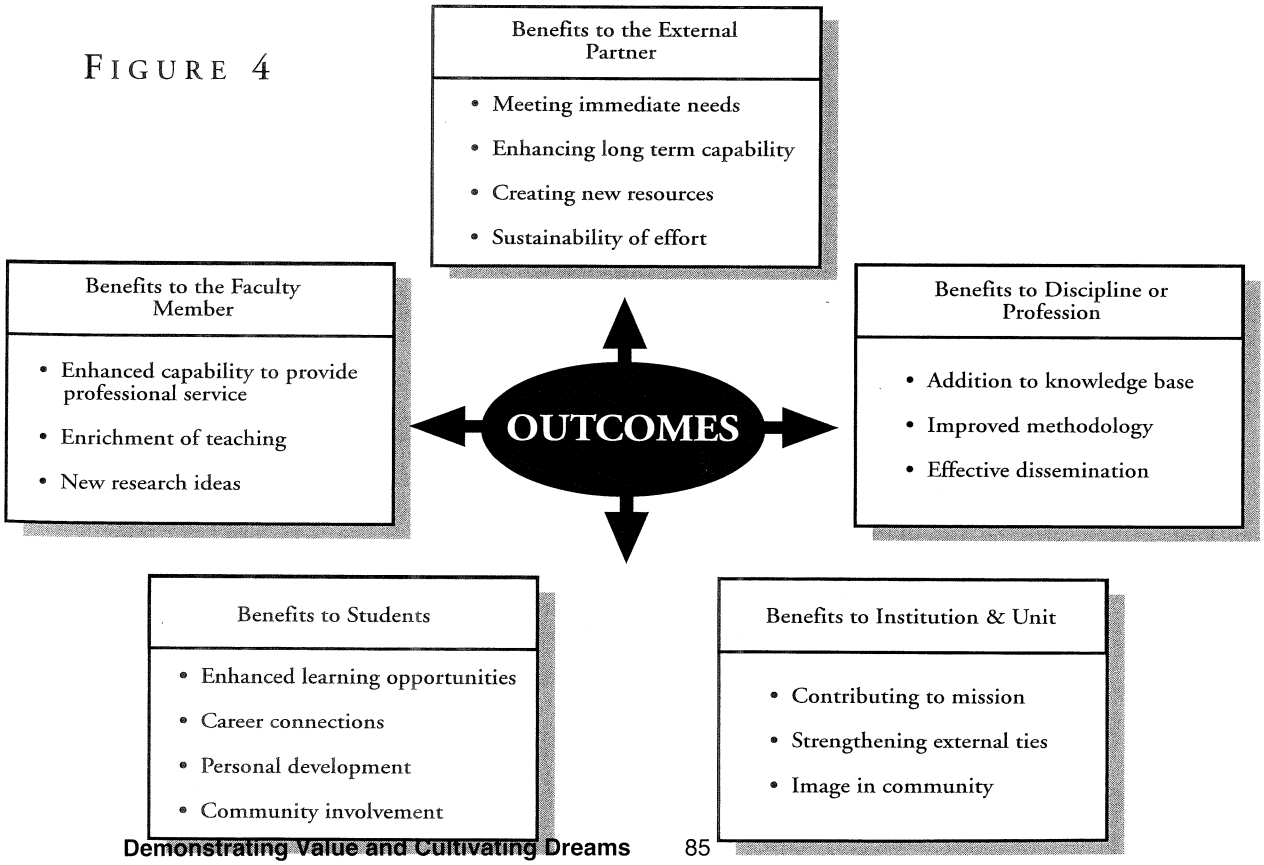


FIGURE 4



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-

1. This chapter represents the collaborative thinking of administrators Robert Bringle (IUPUI), Robert Church (Michigan State), Michael Reardon (Portland), Lorilee Sandmann (Michigan State), and Ivan Legg (Memphis).

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.

This issue is complicated by the question of locus of control.

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.

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 referee 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

ARCHITECTURE

Demonstrating Skills and Cultivating Dreams

104

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 professsional 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

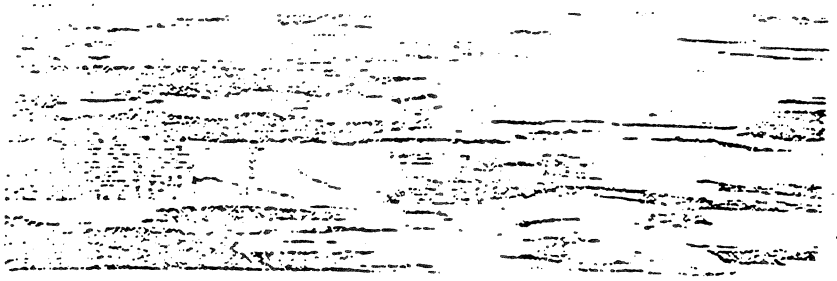
December
1st- Tour of Tower Automotive, Formerly A.O. Smith Corporate Headquarters.
Meet at 4:00pm. Directions to follow.
4th- Tea & Bikies. Semester wrap-up.
SARUP Commons, 1:00pm

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



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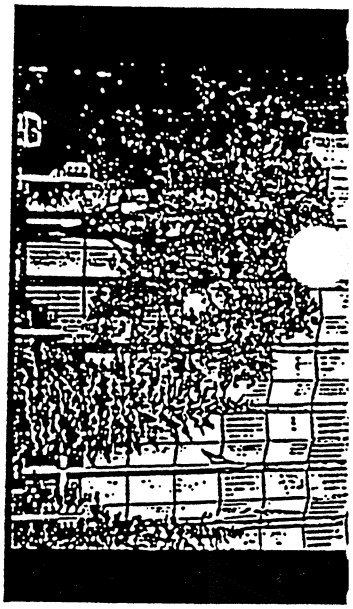
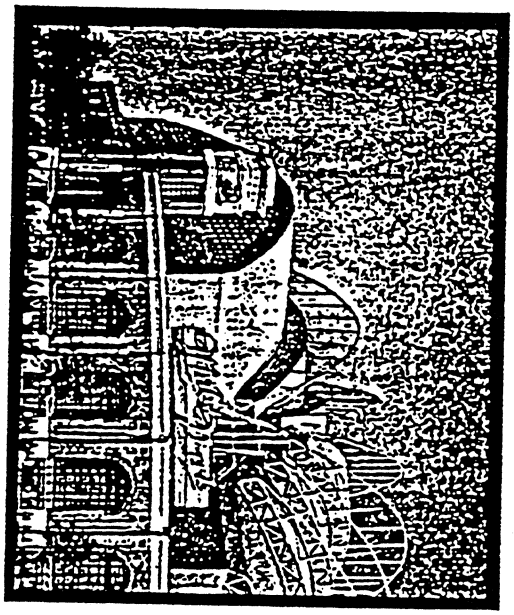
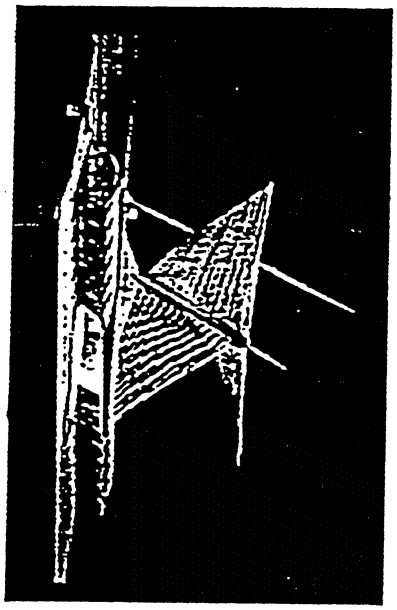


Tower Automotive Research Building,
Holabird & Root



Miller Park,
Eppstein Uhen Architects



Milwaukee Public Art Museum Addition,
Coming Soon- Santiago Calatrava

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.

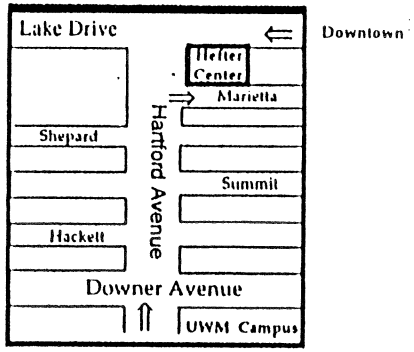
☐ $15.00 Fee for Level II and III students - Please make checks payable to Sarup MentArch Program.

Please list the names of any previous mentors _____

Signature _____ Date _____

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.



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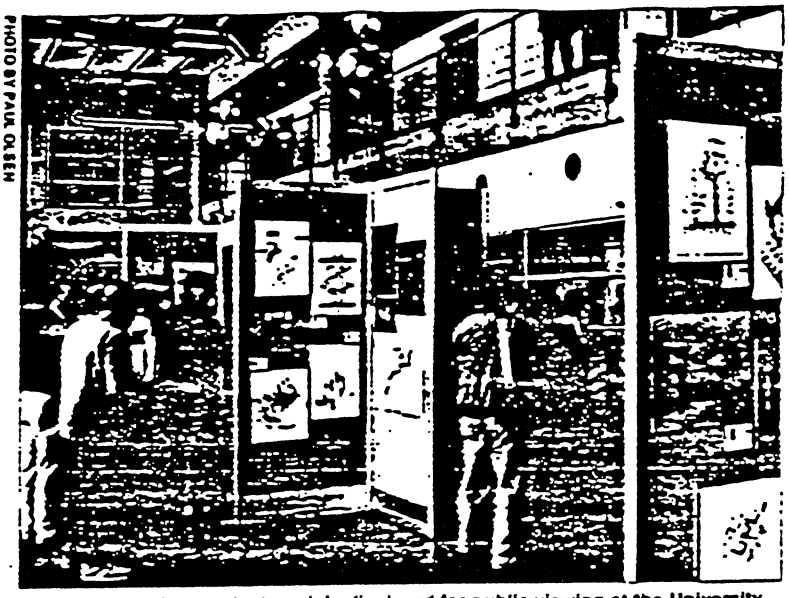


PHOTO BY PAUL OLSEN

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.

[illegible] consin, 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

The Design Council

School of Architecture and Urban Planning

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 project

MILWAUKEE
JOURNAL SENTINEL
THURSDAY, FEBRUARY 3, 2000 — WAUKESHA EDITION — WWW.JSONLINE.COM

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 sophomore studio at the university Wednesday.

By Whitney Gould
of the Journal Sentinel staff

In just 30 years, the school has made a profound impact on urban design in the Milwaukee area

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 [illegible] spur and 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 Wittling, 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.)

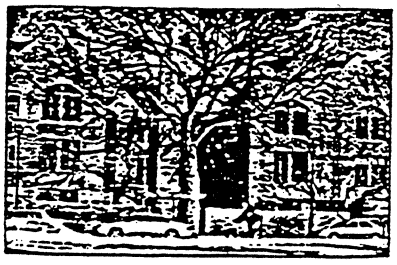
And some modernists privately regret that the school has not made more headway locally in creating the climate for truly innovative architecture.

Greenstreet concedes that the school may have had more impact on planning and redevelopment — "reweaving 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.

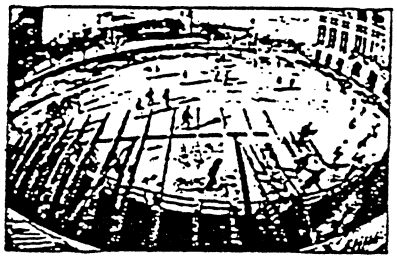


The Kilbourn Row townhouses in the 800 block of E. Kilbourn St. are among many civic projects in the Milwaukee area in which faculty and alumni from the architecture school played a major role.

"It's never been an ivory-tower place," says 1978 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 design in terms that ordinary citizens can understand.



Skaters dot the ice at Red Arrow Park in this view looking over the ice rink from atop the building that houses the concessions. Ursula Twardzik 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.

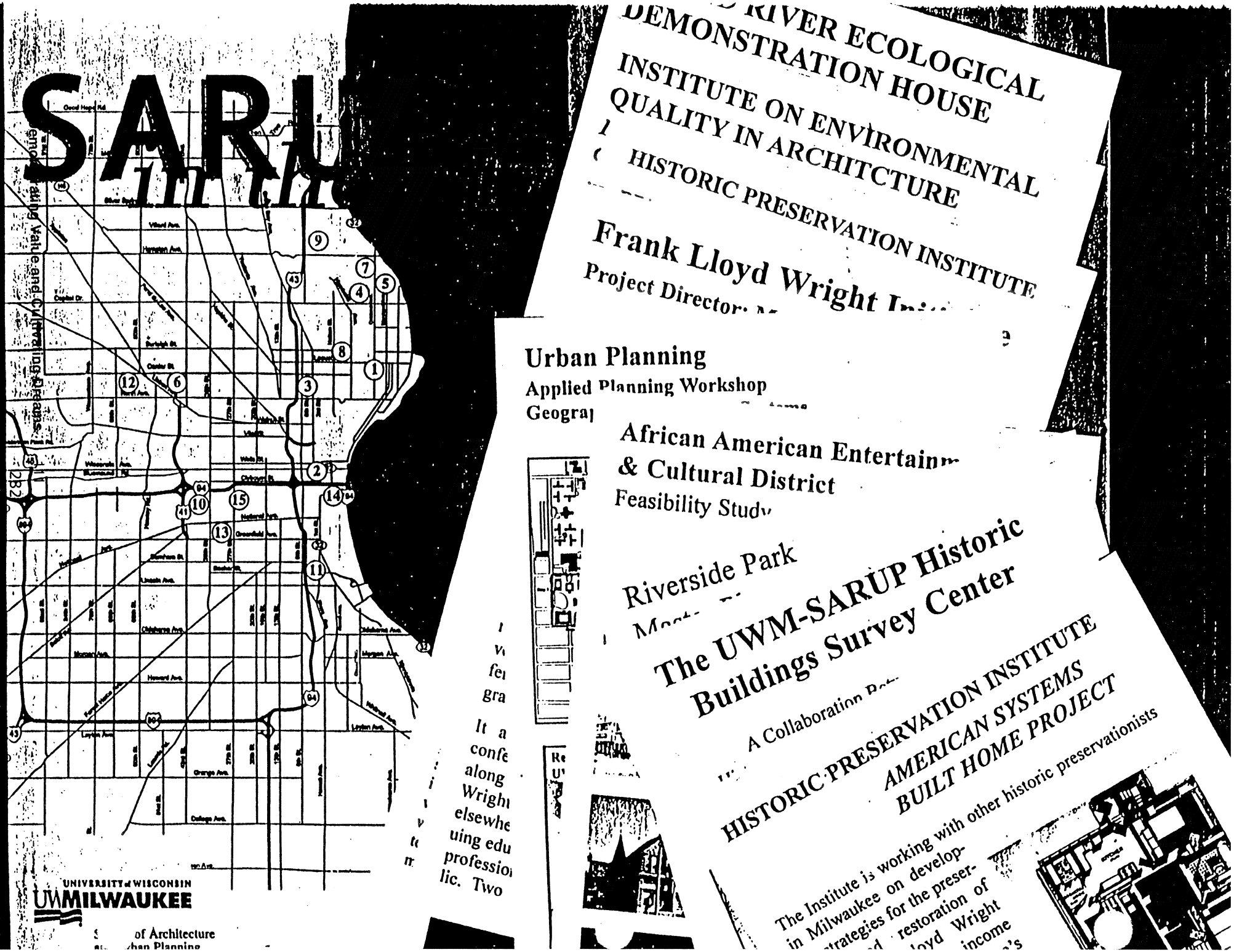
Zimmerman's Dave Stroik recalls how, as a greenhorn graduate in the early 70s, he paid a courtesy call on one of the design community's aging lions. The older architect threw Stroik out, shouting: "We don't need you UWM people telling us what to do!"

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."

OVER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HISTORIC PRESERVATION INSTITUTE
Frank Lloyd Wright
Project Director
Urban Planning
Applied Planning Workshop
African American Entertainm
& Cultural District
Feasibility Study
Riverside Park
The UWM-SARUP Historic
Buildings Survey Center
A Collaboration
HISTORIC PRESERVATION INSTITUTE
AMERICAN SYSTEMS
BUILT HOME PROJECT
The Institute is working with other historic preservationists
in Milwaukee on develop-
strategies for the preser-
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of Architecture

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

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

Demonstrating Value and Cultivating Dreams

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

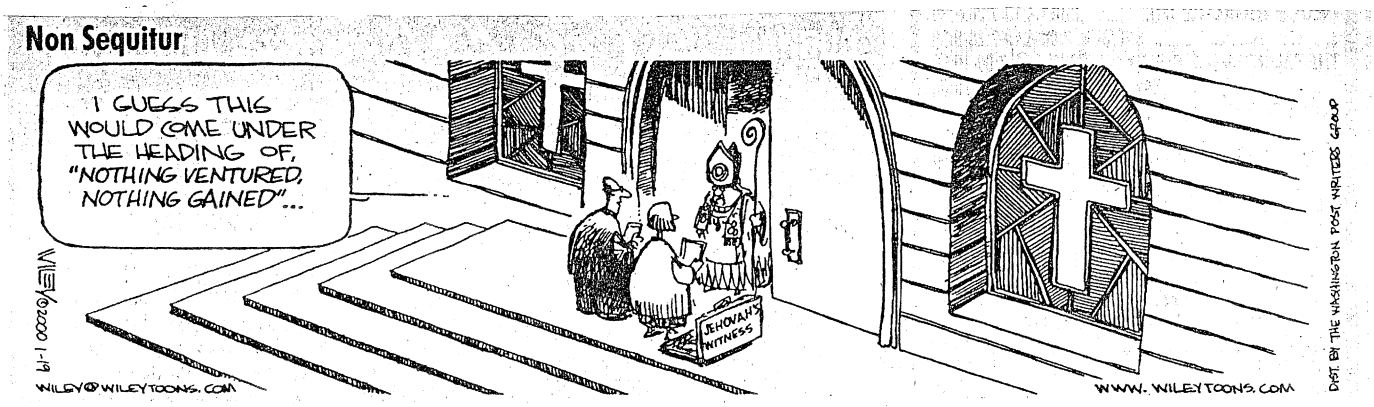
No Chutzpah No Glory
Henry Rosovsky

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


Non Sequitur
I GUESS THIS WOULD COME UNDER THE HEADING OF, "NOTHING VENTURED, NOTHING GAINED"...
JEHOVAH'S WITNESS
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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

Transparency B.2

NSFRE

	Annual Fund Gift	Major Gift	Ultimate Gift
Purposes	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

3/28/96
kar

	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

MMSO 33

CFRE Mass 7/26/00

Notes

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 oneself or loved one

The need to perpetuate values or opinions

The need to belong

The need for recognition or status

The need to fulfill perception of duty

The need to respond to the person asking

The need to give something back

When Does "No" mean No?

"No" has many different interpretations

No forever

No the timing is bad

No to the amount

No to the project

In a survey of 100,000 donors these were the reasons for "No"

Mismatch of Interest

Premature Request – not enough cultivation

Failure to ask for a specific amount

Excessive request

Failure to convey urgency

Failure to ask for enough

Mismatch of solicitor and prospect

Failure to include spouse in decision

Failure to sell dream

Poor timing

The Solicitation

Nonverbal Communication Nightmares

Avoid eye contact

Refute the other's point

Think about other things

Assign your own meaning

Create distance

Stay busy

Maintain a poker face

Be silent

Respond to distractions

Close early

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

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

Demonstrating Value and Cultivating Dr

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 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.

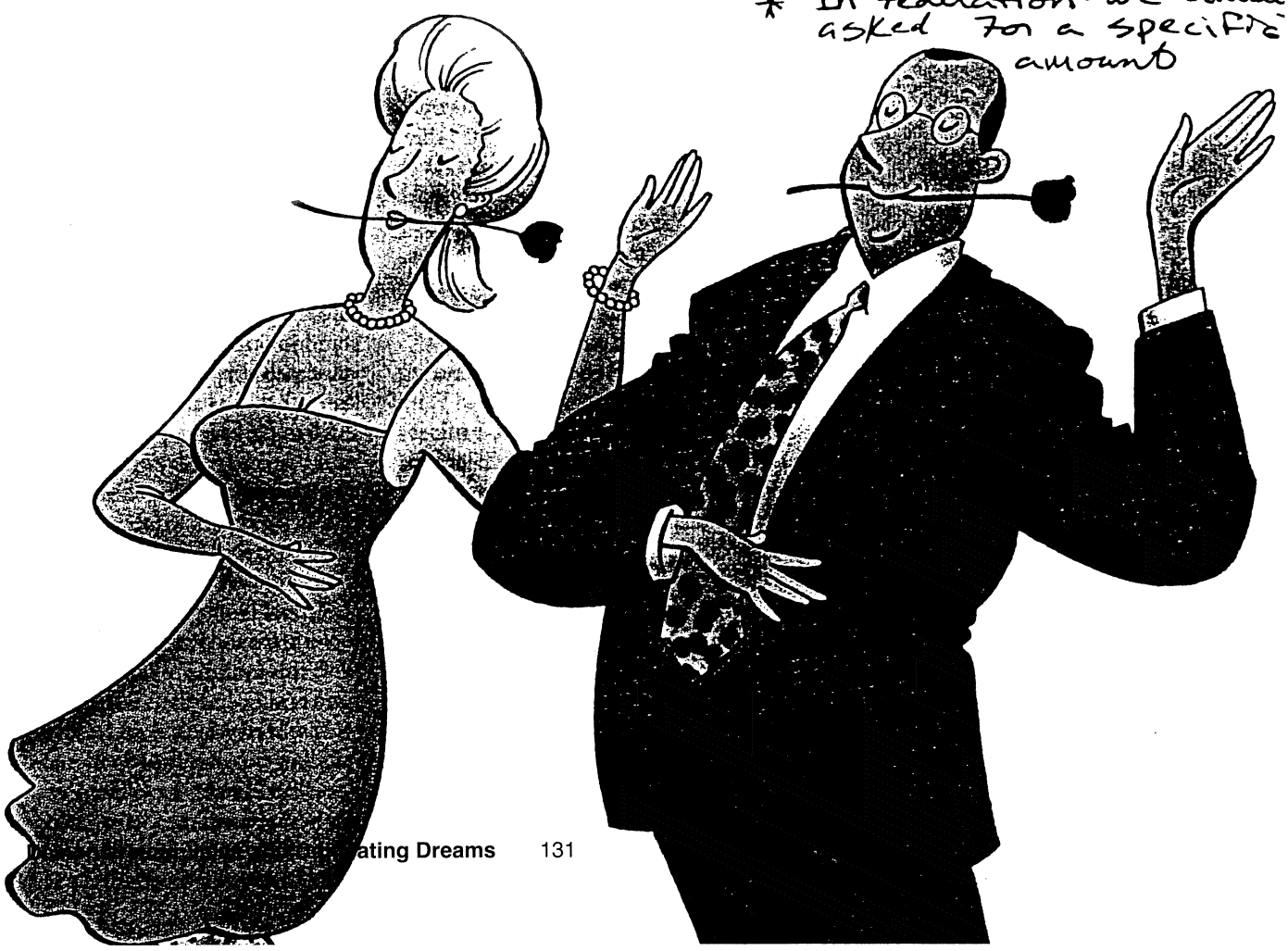
• *Beware of small talk.* There's a difference between chatting to get comfortable and chatting because you think it will soften a person. The latter seldom works.

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

Donald E. Craig is principal of his own fund-raising consulting firm in Virginia Beach, Virginia.



Rehearse 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."

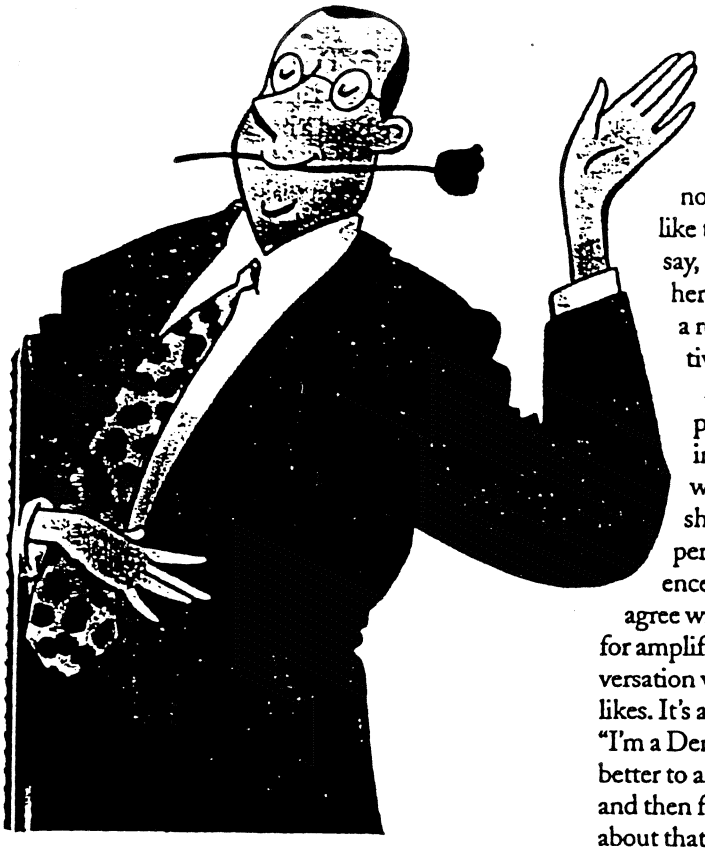
You: "Terry, it's important that I see you. I promise that the choice to be involved is yours. This campaign is the most important in our history. All I'm asking for is an opportunity to invite you into the partnership with us. I understand you may have to evaluate circumstances. But you know me well 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



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 campus: a positive question like "What is it about the campus's plans 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

Figure: Illustration: Value and Cultivating Dreams

IN SHORT

Dream come true.
A one-hour crash course on how to raise major gifts doesn't have to be a fantasy. So says David Lansdowne, author of the book *Fund Raising Realities Every Board Member Must Face*. In 47 chapters—ranging from "Everyone Dislikes Asking" to "Strangers Seldom Give" to "Ask or All Is Lost"—the slim paperback spells out some of the hard truths of fund raising in plain and simple prose. The book costs $28.90 (prepaid, includes shipping). To order your own reality check, call Emerson & Church Publishers at (508) 359-0019.

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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. C

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.

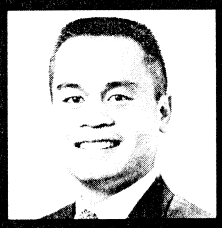
Today there are more than 500 U.S. community foundations serving every major metropolitan area, with total charitable assets of approximately $30 billion. The California Community Foundation, where I work, grew from less than $20 million in 1980 to more than $500 million in 2000. The field grew similarly. 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 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?



Joe Lumarda is executive vice president for the California Community Foundation in Los Angeles. He is coeditor of and contributor to the forthcoming book "The Foundation of the 21st Century: Strategic Issues for Management and Leadership." He speaks and consults nationally and internationally on foundation management and philanthropic planning and development.

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.

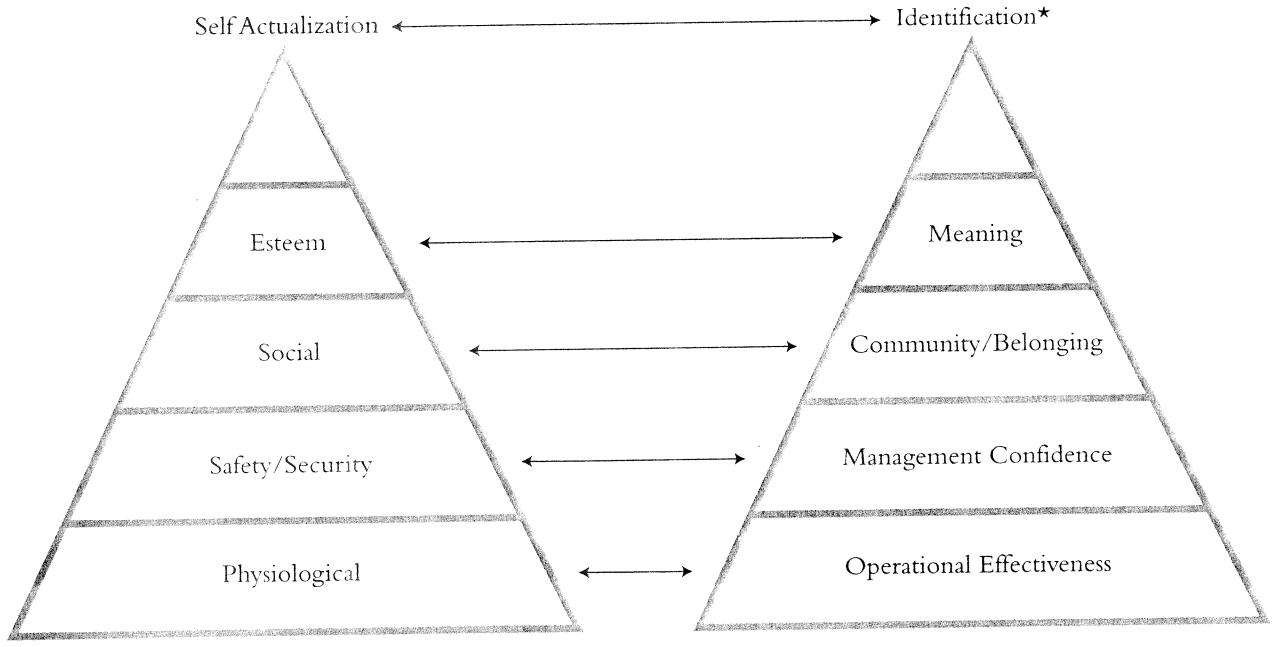
When a donor first approaches the community foundation, he or she must feel complete trust in the ability of the organization to receive and recognize the asset, be it cash, real estate, stock, small business interests, retirement plans, intellectual property, tangible personal property, and so on. Most 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 foundation, 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.*



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.

What does the donor—not the organization or employee—need?

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.

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.

Employee attitude and fit are just as important as technical skills and experience.

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 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.

Lack of 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

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?"

A powerful virtual community for foundations could be created in the years ahead.

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 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."

What you are doing is spectacular, but it isn't good enough.

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."

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.

*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 <u>all</u> 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.

Marvin for your late-night reading pleasure. Found this on the website for a financial magazine called Worth. Dan

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 donorís 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 fund-raising 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

Illustrations on pages 27–41 by Scott Wright/CCWS

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 notic will also go to the dean who has shown he or she is willing to devote time to fund raising.

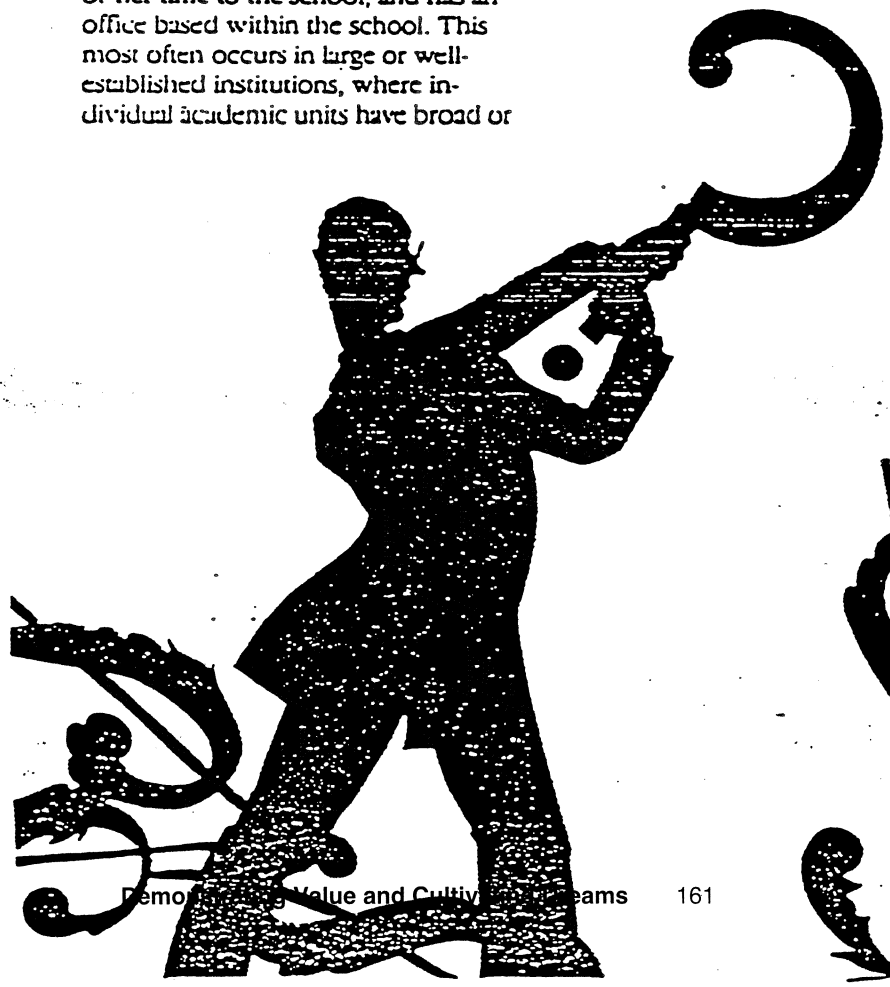
3. How much do I need to know about the institution's fund-raising operation?

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.

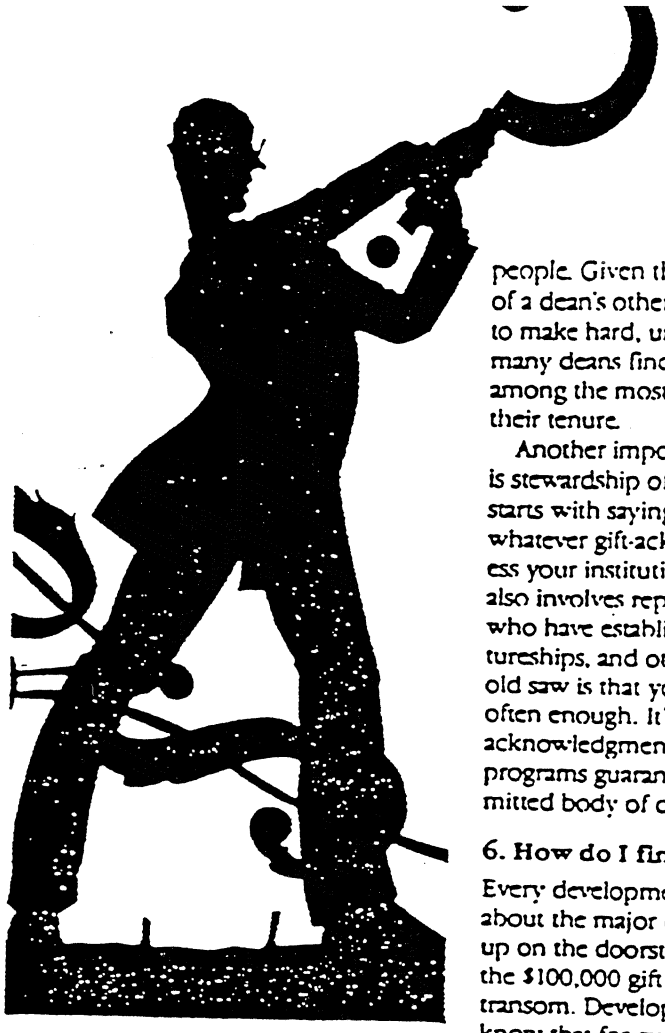
4. How can I best integrate fund raising into the workings of the school?

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,

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 firsthand 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. It should be a concern 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.

> *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.*

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 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.

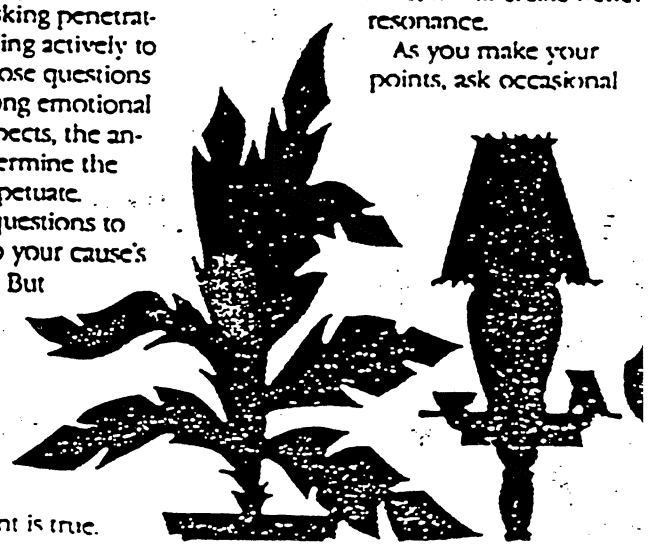
smooth way to lead into your presentation. Make the transition with a sentence like, "Let me tell you how we're trying to meet those needs," or "Here is something we're doing that you may be interested in," or "I'd like to s with you how we're planning to handle that problem." You then launch into your 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



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* Fund-Raising Institute, Box 365, Ambler, PA 19002-0365, *or call (215) 646-7019. Subscriptions to* FRI Month-

"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.

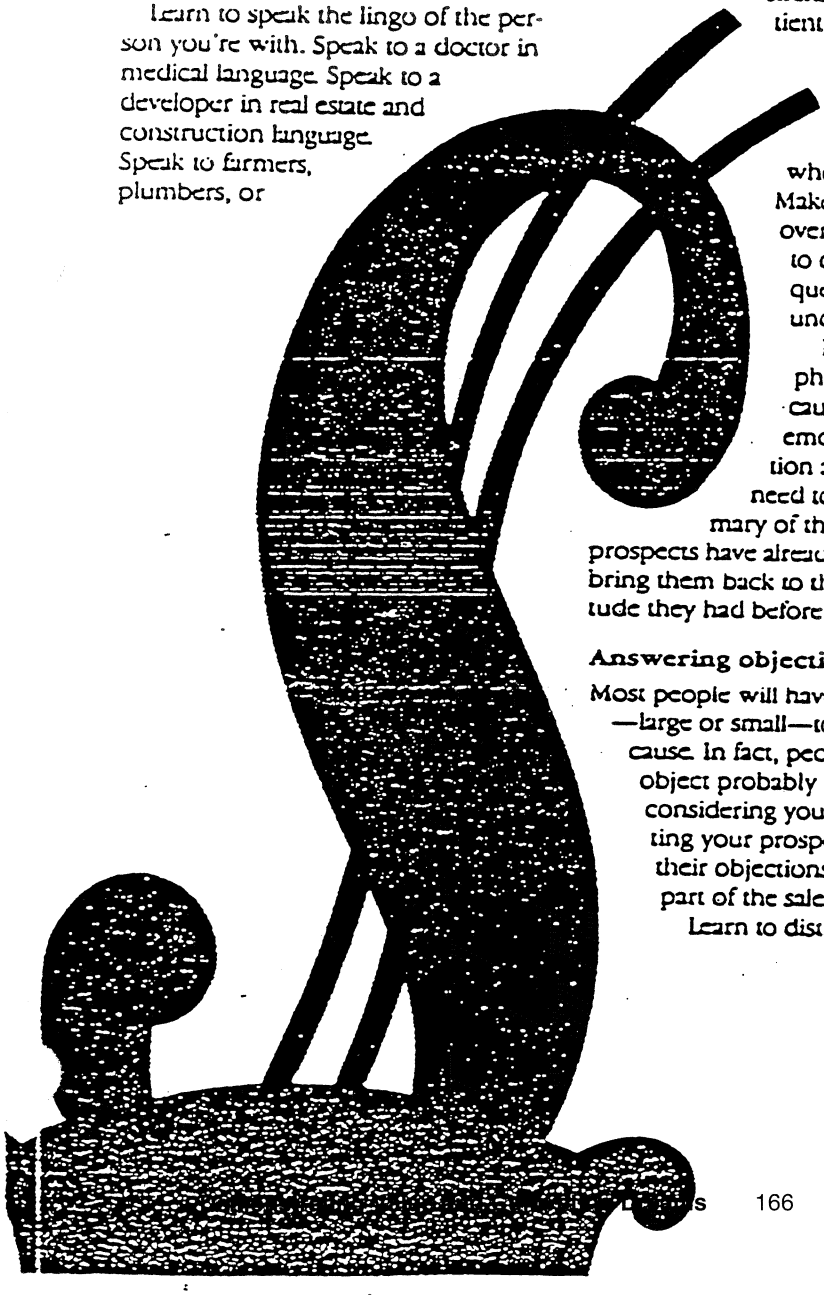
Learn to speak the lingo of the person you're with. Speak to a doctor in medical language. Speak to a developer in real estate and construction language. Speak to farmers, plumbers, or businesspeople in their own special jargon. Remember that rapport flourishes on common ground.

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 objection 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.

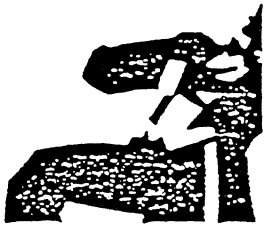
Don't argue or attack your prospects when they object. You may win the argument, but you'll lose the gift. Instead, adopt an objection-handling strategy that works for you. Here are the basics of such a system:

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 initial?" When she gives it to you, continue asking other questions to fill the pledge card or form you're using. When you finish, ask her to OK it.

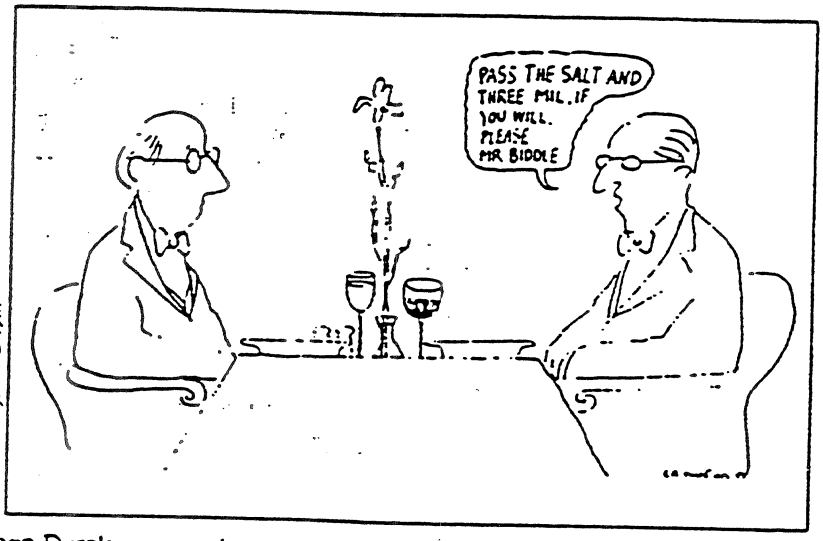
- *The secondary-question close.* Build this around an involvement question—one concerning an issue that would arise only if they agree to give. For example, "By the way, George, are you going to keep our thank-you gift, or do you plan to give it to a friend or relative as a present?" If George selects 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 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 disadvantages, say, "Well, it looks like the right thing to do is pretty obvious, isn't it?" And you've closed them. ense

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.



Michael Crawford / © 1987

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 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

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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.

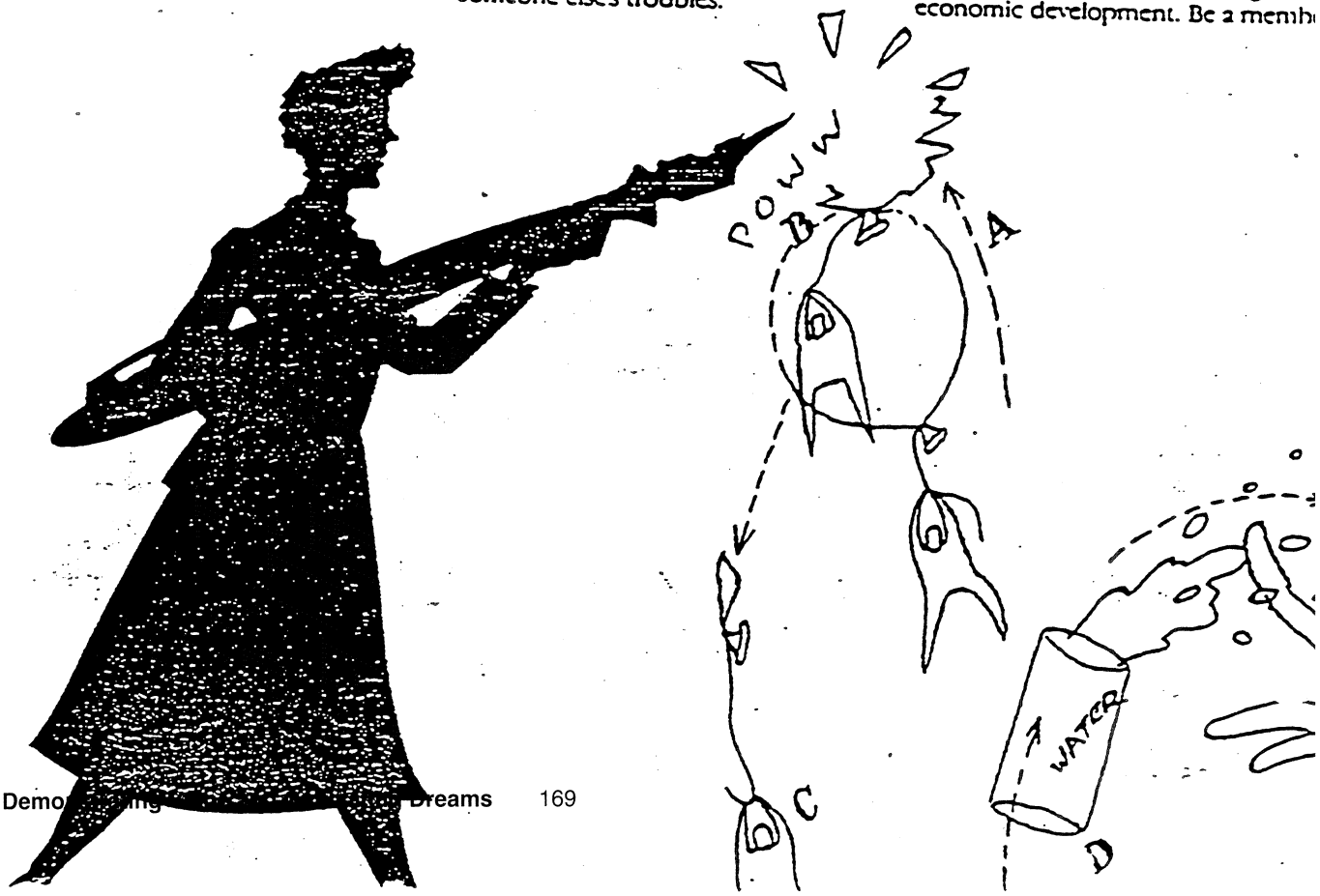
TRICKS OF THE TRADES

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 com mittees, especially those dealing with economic development. Be a memb



of the community's largest civic club. Volunteer for 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.*

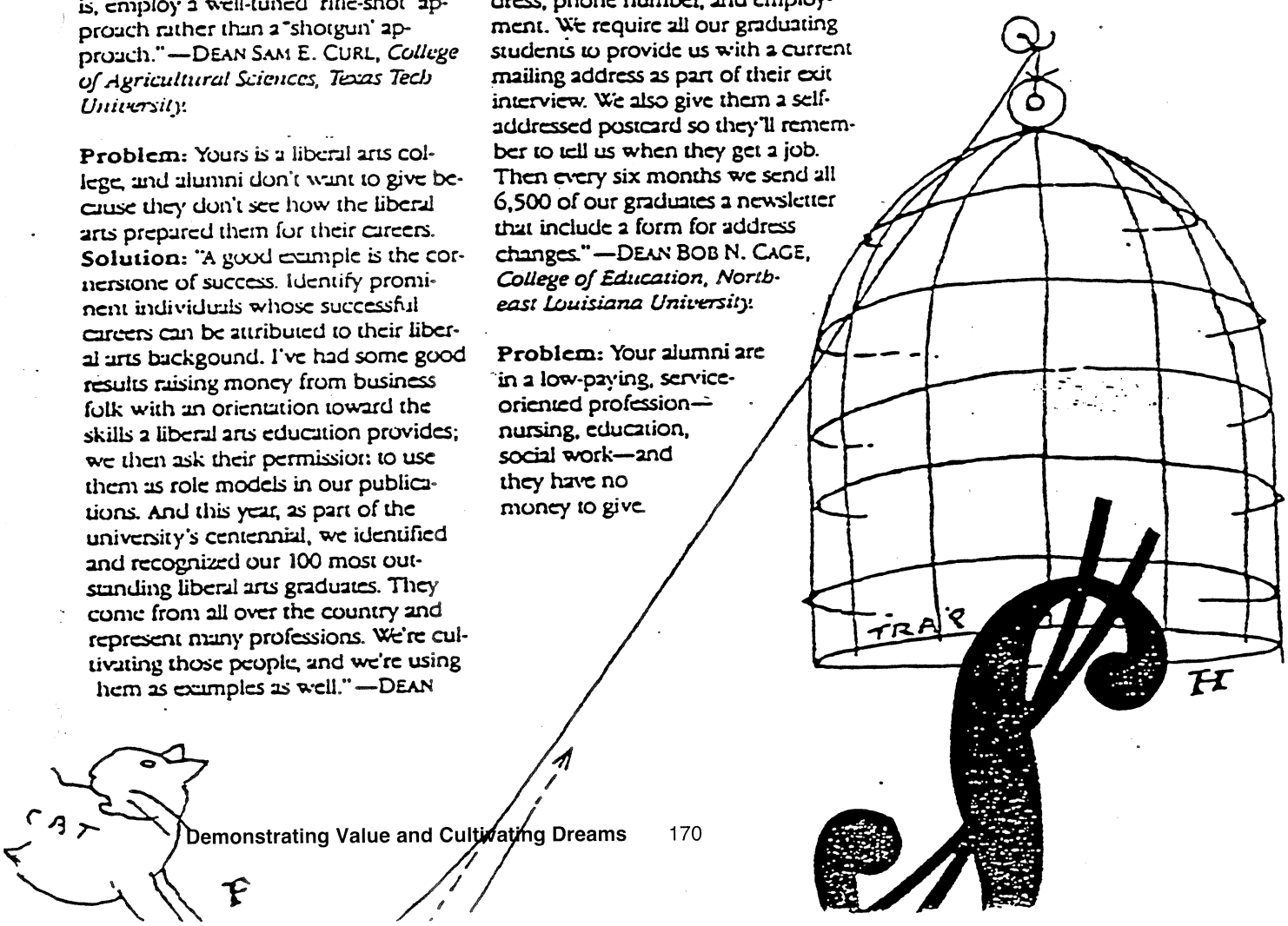
Problem: Yours is a liberal arts college, and alumni don't want to give because they don't see how the liberal arts prepared them for their careers.
Solution: "A good example is the cornerstone of success. Identify prominent individuals whose successful careers can be attributed to their liberal arts backgound. 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 hem as examples as well." —DEAN ROBERT A. WALLER, *College of Liberal Arts, Clemson University.*

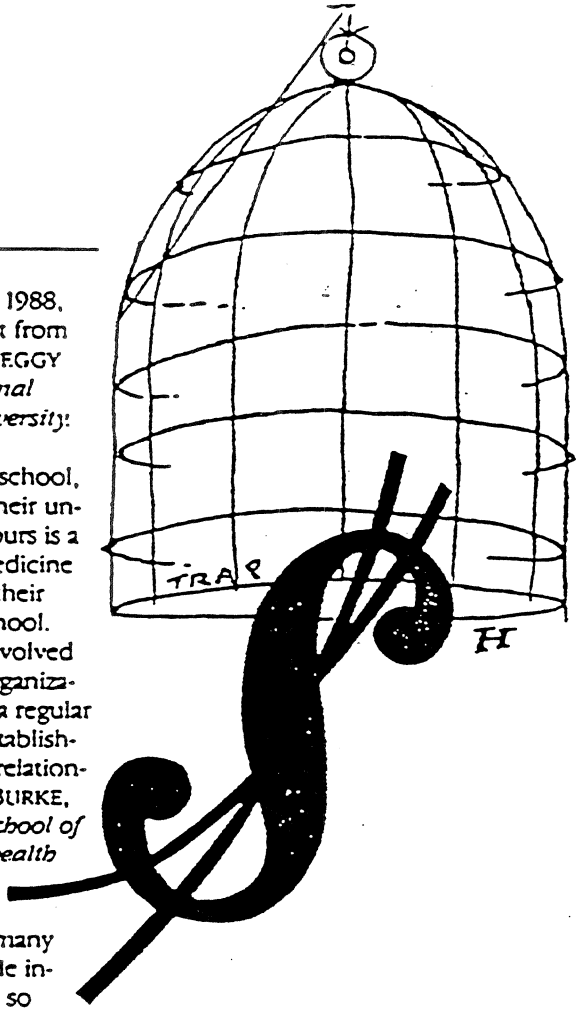
Problem: You're with an arts school. Your alumni are starving artists, and your faculty can't express their vision in verbal terms.
Solution: Take advantage of the natural visibility of the arts. Instead of going to alumni, find prospects among their patrons—audiences and gallery visitors as well as 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, Rosenstiel 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 in-service programs—and funding agencies. Then tailor the request to the donor's interests."—STANLEY MCKENZIE, *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 an individuals to get their ideas and to share your vision of what your schoo is trying to accomplish. The more yo each understand the other's vision, th more creative the fund-raising proces 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 tha plan to sell your biggest needs. "Deve op a well-considered strategy for eacl project to capture the interest and th respect of prospects. Prospects want to feel confident that any suppo offered will be used to maximum ad-vantage."—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 do friend raising. "Every time you travel for a seminar, conference, etc., you should take a few hours to call o a prospective donor. Donors love to receive attention through such visits. —BOB E. GOLBERG, *Director of Dev opment/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 c disappear like the place settings between salad and dessert, buried in th pressure of the moment and the em tionalism of your case."—SANDRA DELLER, *Director of Developme Alumni Relations, Frances Pay ton School of Nursing, Case Western Reserve University*.

Problem: You just can't get the har of (choose one or more) (a) big ever (b) small events, (c) writing proposa

(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 fund-raising 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 [illegible]

"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

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." [2] 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 expertise and experience 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.

Garrett-Evangelical Theological Seminary's Capital Campaign
Table Of Gifts Required To Achieve $8.3 Million

Gift Range	No. Of Gifts Required	Amount Required By Level	Cumulative Total	Percent Of Goal
$2,000,000+	(ideally one)	(not included in total)		
1,000,000+	2	$2,000,000	$2,000,000	24.0%
500,000+	3	1,500,000	3,500,000	42.0%
250,000+	4	1,000,000	4,500,000	54.0%
100,000+	10	1,000,000	5,500,000	66.0%
50,000+	15	750,000	6,250,000	75.0%
25,000+	25	625,000	6,875,000	82.8%
10,000+	50	500,000	7,375,000	89.0%
5,000+	100	500,000	7,875,000	95.0%
1,000+	200	200,000	8,075,000	97.0%
Under 1,000	many	225,000	8,300,000	100.0%
	409	$8,300,000	$8,300,000	100.0%

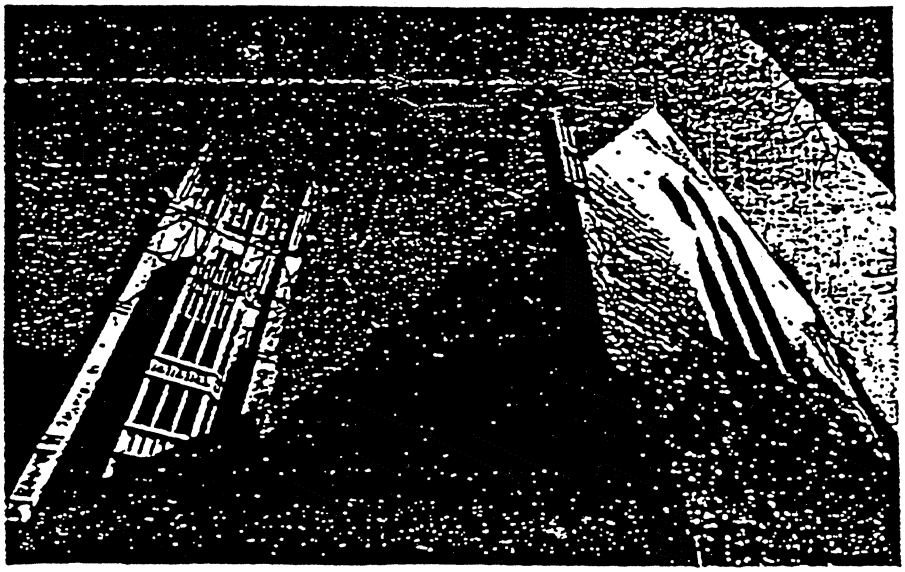
NOTE: A gift of $2,000,000 would not only validate the campaign, but would lessen the intense pressure on the middle and lower segments of the gift distribution table.

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 Endowing 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, 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 organizational structure as streamlined as possible, and at the same time seek to involve as many people as possible in the work of the campaign. These twin goals can be accomplished 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. 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 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 halving gifts. Once such a table is prepa[illegible] should be revised as necessary, based on the number of potential donors and the reasonableness of the dollar figures at both ends of the table.

Many capital campaigns are developed around a theme, and thus materials displaying this theme (including stationery, pledge cards and brochures) will need to be developed. Regarding campaign material Broce quotes an important maxim, "Fe[illegible] people give money because of publicit[illegible] but fewer give without it." Developing campaign materials which can inform a[illegible] inspire is important; however, these materials will not win the campaign by themselves.

3. *Major gift solicitation*. Major gift solicitation should begin before the campa[illegible] is publicly announced. Major gifts will continue to be sought throughout the durat[illegible] of the campaign, but it is vitally impor[illegible] to seek and receive some major gift comm[illegible]ments before the campaign ever offici[illegible] begins. These gifts will set the pace for campaign and will raise the sights of o[illegible] who will be invited to give once the c[illegible]paign is officially launched.

The importance of major gift solicita[illegible] can be understood when one realizes the success or failure of a camp[illegible] depends upon one or two major [illegible] not uncommon for one or two gifts to count for 20 percent of a campaign [illegible] Thus, the importance of major gifts fo[illegible] success of a campaign cannot be [illegible] stressed.

The Smith Tower was named after president Dr. Horace Greeley Smith who guided the seminary through the lean years of the Depression.

Make It Personal

Professional fund raisers sugge[illegible] proper approach in soliciting major [illegible] "top down, inside out." This phrase [illegible] that you begin soliciting those who [illegible] top prospects for major gifts (the t[illegible] and work down (focusing on the ne[illegible] prospects, and then on the rest). At th[illegible] time, you begin soliciting those w[illegible] closest to and most involved in the [illegible] the institution and work your way [illegible] those who are least involved. The t[illegible]pects will thus be those who hav[illegible] gift potential and who are also de[illegible]volved in the life of the instit[illegible] number of the major gift prospect[illegible] be on the campaign steering comm[illegible] cause this group is most deeply in[illegible] the success of the campaign and [illegible] soliciting other major givers.

Major gift prospects should, [illegible] be visited personally. Once stee[illegible]mittee members have made [illegible]mitments, they can begin [illegible] Solicitors should visit those [illegible]lar interests and who can mak[illegible]ments in a range comparable to th[illegible]

"To strongly urge (as one's [illegible] definition for the word solicit, a[illegible]

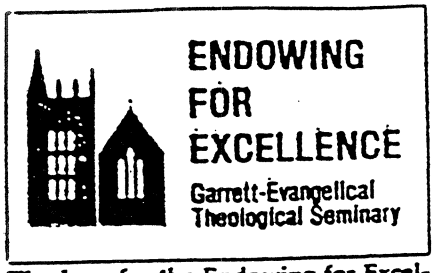
describes the solicitor's responsibility. Persons calling on others should be prepared to discuss why they believe this campaign is important and to urge support for it. They should share enthusiastically why they are investing their time and money in this effort, and they should be prepared to indicate 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.

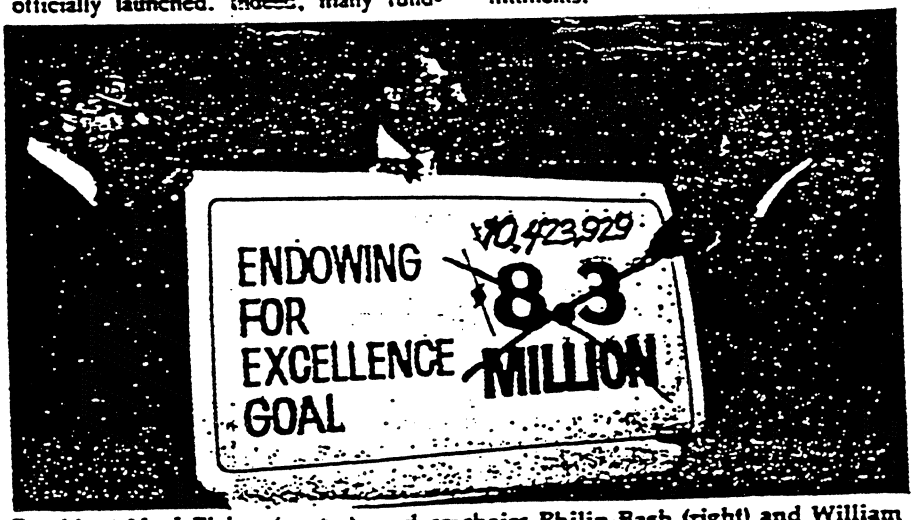
The challenge in general solicitation is to sustain the momentum of the campaign. Unless the solicitation is completed fairly soon after the kickoff event, enthusiasm probably will begin to wane. Regular communication and publicity should be a top priority for the steering committee during this phase 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 wh provided outstanding leadership.

6. Transition. While the afterglow of the victory celebration still lingers, leaders should begin the transition step. The fir task is to do a complete evaluation of th campaign. This evaluation should inclu a review of campaign materials, events committees, timetable and any other impo tant areas unique to that particular ca paign. In each area of concern, that whic worked well and that which did not shoul be noted. Because capital campaigns a only occasional events, this evaluati should be written and preserved for the fu ture.

Preparing a record of the campaign equally important, and the record sho be as complete as possible. In addition the written evaluation and samples of ca paign materials, the record should incl copies of the following: original goals actual results, comparison of the gift ta to actual commitments received, minu from committee meetings, a final bu report on campaign expenses, camp policies statement, projected and ac timetables, and a list of all pledges and campaign reports. Although such infor



President Neal Fisher (center) and co-chairs 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 towar annual budget.

5. It broadens the institution's sup 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 im tant part of a well-rounded develop program. •

[1]Thomas E. Broce, *Fund Raising*, 2nd edition (Norma University of Oklahoma Press, 1987), page 44.
[2]Harold J. Seymour, *Designs for Fund-Raising* (New McGraw-Hill Book Company, 1966), page 87.
[3]Broce, *Fund Raising*, page 50.

David Heetland is vice presiden development at Garrett-Evang 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 asso professor of religion, and a univ administrator. He is the a recently published book, *tals of Fund Raising*. Heetland na written numerous articles and bo views and is a frequent pre speaker and consultant to v groups.

SHAPING the FUTURE Final Report

THE CAMPAIGN FOR THE SCHOOL OF ARCHITECTURE AND URBAN PLANNING

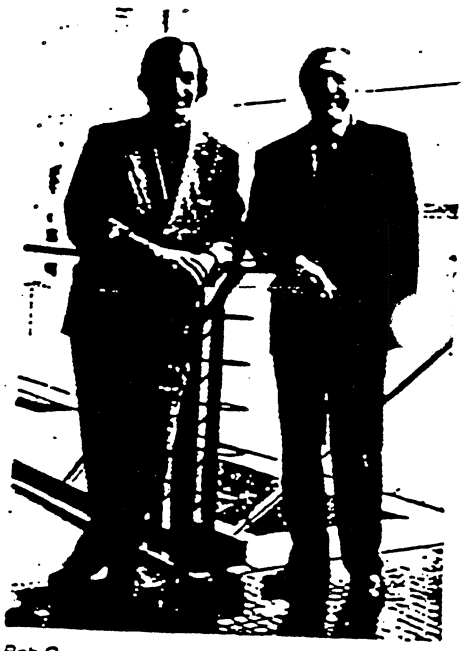
The Shape of Things to Come

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*

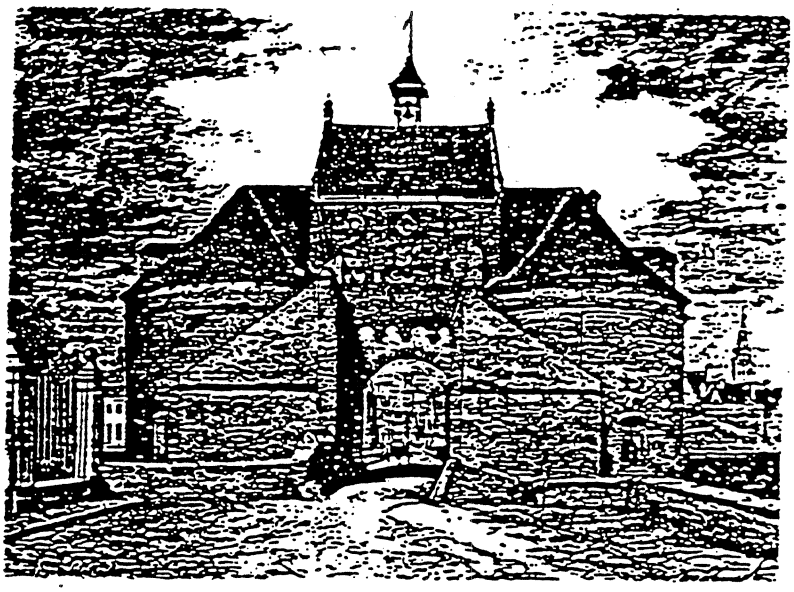
John and Norene Thiel, (both BSAS '71, M.Arch '73) owners of Thiel Visual Design–*developed campaign theme, logo and printed materials*

Michael Hatch, Foley & Lardner–*Corporate Division Co-Chair*

Steve Kent, Robert W. Baird–*Corporate Division Co-Chair*

Jean Friedlander, community volunteer–*special Campaign advisor*

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."

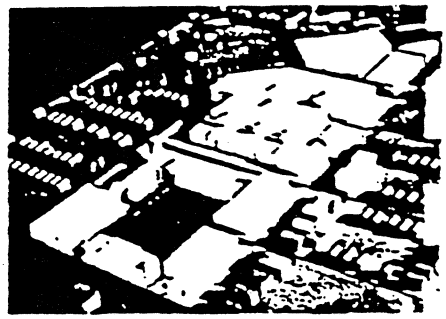
That "way" of giving is called the Life Insurance Endowment Plan. And the easy part of making it significant is through the purchase of a $50,000 life insurance policy, naming the School as beneficiary. By contributing $1,000 a year for five years, this unique plan gave the first 20 alums the exclusive 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 Alum 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 am 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 and 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.

JOHNSON CONTROLS
INSTITUTE FOR ENVIRONMENTAL QUALITY IN ARCHITECTURE

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.

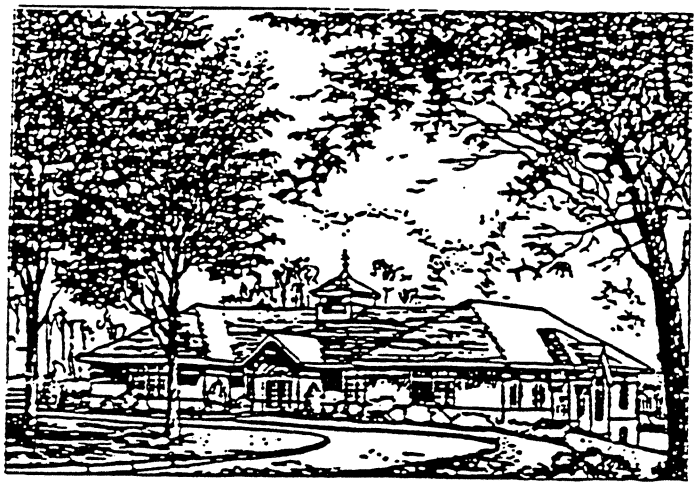
The School's national reputation and leadership in the arena of Environment-Behavior Studies (it is one of only six in the country) led to an ideal partnership with Johnson Controls, a national leader in building control systems and the largest corporation in Wisconsin. Said Jim Keyes, CEO of Johnson Controls, Inc., "any building is a complex system within which physical, organizational, psychological, 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 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.

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 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 Professors 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 lookir 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.
Engberg Anderson
Grunau Project Development
HNTB
Krueger International
Holabird & Root
Kahler Slater Architects
Uihlein Architects
Voss Jorgensen Schueler
Wisconsin Gas

Preserving our Heritage

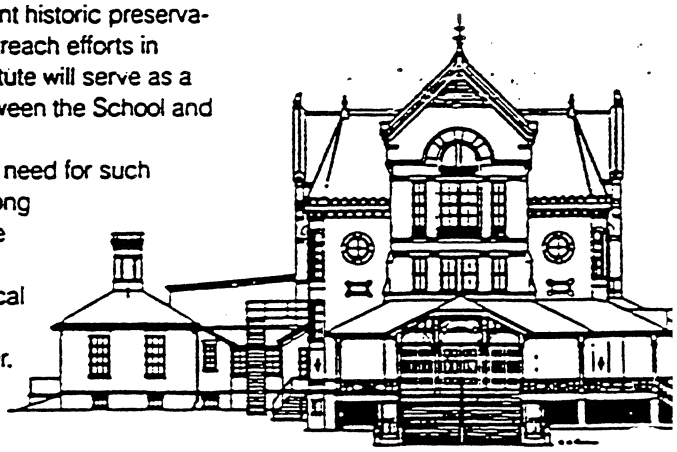
Preservation Studies Program/Historic Preservation Institute

"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 Architectur 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 W 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.

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