

**Dr. Alan E. Guskin
Distinguished University Professor
University President Emeritus
Antioch University**

**Nominated by
Dr. Nicholas Burckel
Dean Emeritus
Marquette University**

**For the
Brock International Prize in Education
2006**

**College of Liberal Studies
Received**

JUL 20 2006

University of Oklahoma

Alan E. Guskin

Distinguished University Professor, Ph.D. Program in Leadership and Change;
University President Emeritus
Antioch University

Alan Guskin is a Distinguished University Professor in Antioch University's new and highly innovative Ph.D. Program in Leadership and Change. (see: www.phd.antioch.edu)
From 2001-2004, Dr. Guskin directed a three year series of think tanks on the future of higher education (Project on the Future of Higher Education –www.pfhe.org)

Dr. Guskin leadership positions in higher education include: serving simultaneously as President of Antioch University and Antioch College from 1985-1994 and, then, after a university reorganization, as Chancellor of the University from 1994-1997; being Chancellor, University of Wisconsin-Parkside (1975-1985), Acting President, Clark University in Worcester, Mass. (1973-1974), and Provost, Clark University (1971-1973). He has held faculty positions at the University of Michigan as well as Clark, University of Wisconsin-Parkside and Antioch. Dr. Guskin remained an active teacher and author throughout his administrative career.

In the past decade, Guskin has published many articles and chapters on the restructuring of colleges and universities, the change process and leadership in higher education, including three widely cited articles published in CHANGE magazine—two on restructuring and a more recently published article in the July/August, 2003 Change Magazine on “Dealing with the Future Now: Principles for Creating a Vital Campus in a Climate of Restricted Resources.” He has spoken at numerous universities and higher educational associations as well as consulted with many colleges and universities on the restructuring of universities and the future of higher education. Guskin serves as a Trustee at Wilkes University in Pennsylvania and Westminster College in Utah, as well as being on a number of national advisory boards and committees.

In 2001 he received the Morris T. Keeton Award from the Council on Adult and Experiential Learning “for his long and noteworthy history in higher education as an administrator, teacher, writer, consultant, and speaker and his demonstrated commitment to student learning and innovation and change in higher education.”

After graduating from Brooklyn College in 1958, Dr. Guskin attended the University of Michigan from 1958-1961 and from 1966-1968, receiving a Ph.D. in social psychology. He interrupted his graduate education in 1961 to serve as a Peace Corps Volunteer in the first group to go to Thailand and then as a senior administrator in the creation of the domestic peace corps, VISTA. While a graduate student in 1960, Dr. Guskin organized a student group on the Ann Arbor campus that is widely credited with inspiring John F. Kennedy to establish the Peace Corps.

Dr. Guskin lives in Edmonds, WA, a small city about 30 miles north of Seattle.

Nominator:

Dr. Burckel is Emeritus Dean of Libraries and Associate Professor of History at Marquette University where he led efforts to plan and construct a state-of-the-art \$55 million library that opened in the fall of 2003. Previously he served as Director of Public Services and Collection Development and later as Associate Dean of Libraries at Washington University in St. Louis. He was also Adjunct Associate Professor in the University of Missouri's School of Library and Information Science. He served in a variety of capacities at the University of Wisconsin-Parkside: Director of Archives and Area Research Center, Associate Director of the Library/Learning Center, Executive Assistant to the Chancellor, and Assistant Vice Chancellor.

Dr. Burckel received his undergraduate degree from Georgetown University and his MA and Ph.D. in history from the University of Wisconsin-Madison; his MLS is from UW-Milwaukee. He is the editor or co-author of six books, more than a dozen articles, and 100 reviews in archival, library, and historical journals. His publications have received awards from the Council for Wisconsin Writers, the State Historical Society of Wisconsin, and the American Association for State and Local History. He was awarded a Council on Library Resources academic library management internship at the University of Chicago and was a senior fellow at the Palmer School of Library and Information Science.

Dr. Burckel is a Fellow and past president of the Society of American Archivists. In 1996 President Clinton appointed him to two successive terms on the National Historical Publications and Records Commission where he served on its executive committee from 1997 to 2003. In 2002 he received the Distinguished Alumnus Award from the University of Wisconsin-Milwaukee and in 2003 was named Librarian of the Year by the Wisconsin Library Association.

Nominee:

I first met Dr. Guskin when he became Chancellor at UW-Parkside, serving as his executive assistant for eight years. During that time I had an opportunity to observe Dr. Guskin's leadership at close range and to benefit from his sage counsel. Indeed, he opened up wider opportunities for me and many others, taking a small troubled and financially strapped public university and turning it into a strong, innovative, and successful institution by the time of his departure for Antioch University ten years later. Although Antioch had a long and distinguished history of leadership and innovation during much of the nineteenth most of the twentieth century, it faced serious challenges at the time of Dr. Guskin's arrival. As he had done at UW-Parkside, Dr. Guskin led a successful effort to strengthen the University, both academically and financially. Throughout his academic career, he has applied his research as a social psychologist to the practical problems facing universities. His work is thoroughly

grounded in experience, and that combination of academic training and experience is reflected in his wide-ranging publications and hundreds of presentations. That he continues an active research and speaking schedule after stepping down from his role as president and chancellor attests to the continuing vitality of his ideas and of the constant demand for his services across the country.

The attached vita and selected publications only hint at Dr. Guskin's influence on higher education as it wrestles with the problems of rapid change, increased accountability, higher costs, and greater expectations. Rather than simply promoting a theoretical solution to these problems, he has created an approach that colleges and universities can adapt in order not merely to survive, but to prosper. Higher education needs creative and realistic ways to assure the quality of students who will be the teachers and leaders of the future.

Portfolio:

Given the constraints of the nomination guidelines it is difficult to cover the full range of Dr. Guskin's contributions. His commitment to help others was already evident before he completed his formal education at the University of Michigan. As noted in Harris Wofford's critically acclaimed history of the 1960s, Dr. Guskin was instrumental in promoting the idea of the Peace Corps to then presidential candidate John Kennedy. Once the corps was formed, Dr. Guskin and his wife were among the first volunteers. Thus early on, he evinced the pragmatic idealism that has continued to characterize his work for nearly forty years.

Dr. Guskin's vita speaks for itself, documenting the range and depth of his contributions to education in general and higher education in particular. Of the many letters of support I could have solicited, I restricted myself to four letters, each representing a different aspect of Dr. Guskin's influence. They testify not only to Dr. Guskin's personal impact on individuals and their careers, but also on his wider influence in the higher education community.

The articles selected for inclusion in this portfolio illustrate the kind of pragmatic idealism that has infused Dr. Guskin's leadership style and research. Two of the articles appeared in *Change: The Magazine of Higher Education*, arguably the most read magazine among higher education administrators. Another influential piece is an interview that appeared in the *American Association of Higher Education (AAHE) Bulletin*, dealing with the Association's theme—"Organizing for Learning." The final article uses Dr. Guskin's experience at Antioch to illustrate his approach to leadership, based on a blend of personal experience and his professional training as a social psychologist.

Taken together, Dr. Guskin's life's work reflects his commitment to improving the quality, effectiveness, and efficiency of education. It also illustrates the four characteristics of leadership identified by John Brock—bedrock principles, a moral compass, vision, and the ability to form a consensus.

RESUME

June, 2006

Alan E. Guskin
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EDUCATION: B. A., Psychology (Honors), Brooklyn College, 1954-58
Ph.D., Doctoral program in Social Psychology,
University of Michigan, 1958-61, 1966-68

PRESENT POSITION: Distinguished University Professor,
Ph.D Program in Leadership and Change, and
University President Emeritus,
Antioch University

Administrative Experience:

1985-1997

1994-1997 Chancellor, Antioch University
(following restructuring of University administration)

1985-1994 President, Antioch University, Yellow Springs, OH
(including President of Antioch College, 1987-1994)

1975-85 Chancellor, University of Wisconsin-Parkside, Kenosha, WI

1973-74 Acting President, Clark University, Worcester, MA

1971-73 Provost Clark University, Worcester, MA

1970-71 Project Director, Education Change Team, School of Education,
University of Michigan, Ann Arbor, MI

1968-70 Project Director and Acting Assistant Director, Center for
Research on Utilization of Scientific Knowledge, Institute
for Social Research, University of Michigan, Ann Arbor, MI

1965-66 Director, Florida Migrant Farm Worker Program, Community
Action Fund, Inc., St. Petersburg, FL

1964-65 Director, Division of Selection, VISTA, Office of Economic
Opportunity, Washington, D.C.

1961 (summer) Selection Officer, Peace Corps; Left this position to become a
Peace Corps Volunteer in the first group to go to Thailand (1961-64)

Faculty Experience:

Note: From 1975-1997, primary responsibilities were as Chancellor and President of two universities. Faculty experience involved occasional teaching (usually one course per year), writing, and presentations in the area of leadership, organizational change and higher education.

- 1997- Distinguished University Professor, Antioch University
Ph.D Program in Leadership and Change
- 2001-2004 Director, Project on the Future of Higher Education
a think tank of 14 leading creative thinkers and practitioners
in higher education working on issues of the future of higher
education. Met three times a year for three years.
- 1997-1999 Chair, Higher Education Institutes, Teachers College Columbia Univ.
- 1985-1997 University Professor, Antioch University; appointed
Distinguished University Professor in 1991
- Summer,
1986, 1987, 1988 Member of faculty, Institute for Educational Management,
Harvard University
- 1975-85 Professor of Education, University of Wisconsin-Parkside
- 1971-75 Associate Professor (1971-73) and Professor (1973-75),
Departments of Sociology and Education, Clark University
Primary responsibilities as Provost and Acting President,
1971-74; as full-time faculty member, 1974-75.
- 1971 Associate Professor, Department of Behavioral Sciences,
School of Education, University of Michigan (taught at
Residential College)
- Summer, 1969 Visiting Associate Professor, School of Education, Indiana
University, Bloomington, IN
- 1968-71 Lecturer, Department of Psychology, University of Michigan
Taught half time in new experimental college of University
(the Residential College).
- 1962-64 Instructor in Psychology and Research, Faculty of Education,
Chulalongkorn University, Bangkok, Thailand (as a Peace
Corps Volunteer)

Special Honors:

Morris T. Keeton Adult and Experiential Education Award, Council on Adult and Experiential Learning, November, 2001

("for his long and noteworthy history in higher education as an administrator, teacher, writer, consultant, and speaker and his demonstrated commitment to student learning and innovation and change in higher education.")

Honorary Doctor of Humane Letters, Antioch University, October 18, 1997

Honorary Doctor of Law, Saybrook Institute, June 20, 1989

Presentations on Special Occasions Related to Founding of Peace Corps:

(Based on my role in the founding of the Peace Corps. I was the leader of a student group, formed as a result of John F. Kennedy's speech on October 14, 1960 at the University of Michigan, that is generally credited with stimulating him to make a major campaign speech supporting the creation of the Peace Corps. It is said that this campaign commitment led to the authorization of the Peace Corps on March 1, 1961. I became a Peace Corps Volunteer in the first group in Thailand in October, 1961 and served until April, 1964)

1980 Speech on the 20th anniversary of the founding of the Peace Corps, on the steps of the Union at the University of Michigan, Ann Arbor, Michigan. This is where President Kennedy gave a campaign speech that eventually led to the founding of the Peace Corps. (Other speakers included Secretary of State Edmund Muskie and the first Director of the Peace Corps, Sargent Shriver)

1986 "Passing the Torch to a New Generation: The Founding of the Peace Corps," Keynote Address at National Council of Returned Peace Corps Volunteers on the 25th Anniversary of the Peace Corps, San Antonio, TX, July 28, 1986.

Also in 1986, at the celebration of the celebration of the 25th anniversary of the Peace Corps in Washington, DC, placed a wreath on the grave of John F. Kennedy on behalf of all Peace Corps Volunteers.

2001 Keynote address on the 40th anniversary of the founding of the Peace Corps, John F. Kennedy Library, Boston, March 3, 2001

Books and Monographs:

- 2004 *Learning Communities and Fiscal Reality: Optimizing Learning in a Time of Restricted Budgets*, (with Barbara Leigh Smith and Mary Marcy) A. Monograph, National Learning Communities Project in Collaboration with the American Association for Higher Education.
- 1998 *Recapturing Antioch's Legacy: The Struggle to Rebuild a Visionary Institution*. 300 pages (unpublished)
- 1997 *Notes From A Pragmatic Idealist: Selected Papers of Alan E. Guskin 1985-1997*. Yellow Springs, Ohio, Antioch University, 160 pp.
- 1981 *New Directions for Teaching and Learning: The Administrator's Role in Effective Teaching* (editor) Number 5, 1981, San Francisco: Jossey-Bass, 106 pp.
- 1970 *A Social Psychology of Education* Reading, MA: Addison-Wesley (with S. L. Guskin), 211 pp.
- 1968 *Changing Identity: The Assimilation of Chinese in Thailand* Ph.D. Dissertation, 179 pp.
- 1964 *Changing Values of Thai College Students* Bangkok: Faculty of Education, Chulalongkorn University, 120 pp.

Articles and Chapters:

- 2005 "Decisions for Economic Reality: 'Muddling Through' versus Transformation," (with Mary Marcy) in *Enhancing Productivity in Higher Education*, James Groccia and Judith Miller, Editors. Anker Publishing.
- 2003 "Dealing with the Future Now: Principles for Creating a Vital Campus in a Climate of Restricted Resources," *Change Magazine*. July/August, 2003 (with Mary Marcy)
- 2003 "Teaching and Learning in a Climate of Restricted Resources," Report from the Conference Presentation," *Liberal Education*. (with Mary Marcy)
- 2003 "Faculty Work, Student Learning, and the Case for Reform" in *The Enterprising University*, Gareth Williams, Editor. The Open University Press. (with Mary Marcy)

- 2003 "The Role of Faculty Development Professionals and the Future of Higher Education" in *To Improve the Academy*, Catherine Wehlburg, Editor, Anker Press (with Devorah Leiberman)
- 2002 "Teaching, Learning and Difference" in *A Resource for Educations (4th Edition)*, Gary Wheeler, Editor, Info-Tec. (with Devorah Leiberman)
- 2002 Guskin, A. and Marcy, M. "The Yin and Yang of Campus Leadership," *Trusteeship*. (September/October 2002).
- 2002 "Pressures for Fundamental Reform: Creating a Viable Academic Future" in Robert Diamond, ed. *Field Guide to Academic Leadership*, Jossey-Bass (with Mary Marcy)
- 2001 Facing the Future: Faculty Work, Student Learning and Fundamental Reform, *Working paper #1*. Project on the Future of Higher Education. (with Mary Marcy)
- 1999 "On Being a Pragmatic Idealist: A Social Psychologist's Reflections On His Role as a University President," in *The Psychologist-Manager Journal*, (Special Section: The Psychologist-President) Volume 3, No.1, pp. 84-96.
- 1998 "Transformational Change (Restructure? You Bet!)" An Interview with Alan Guskin by Ted Marchese in *AAHE Bulletin*, September, 1998, Vol. 51, No. 1
- 1998 "Some Obstacles to Restructuring Colleges and Universities in 1998," *Learning Productivity Newsletter*, March, 1998
- 1997 "Learning More, Spending Less," *About Campus*, Volume 2, No. 3, July-August, 1997.
- 1997 "Restructuring to Enhance Student Learning (and Reduce Costs)," *Liberal Learning*, Spring, 1997
- 1996 "Facing the Future: Change Process in Restructuring Universities," *Change*, July/August, 1996
- 1996 "Soft Landing for New Presidents," *Trusteeship*, Jan.-Feb., 1996

- 1994 "Reducing Student Costs and Enhancing Student Learning: The University Challenge of the 1990s-Part II: Restructuring the Role of Faculty," *Change*, Sept./Oct., 1994, pp. 16-25.
- 1994 "Reducing Student Costs and Enhancing Student Learning: The University Challenge of the 1990s-Part I: Restructuring the Administration," *Change*, July/August, 1994, pp. 23-29.
- 1992 "On Changing Fundamental Conceptions of the Undergraduate Experience: Experiential Learning and Theories of Intelligence," *Journal of Cooperative Education*, Fall, 1992
- 1992 "Whole Person Education at Antioch," *The Antiochian*, Spring, 1992
- 1992 "Honoring the Bright Side and Surviving the Dark Side: Value-Based Colleges in the 1990s," *Antioch Notes*, Volume 60, Number 1, Fall, 1992
- 1991 "Cultural Humility: A Way of Being in the World," *Antioch Notes*, Vol. 59, Number 1, Fall, 1991
- 1991 "A Way of Being in the World: Reflections on the Peace Corps 30 years Later," *The Antiochian*, Fall, 1991
- 1986 "Passing the Torch," in *Making A Difference: The Peace Corps at Twenty-Five*. Edited by M. Viorst, New York: Weidenfeld and Nicolson, pp. 25-29.
- 1986 "Building Institutional Quality: The Role of Research at Regional State Colleges and Universities," *Change Magazine*, Vol. 18, No. 4 (July/August), pp. 57-60, 66, (with M.S. Bassis)
- 1985 "Leadership Styles and Institutional Renewal," in R. Davis (ed.) *New Directions in Higher Education: Leadership and Institutional Renewal*. No. 49, March 1985, San Francisco: Jossey-Bass, pp. 13-22 (with M. S. Bassis)
- 1984 "Library Future Shock: The Microcomputer Revolution and the New Role of the Library," in *College and Research Libraries*, May, 1984, pp. 177-183 (with C. Stoffle and B. Baruth)

- 1984 "Teaching, Research, and Service: The Academic Library's Role," in T.G. Kirk (ed.) *New Directions for Teaching and Learning: Increasing the Teaching Role of Academic Libraries*. Number 18, 1984, San Francisco: Jossey-Bass, pp. 3-14 (with C. Stoffle and J. Boisse)
- 1981 "How Administrators Facilitate Quality Teaching," in *New Directions for Teaching and Learning: The Administrator's Role in Effective Teaching*. Number 5, 1981, San Francisco: Jossey-Bass, pp. 1-15
- 1980 "Knowledge Utilization and Power in University Decision Making," in L. Braskamp and R. Brown (eds.), *New Directions for Program Evaluation: Utilization of Evaluation Information*, Number 5, 1980. San Francisco: Jossey-Bass, pp. 45-55
- 1979 "The Academic Library as a Teaching Library: A Role for the 1980's," *Library Trends*, (Fall, 1979), pp. 281-296 (with C. Stoffle and J. Boisse)
- 1979 "Equality and Inequality: Basic Skill Requirements at the University Level," *Educational Record*, Vol. 60, No. 3 (Summer, 1979), pp. 312-318 (with B. Greenebaum)
- 1978 "Engineers, Systems Analysis and Educational Change: Some Ethical Implications," in G. Bermant, H. Kelman, D. Warwick (eds.), *The Ethics of Social Intervention*. New York: John Wiley & Sons, pp. 191-202
- 1973 "Partisan Diagnosis of Social Problems," in G. Zaltman (ed.), *Processes and Phenomena of Social Change*. New York: John Wiley & Sons, pp. 353-376 (with M. Chesler)
- 1971 "Advocacy and Democracy: The Long View," *American Journal of Orthopsychiatry*, 41 (1), January, 1971, pp. 43-57 (with R. Ross)
- 1966 "Tradition and Change in a Thai University," in R. Textor, (ed.), *Cultural Frontiers of the Peace Corps*. Cambridge: MIT Press, pp. 87-106.

Presentations to Professional Organizations, Meetings and Universities on the Future of Higher Education:

2003-present

Presentations based on the work of the Project on the Future of Higher Education and the article "Dealing with the Future Now: Principles for Creating a Vital Campus in a Climate of Restricted Resources," Change July/August, 2003

Keynotes and Major Addresses at National/Regional Meetings

Opening keynote address, first in a series of library leadership training institute held at Vanderbilt University, Nashville, TN July 10, 2006

Keynote address, ThinkTank 2006, a conference sponsored by IBM and Lenovo and held at Seton Hall University, June 8, 2006

For about 350 educators and technologists, including 75 academic leaders, focused on institutions that provide a computer to every member of the learning community (ubiquitous computing programs).

Keynote address, first EDUCAUSE conference (about 300 people) tailored specifically for those who lead and manage enterprise and administrative information technologies in higher education and for those who aspire to do so. May 24, 2006 Chicago

Opening Keynote address, 25th Annual Conference on the First Year Experience on February 25, 2006 Atlanta, GA.

Association of College and Research Libraries 12th National Conference presentation on "Strategic Directions: More than Muddling Through," in Minneapolis, Minnesota, April 8, 2005. (with Carla Stoffle)

Keynote address, Atlanta University Center Faculty Gathering at the Woodruff Library of the Atlanta University Center, March 17, 2005

Opening Keynote address, "SunGardSCT EXECUTIVE SUMMIT on The Future of Higher Education March 5, 2005 Honolulu, Hawaii

SunGard SCT is the provider of the leading integrated software package (Banner) to colleges and universities. The Executive Summit is for the executives of client institutions (focus on president, provost, CIO, CFO, CAO and VPs).

Organizing for Learning Workshop for American Association for Higher Education, "Organizing for Campus Success in a Climate of Restricted Resources: Student Learning, Faculty Vitality, and Fiscal Reality," October, 2004 University of Maryland (with Mary Marcy)

Keynote address, New Jersey Presidents' Council NJEDge.Net Conference, (NJEDge is a statewide network designed to enhance the teaching, research and public service missions of New Jersey's colleges and universities) October, 2004

Plenary Address, National Conference on Student Retention in New Orleans, La.. July 17, 2004

Closing Keynote Address, WebCT 6th Annual WebCT Users Conference July 15, 2004 Orlando, FL

Opening Keynote Address, American Association for Higher Education Summer Academy, July 11, 2004, Stowe, VT

Featured Speaker, Association of Research Libraries, Thursday, May 13, 2004, Tucson, AZ

Presentation to Seminar Series at the Center for Studies in Higher Education, University of California-Berkeley, March 30, 2004

Featured Speaker, EDUCAUSE Center for Applied Research Conference November 19-21, 2003, San Diego, CA.

Keynote Speaker, The Collaboration for the Advancement of College Teaching & Learning Conference, November 14, 2003 Minneapolis, MN (The Collaboration is a regional consortium of colleges and universities located primarily in the five-state region of Iowa, the Dakotas, Minnesota, and Wisconsin)

Keynote Speaker, SUNY Faculty Conference on Excellence in Learning and Teaching, "Beyond Chalk and Talk II" October 10, 2003 Oswego, NY.

Keynote Speech, American Association of State Colleges and Universities Academic Affairs Summer Conference, July 31, 2003 Snowbird, UT.

Featured Speaker, Library directors for all the Regents Institutions in Georgia and the library directors for the Atlanta Regional Council for Higher Education, July 15, 2003 Atlanta, GA.

Featured Session at Association of College and Research Libraries National Conference," April 10-13, 2003 Charlotte, NC. on "Facing the Future: Enhancing Student Learning and the Vitality of Academic Professionals in a Climate of Budget Cuts."

Featured Session, American Association for Higher Education Learning to Change National Conference, "Organizing for Learning in a Time of Reduced Resources," March 14-17, 2003 Washington D.C. (with Mary Marcy)

American Association for Colleges and Universities Annual Meeting, "Creating a Vital Campus in a Climate of Restricted Resources: 10 Organizing Principles," January 22-26, 2003, Seattle, WA (with Mary Marcy)

Speeches at Colleges, Universities, Boards and Systems

California University of Pennsylvania, California, PA Oct 19, 2006

St. Olaf College, Northfield, MN, May 5, 2005

Chemeketa Community College, Feb.11, 2005, Salem, OR

Seton Hall University, April 14, 2004, New Jersey

University of Wisconsin Board of Regents, February 5, 2004, Madison, WI

North Carolina State University, January 8-9, 2004, Raleigh, NC.

University of Washington Board of Deans Retreat. Keynote, November 5, 2003
Blaine, WA

Concordia College, Convocation Address, Aug 21, 2003 Fargo, MN

University of Wisconsin-Stout, Chancellor's Advisory Council, Summer Retreat,
Primary Presenter and Consultant, July 8-9,2003 Menominee, WI.

Joint Meeting of Academic Affairs and Student Affairs Vice Presidents, University
System of Georgia, Plenary Speaker, July 14, 2003, Athens, GA.

1994-2001

Presentations on Restructuring Universities: The Administration, the Role of Faculty and the Change Process: (based primarily on two articles published in July/August and Sept./Oct. 1994 and a third on the change process in July/August, 1996 in CHANGE)

Keynotes and Major Addresses at National/Regional Meetings

National Academy for Academic Leadership, St. Petersburg, Fl., January, 2000

Urban 13 Consortium of Universities, Provosts' Meeting, Milwaukee, Nov., 1999

State Higher Education Academic Officers, Breckenridge, Co., August, 1999

AAHE Summer Academy, Snowmass, Colorado, July, 1999

Higher Education Council of Columbus, Columbus, Ohio, April, 1999

American Assn. for Higher Education National Conference on Roles
and Responsibilities of Faculty, San Diego, CA, January, 1999

University of Arizona, Second Harvill Conference on Higher Education,
Tucson, Arizona, November, 1998

AAHE Summer Academy, Vail, Colorado, June, 1998

Association of New American Colleges, Walnut Creek, CA, June 1998

Snowmass Institute, Snowmass, Colorado, July, 1997

California Community College CEOs Institute, Marin County, CA , June, 1997

National Assn. of Schools of Pharmacy, Virginia, May, 1997

Council of Independent Colleges (CIC)Technology Conference,
Pittsburgh, April, 1997

Assoc. of American Colleges and Universities (AACU) Institute on Restructuring,
Washington D. C., June, 1997

Assoc. of College and Research Libraries National Meeting, April, 1997,
Nashville--Commissioned paper and special session discussing paper

State System of Higher Education of Pennsylvania, Speech and discussion at
leadership institute for campus presidents and central
administrators, State College, PA., March, 1997

AACU National Meeting, Atlanta, GA, January, 1997

Six Campus Change Project under the auspices of Michigan State Univ.
Higher Education Program, Detroit, Michigan, October, 1996

CIC--Foundation/College Meeting in New York City, October, 1996

CIC Meeting of institutions participating in Restructuring projects, June 1996,
Kansas City, Mo

New England Resource Center for Higher Education, Univ. Mass.-Boston,
All Day Retreat, Boston, June, 1996

Council of Independent Colleges Academic Deans Workshop,
Seattle, November, 1995

TIAA-CREF, Briefing of Senior Executive Leadership on crisis in
higher education New York City, (with David Breneman and Art Hauptman),
August, 1995,

American Assn. of University Administrators, National Meeting, Atlanta, June, 1995

American Assn. for Higher Education, National Conference of
Assessment, Boston, June, 1995

California State University System Conference on Peer Review,
Long Beach, Calif. April, 1995

American Assn. for Higher Education National Conference on Roles and Responsibilities of Faculty, Phoenix, January, 1995

California Higher Education Policy Center, four hour workshop on draft of Restructuring papers, San Jose, Calif., March, 1994

Speeches at Colleges and Universities

Manatee Community College, Sarasota, FL March, 2001
Penn Valley Community College, Kansas City, MO. Jan., 2001
College of DuPage, Chicago Area Faculty Development Conference, Oct., 2000
Maple Woods Community College August, 2000
Blue River Community College, Kansas City, Mo., August, 2000
State Higher Education Education Officers, Breckenridge, CO August, 2000
Rowan State in New Jersey; keynote speech May 9-10, 2000
Portland State University, Portland, Oregon, April, 2000
Waukesha Technical College, Pewaukee, Wisconsin, March, 2000
Central Michigan University, Mt. Pleasant, Michigan, February, 2000
St. Xavier, University, Chicago, February, 2000
Longview Community College, Kansas City, Missouri, January, 2000
Diablo Valley Community College, December, 1999
University System of Georgia, Academic Affairs Division, June, 1999
University of Guelph, Guelph, Ontario, May, 1999
Arizona Board of Regents, Tempe, Arizona, April, 1999
University of Wisconsin-Milwaukee, Milwaukee, Wisconsin, February, 1999
New College of University of South Florida, Sarasota, Fla., February, 1999
California Schools of Professional Psychology, Menlo Park, CA December, 1998
Temple University, Philadelphia, December, 1998
University of Wisconsin-Parkside, Kenosha, WI, November, 1998
Lane Community College, Eugene, Oregon, September, 1998
Anderson University, Anderson, Indiana, February, 1998
Maricopa Community College District, Faculty Convocation, Jan., 1998, Phoenix
Fairleigh Dickinson University Convocation, Teaneck, N.J, November, 1997
Kutztown University Retreat/Workshop on Restructuring, PA, October, 1997
Jacksonville University All Day Faculty Retreat on Restructuring,, Sept., 1997
Queens College Faculty Workshop, Queens, NYC, June, 1997
Worcester Polytechnic University, Worcester, Mass., May, 1996
California State University-Fullerton, January, 1996
University of Massachusetts-Amherst, All Day Retreat of Academic Administrators, November, 1995
University of Cincinnati, All Day Faculty Retreat, Nov., 1995
University of North Carolina-Wilmington, May, 1995
Franklin College, Franklin, Indiana, May, 1995
Southwest Missouri State University, April, 1995
California Polytechnic University-Pomona, April, 1995
Western Carolina University, North Carolina, March, 1995
University of Arizona, All Day Administrators Retreat, Jan., 1995
Capital University, Columbus, Ohio, Jan., 1995

Southern Connecticut State University, New Haven, Jan., 1995
California State University-Northridge, November, 1994

Presentations to Professional Organizations, Meetings and Universities (Continued)

- 2002 International Leadership Association Conference "Why Too Many University Leaders Fail: The Paradoxes of the Presidency," November 14-16, Seattle, WA.
- 2002 American Association for Higher Education Assessment Conference "A Report from the Project on the Future of Higher Education" June 20-23, Boston, MA
- 2002 "Doctoral Study and Non-Traditional Learners: Re-Envisioning the PhD for Working Professionals," at AAHE National Meeting, Chicago, March (with L. Alexandre and J. Wergin)
- 2000 "Why Major Higher Education Innovations Fail: Some Observations on How to Enhance Success," at AAHE National Meeting, Anaheim, CA, April, 2000
- 1998 Association of Christian Universities and Colleges in Asia, General Assembly (Presidents and Board Chairs), Speech on "The Academic Presidency at the Turn of the Century," Osaka, Japan, October, 1998
- 1993 "The Peace Corps and the National Service Corps (Americorps)," Panel Discussion, National Conference of Council on Adult and Experiential Learning, November, 1993, New Orleans
- 1993 "Reflections on the Meaning of Peace Corps Service", Keynote address at Peace Corps Week, Ohio State University, November 3, 1993
- 1993 "The Crisis in Higher Education: Some Thoughts," at 30th Anniversary Celebration of the Great Lakes Colleges Association, Indianapolis, April, 1993
- 1991 "The Darkside of Progressive Higher Education," delivered at a seminar during the inauguration of the President of Goddard College, September 28, 1991
- 1991 "The Founding of the Peace Corps," delivered at the first summer training institute of the Teach for America program, Los Angeles, California, June 24, 1991
- 1989 "Educating a Competent and Involved Citizenry: The American Crisis of the 21st Century," first annual Rogin Lecture, George Meany Center for Labor Studies, January 24, 1989.
- 1989 "Creative Tension in Organizational Leadership," Keynote Address, Focus on Thinking Conference, Invermere, British Columbia, April 21, 1989

- 1989 "Cooperative Education and the 21st Century," presented at Cooperative Education Association National meeting, Atlantic City, NJ, April 5, 1989
- 1989 "Teachers as Leaders," presentation at national meeting of Association for Supervision and Curriculum Development, Orlando, FL, March 14, 1989 (with L. LaShell)
- 1988 Presentation on "Cooperative Education and Undergraduate Education," at special symposium on cooperative education, Jersey City State College, Jersey City, NJ, April 22, 1989
- 1987/1988 Workshops on Collaborative Leadership at American Association of Higher Education, Chicago and Washington, D.C., March 1987 and 1988
- 1987 "Experiential Learning and Theories of Intelligence," speech to Annual Meeting of New York State Cooperative and Experiential Education Association, Albany, NY, October 1, 1987
- 1987 "Leadership and Creative Tension in Organizations," speech to Leadership Management conference, Montana College of Mining, Butte, MT, March 25, 1987
- 1986 "Reallocation of Resources," presentation to North Central Association national meeting, Chicago, IL, March 7, 1986
- 1984 "Recent Trends in U.S. Higher Education," presentation at special seminar for Thai and American university presidents as part of International Exchange Program, Bangkok, Thailand, July 8, 1984
- 1983 "Library Future Shock: The Role of Microcomputer in the Future of the Library," at Bowling Green State University on the occasion of the rededication and renaming of the Jerome Library, September 28, 1983, Bowling Green, OH
- 1983 "New Microcomputer Technology and the Library," presentation at Colorado Conference on Information Society, October 6-7, 1983, Denver, CO
- 1983 Presentation on Role of Computers in Libraries, a response to paper by Vice President for Libraries at Columbia University, American Association of Higher Education, March, 1983, Washington, D.C.

- 1983 Speech on Future of Administrative Leadership to Wisconsin ACE Office of Women National Identification Program, April 18, 1983, Milwaukee, WI
- 1980, 1981, 1982 Orientation of new presidents and chancellors on "Presidential Leadership Styles and Decision Making," at annual meetings of American Association of State Colleges and Universities
- 1981 "An Organizational Perspective on Reforming Universities," a special commissioned paper for the conference "Old Promises/New Practices: A National Conference on Liberal Education," June 4-6, New York, NY
- 1980 Chair, Symposium on Administrative Facilitation of Quality Teaching, at annual meeting of American Association of State Colleges and Universities, Colonial Williamsburg, VA, November, 1980
- 1980 Presentation on implementing recommendations of UW System's Task Force on the Status of Women, at annual meeting of American Council on Education, San Francisco, CA, October, 1980
- 1980 "Planning for the Future While Respecting Cultural Traditions: On Transferring American Planning Paradigms to Taiwan," at First Global Conference on the Future, Toronto, Canada, July 7, 1980
- 1980 "Problems of Higher Education in the United States," at Sino-American Conference on Higher Education, Taipei, Taiwan, April, 1980

(Note: Many other presentations were made to associations and groups from 1965-1980)

Consulting Activities:

- 2006 EDUCAUSE Strategic IT Issues Focus Group, March 27-28, Chicago
EDUCAUSE is convening this group of "about 35 top folks" to examine the issues facing higher education in the next ten years, to discuss how technology can help higher education respond to these challenges and to examine barriers to response and strategies to address those barriers.
- 2005 Fielding Graduate University—Consultation with administrator-faculty committee on faculty rank issues April 18, 2005 Santa Barbara, CA
- 2004 Brooklyn College--Consultation meetings with College leadership and dept chairs on Future of Higher Education, September 20-21, 2004

- 2004 Millersville University--Consultation on development of university vision, Millersville, PA, September and November, 2004 with leadership groups and faculty
- 2002 Carnegie Foundation, Member of Team to Assess the Higher Education Programs of the Atlantic Philanthropies
- 2000-2002 Portland State University—on creation of new academic programs focused on enhancing student learning and faculty vitality
- 1999-2001 Metropolitan Community College District, Kansas City, MO. on development of programs to enhance student learning
- 1999-2000 University of Wisconsin-Milwaukee on development of academic programs to implement "Milwaukee Idea"
- 1999 NCHEMS on accreditation standards for the 21st century, Denver
- 1999 University of Central Arkansas on development of private-public university, Little Rock, Arkansas, May
- 1998-1999 Lane Community College, Eugene, Oregon on efforts to enhancing student learning and reducing costs
- 1997-1999 Teachers College Columbia University; Chair, higher education institutes
- 1998 Olivet College, Assessment of College Transformation, February-March
- 1997 California Higher Education Policy Institute; Assessment of Irvine Foundation funded Futures Project of 18 colleges and universities involved in change projects
- 1997 State System of Higher Education of Pennsylvania, Workshop for senior leadership team including campus presidents and central administration of System, June, 1997
- 1995-1996 Pew Charitable Trusts, Evaluation of higher education grants and recommendation for future grant program (with David Breneman)
- 1996 Olivet College, member of three person group to review progress of College's implementation of new academic plan
- 1995 Johnson Foundation, Racine, Wisconsin, panel to develop Foundation's agenda in area of learner productivity
- 1995 Minnesota State Universities and Colleges, two day discussion of governance of new higher education system

- 1994 California State University Vice Chancellor's Office,
meeting of campus Vice Presidents for Academic Affairs
- 1994 California State University-Monterey Bay, on development of
a new university
- 1991 Consultant to Kellogg National Leadership Fellows Program,
Kellogg Foundation, January, 1991
- 1990 Consultant/Workshop Leader, Organizational Leadership in the
1990s, SUNY Business Officers Retreat, Geneseo, New York, June, 1990
- 1990 Consultant/Presenter on Organizational Leadership and Creative Tension
in the 1990s, YSI, Inc. Yellow Springs, Ohio, March, 1990
- 1989 Led workshops on Leadership and on the Nature of Power, Politics and Change,
Focus on Thinking Conference, April 21-22, 1989, Invermere, British Columbia
- 1988 Consultant to Kellogg Foundation on Leadership programs
- 1984 Conducted two-day workshop on Leadership and Institutional Planning and
Planning for Microcomputers in Higher Education for administrative retreat,
University of Alaska-Juneau, Sitka, AK, September 17-18, 1984
- 1985 Conducted workshop for Academic Vice Presidents on Leadership: Task vs.
Process Orientation, AASCU Resource Center for Planned Change, New Orleans,
LA, March 22, 1984
- 1982 Workshop on Participatory Management to Racine Unified School District
Administrators Retreat, Elkhart Lake, WI, June, 1982
- 1982 Conducted workshop on Leadership for administrative retreat
at University of Alaska-Juneau, AK, January, 1982
- 1981- 1994 Chair, and Consultant/Reviewer, Accreditation Teams, North Central
Accreditation Assn.; 1994 Chair, Accreditation Team, New England Assn.
- 1979 Special Consultant to Chancellor, Minnesota State University
System for evaluation of one of the state universities
- 1979 Conducted workshop on "Leadership in Higher Education," for
senior administrators retreat, California State University,
Chico, CA, September, 1979
- 1979 Conducted workshop on "Leadership, Management and Strategies for
Implementing Planned Change," a one-day workshop at Resource Center for
Planned Change Summer Institute, Vail, CO, August, 1979

Boards and Special Advisory Committees

- 2003- Member, Board of Trustees, Westminster College, Salt Lake City
- 2003- Member, Board of Trustees, Wilkes University, Wilkes-Barre, PA
- 2001- Contributing Editor, CHANGE magazine
- 2000- Member, National Advisory Committee, Center for the Study of Accelerated Learning, Regis University
- 2003-2005 Member, Board of Directors, American Association for Higher Education
- 1995-2005 Member, Board of Trustees, Pierson-Lovelace Foundation
- 1987-1998 Board of Trustees, Council for Adult and Experiential Learning; Chair, 1993-1995; Member, 1987-1998
- 1997 Member, Board of Visitors, University of North Carolina-Asheville
- 1996-1997 Member, Council on Leadership Development, American Council on Education
- 1995-1997 Member, National Advisory Committee of California Higher Education Policy Center's project on the Governance of Public Higher Education
- 1995-1997 Member, National Advisory Council of new university in Arizona, Arizona International Campus of Univ. of Arizona
- 1995-1997 Member, National Advisory Committee of Council of Independent Colleges project on the Changing Role of Faculty and College Restructuring
- 1985-1996 Member, Board of Directors, Southwest Ohio Council on Higher Education
- 1985-1994 Member, Board of Directors, Great Lakes Colleges Assoc. Sec'y/Treas 1993-4
- 1987-89 Member, American Council on Education Commission on Higher Education and Adult Learner
- 1987-88 Member, Council on International Educational Exchange; Advisory Committee on International Exchange Programs
- 1977-1985 Board and Committees, American Association of State Colleges and Universities

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FAX (520) 621-9733

July 7, 2006

Trent E. Gabert, Ph.D.
Associate Dean
College of Liberal Studies
The University of Oklahoma
1610 Asp Avenue, Suite 108
Norman, Oklahoma 73072-6405

Dear Dean Gabert,

I am thrilled to be a reference for Dr. Alan Guskin for the Brock International Prize in Education. I can think of no one who better meets the criteria, especially from the point of view of university librarians across the country. He has had a major impact on librarianship and the engagement of librarians in helping academic institutions achieve their goals and respond to changing demands, especially as these relate to teaching and learning.

My interactions with Dr. Guskin began in the 1970s when he was Chancellor at the University of Wisconsin-Parkside where I was a reference/instruction librarian. I soon became his assistant and the Assistant Chancellor for Educational Services, a unit created to bring academic support units and student services units together to be more actively involved in teaching and learning at the institution. From Dr. Guskin, I received an education in thinking about change and understanding the role of the library "not as an end in itself, but a unit dedicated to the achievement of the institution's goals." Our work together has continued up to this time, as has his influence on my own career, including my writing, professional activities, and leadership in implementing new roles for the library.

When Dr. Guskin came to the University of Wisconsin-Parkside, he faced the need to restructure the University to help it more effectively meet its regional mission while promoting excellence in teaching and research. Being an educational psychologist interested in change as well as a co-founder of the Peace Corps (and a Peace Corps volunteer), he understood innovation and the dynamics surrounding transformative change. We began to work together as he came to see the potential of the libraries and librarians as change agents and carriers of instructional innovation.

Dr. Guskin has published articles on the role and potential of academic libraries in instruction and institutional change and hosted a series of seminars for provosts, faculty, and librarians from selected institutions to expand thinking about how libraries could facilitate learning and educational innovation. These seminars led to numerous publications and Dr. Patricia Breivik's collaboration with Dr. Gordon Gee (President at Colorado, Ohio State, Brown) on two books expounding on the role of libraries in instruction and in institutional change leadership. In

addition, Dr. Guskin has given keynote speeches at two National Conferences of the Association for College and Research Libraries (a 12,000-member professional organization) and numerous conferences for faculty and academic administrators based partially on this work. Hundreds of librarians have been influenced by his vision and his work has been cited consistently in the professional library literature.

Dr. Guskin has long promoted and supported the role that libraries can play on campus in transforming teaching and learning, and in bringing innovation to the classroom. He encourages librarians and faculty to work together to expand the ability of students to find and use information, allowing faculty to design more active learning assignments. As a result of his support, The University of Arizona Libraries became known as a trailblazer and many articles were published about our work. In addition, we received a number of grants to allow us to develop new learning materials for wider use across the country.

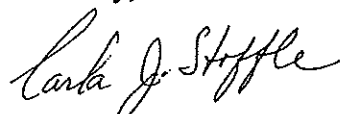
Most recently, Dr. Guskin headed the Project for the Future of Higher Education (2001-2004), dedicated to helping institutions come to grips with the need for transformative change due to the unsustainability of the current funding models for higher education. He included me among the provosts, deans, faculty, and student service representatives in the seminars. From this work, several publications have resulted including an influential article in *Change Magazine* (July 2003) and an issue of the *Association for Research Libraries Newsletter* (2004). In the last few years, Dr. Guskin has also given presentations to over 50 national and regional higher education groups and has consulted with 20 institutions of higher education, including the University of Washington, about institutional change and how the libraries can play a major role. He was a keynote speaker for an Association for Research Libraries (consisting of the 120 largest research libraries in North America) 2004 Spring Meeting, and subsequent strategic priorities for the Association have focused on the role of the library in teaching and learning.

It is clear that in realizing the potential of libraries to improve teaching and learning through services beyond the collections that Dr. Guskin has unleashed a mighty force for higher education. Hundreds of librarians have been encouraged to be more active and have used his work to justify an expanded role on their campuses. His impact on university administrators has been profound as well. Many administrators now recognize the library and librarians as potent forces on campus for improving teaching and learning.

As you can tell from this letter, I greatly admire the work of Dr. Guskin and believe that he has had a major influence on higher education through his activities and scholarship. He has helped to bring a major academic unit, the library, into a more active role in improving teaching and learning as well as solving institutional problems.

Thank you for this opportunity to support his nomination.

Sincerely,



Carla J. Stoffle, Dean



PH. D. IN LEADERSHIP AND CHANGE

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Dean Trent E. Gabert, Ph.D.
Chair, Brock International Prize in Education
University of Oklahoma, 1610 Asp Avenue
Norman, OK 73072-6405

June 30, 2006

Dear Dr. Gabert:

I am writing this letter to support the nomination of Dr. Alan Guskin for the Brock International Prize for Education. Dr. Guskin has made (and continues to make) a significant contribution to the field of higher education as an insightful thinker, prolific writer, public intellectual and experienced practitioner. Through his writing and public speaking across the country, and through concrete experimentation at Antioch University and other colleges and universities, Al Guskin challenges and stimulates higher education leaders and faculty in their thinking about the future of higher education, especially as it relates to enhancing student learning and faculty and staff work lives within the context of reduced resources. I am honored to have the opportunity to share my thoughts about Dr. Guskin with the Brock Prize Executive Committee.

By way of a brief introduction, I have worked with Al Guskin for over a decade in various capacities at Antioch University and I have followed his contributions to the wider higher education field over this time as well. In this letter I will first address Al's impact on the larger community, and in the course of that, I will share some specific aspects of Al's thinking that have taken shape within Antioch. I will conclude the letter with some personal remarks about Al's contributions to my own thinking about higher education.

Challenging and Stimulating Higher Education

Al's extensive contributions to stimulating thinking on the important issue of enhancing student learning and faculty/staff work lives within the context of reduced resources began in earnest in 1994 and has continued for the last decade. While this has not been the exclusive focus of his many articles, chapters and monographs on the issue of transforming colleges and universities, it has been the focus of some of the most influential. In particular, four articles in *Change* magazine have been widely reproduced and used by colleges and universities in their faculty and administrative retreats and strategic planning efforts. His writing and work over the last decade formed the basis for his most recent article, "Dealing with The Future Now: Principles for Creating a Vital Campus in a Climate of Restricted Resources" (*Change*, July/August 2003), which focuses on the need to transform colleges and universities to enhance student learning and faculty work-life in the context of limited fiscal resources and has been especially influential in higher education circles.

We all are faced with "doing more with less" and Al has shed light on the way

universities need to restructure teaching and learning to retain the quality of faculty work life and student learning. Al predicted that costs, learning and technology would push higher education to restructure. He has spoken widely about the need for faculty to think hard and to think creatively about their own futures. And he pushes all of higher education to think more deeply about teaching and learning, especially the learning side.

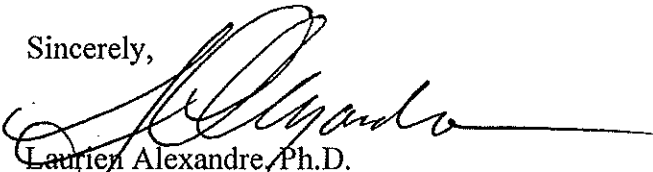
Of course it is hard to measure the impact of ideas but the reception that these articles have received is an indicator of their importance in the field. Al's articles are considered "seminal" in the field (see the interview of him in *AAHE Bulletin*, Vol. 51, No. 1, Sept. 1998, p.3). Since November 1994, Al has spoken to faculty and administrative groups on the future of higher education at over 50 colleges and universities, has given major addresses or keynotes on the future of higher education at over 50 national and regional higher education groups and has been involved as a consultant in about 20 institutions of higher education and foundations. I have personally witnessed several of these presentations and the excitement which Al's ideas generate is palpable.

Personal Reflections

I understand that the Brock Prize recognizes contributions to the field of education and I hope I have addressed this wider arena in my comments above. However, I would be remiss if I did not take this opportunity to speak briefly about the significant impact that Al has had on Antioch University in general and in particular, in the realization of many of his most innovation ideas through the creation of a highly distinctive PhD in Leadership and Change. As Antioch University President and Chancellor (1985-1997) Al oversaw the turnaround of one of the country's historic liberal arts institutions. Since stepping down as Chancellor, Al and I have worked together to design and then implement a doctoral program that captures many of Al's ideas of creating innovation in the face of resource scarcity. The program's focus on student-centered learner, on networked organizational models, and on the appropriate use of technology to support student learning and faculty productivity are cornerstones of the program, which has received accolades from accrediting bodies as being on the cutting-edge, offering non-traditional learning environments without sacrificing quality.

Change agents such as Al not only change systems, they change people. I can share with the Brock Committee that Al affects and inspires those with whom he meets and works. Faculty in the PhD Program have often referred to Al as a "realized visionary leader", one who brings humility and self-reflection to his leadership. For me personally, I am deeply grateful for the opportunities I have had to work with and learn from Al. He has changed the course of my life and has shared with me unique understandings of the field of higher education.

Sincerely,



Laurien Alexandre, Ph.D.
Dean, University-wide Programs
Antioch University



Dean Trent E. Gabert, Ph.D.
Chair, Brock International Prize in Education
University of Oklahoma
1610 Asp Avenue
Norman, OK 73072-6405

Re: Professor Al Guskin

Dear Dr. Gabert:

I am writing on behalf of Dr. Al Guskin, President Emeritus of Antioch University. I have known Al for nearly a decade. I am vice president of EDUCAUSE, the international consortium of colleges and universities worldwide charged with promoting higher education through the intelligent use of information technology. At EDUCAUSE, I am currently responsible for research and direct ECAR, the EDUCAUSE Center for Applied Research. I have had the real honor of working with educators and other leaders of more than 2,000 colleges and universities since my appointment in 1996. Before that, I served in a variety of executive roles at the University of California.

I am writing on behalf of Professor Al Guskin, a candidate for the Brock International Prize in Education.

Two people have made an indelible impression on me over my 25 years in higher education. One was the late Clark Kerr who shared his time generously with me and taught me a great deal about leadership and courage. The second is Al Guskin, who much like Kerr speaks with wisdom, knowledge, passion and conviction about the unique strengths of our system of higher education and the grave perils facing this institution. Perhaps no single practitioner and thinker in high education has been more influential in the past decade and more in both articulating a vision of what college and university leaders must now undertake and in modeling this vision in his life's work. Al Guskin has been generous in sharing his time with EDUCAUSE and his talks and essays have struck our professional community in deep and resonant ways. He has been equally generous with organizations like the Council of Independent Colleges and frankly has influenced a generation of higher education's top leaders. What I love most about Al is his ability to simultaneously cherish higher education and our idiosyncrasies while charting a clear course for change. He has worked tirelessly to conserve that which must be conserved in American higher education while making a completely compelling case for change. I have had the privilege to work with 'the good and the great.' Al Guskin is both good and great. I am sincerely grateful for all he has done for higher education.

I hope that you and the Committee will act favorably on Al's candidacy for this important award. I believe that he embodies the ideal of what was intended with this award and this recognition would I am sure not only thank Al for his contributions, but will validate and energize his very important work.

Sincerely,

A handwritten signature in black ink, appearing to read 'Richard N. Katz', with a long horizontal flourish extending to the right.

Richard N. Katz
Vice President



OFFICE OF THE PRESIDENT

July 6, 2006

Dean Trent E. Gabert, Ph.D.
Chair, Brock International Prize in Education
University of Oklahoma
1610 Asp Avenue
Norman, OK 73072-6405

Dear Dean Gabert:

I understand that Alan Guskin has been nominated for the Brock International Prize in Education. I am not sure if this will help or hurt his prospects but I do know that I would not be where I am, or who I am, without Alan Guskin.

The *where* is pretty easy to identify: I am currently serving as President of Westminster College in Salt Lake City and prior to that led both Olivet College in Michigan and the New College in Florida. The *who* is harder to define but if, as I hope, it includes an educator who believes that learning is a life long challenge, an administrator who seeks to create a collaborative decision making process, and an individual who is committed to improving the educational enterprise...if those things are part of my *who*, then I can thank Alan Guskin for that.

I have worked with Alan in a number of different capacities: I was an academic administrator from 1981-1986 at the University of Wisconsin-Parkside when Alan was Chancellor; I was his Executive Vice President and Provost from 1989-1993 when he was President of Antioch University; I was a member of his three year think tank called the Project on the Future of Higher Education; and when I assumed my current position, I asked him to serve on Westminster's Board of Trustees. Having known and observed him in a number of different roles over a long period of time, I can honestly say that he has always been a profound thinker and passionate advocate for all that I think is best about higher education.

In the last decade, following his long career as a college and university president, Alan has focused his attention on persuading higher education academic and administrative leaders that, in order to create vital institutions in a time of restricted resources, it is critically important to focus on enhancing the quality of student learning and faculty work-life while attending to fiscal matters. His articles in *Change*, his presentations to colleges and universities, his speeches at national conferences, and his role as a consultant have been enormously important in influencing the way many people think

about higher education. I believe that any objective analysis would suggest that over the past decade or so, he has been among the half dozen most influential and innovative thinkers in the field.

Summarizing his career and accomplishments is not something I can easily do. But I can call your attention to a few of the principles that he has developed which have been very influential in my own thinking about higher education.

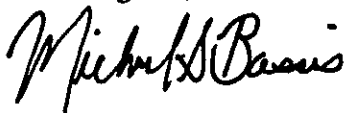
Education is at the heart of the administrative enterprise. Any administrator, and especially a college president, can be caught up in the details of his or her job: budgets to balance, funds to raise, various stakeholders to charm, countless memos to read. But college presidents must remember that their real function is to facilitate learning. At the end of the day, Alan taught me, I had to ask myself what I had done to advance the mission of the institution and what I could do tomorrow to promote student learning – even while I balanced budgets, raised funds, charmed stakeholders and read memos.

Anyone can solve the problems they see; your real job is to anticipate the problems that have not yet developed. Alan has always said that, while an educational administrator needs to attend to the here and now, the real challenge is to anticipate the trends that are not yet apparent and adapt to challenges that are still developing.

Think about Higher Education in a social context. Alan has always valued learning for its own sake but he has also been a passionate advocate for the social relevance of higher education. His emphasis on the shift from teaching to learning was, at least in part, a way to respond to and break the cost/quality continuum which threatens to make Higher Education less affordable. He does not argue that everyone needs to focus on that issue, but he does believe that the profession needs ensure that the educational enterprise adds value to society.

I could, I suspect, go on at even greater length about the role that Alan has played in shaping my thinking. But the point I wish to make is simply this: he has contributed at least as much to the entire profession as he has to me personally.

Best Regards,



Michael S. Bassis
President

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Change

THE MAGAZINE OF HIGHER LEARNING

JULY/AUGUST 2003



**CREATING NEW
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Dealing With the Future

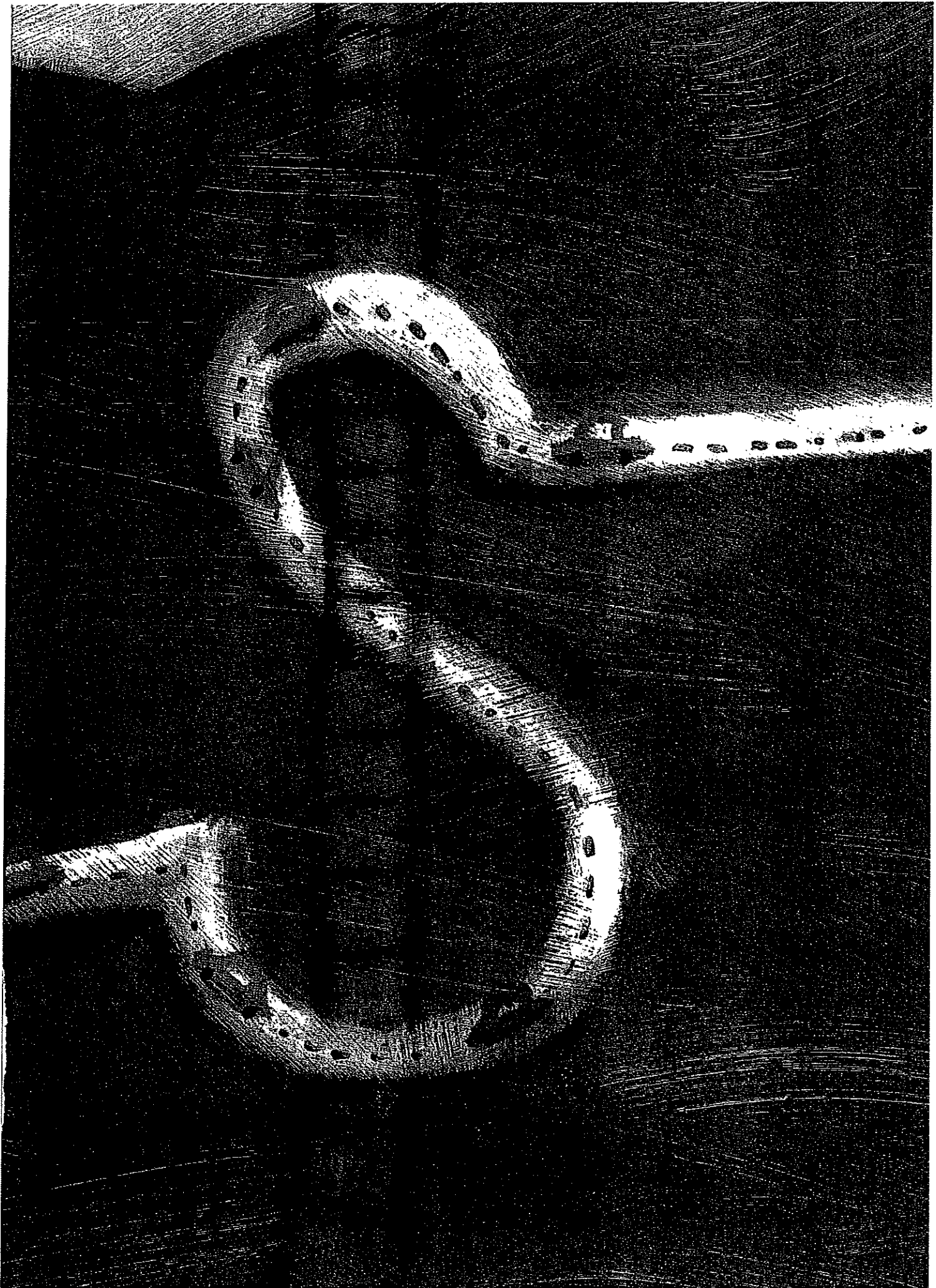
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BY ALAN E. GUSKIN AND MARY B. MARCY

Principles for Creating a Vital Campus in a Climate of Restricted Resources

A major irony of the present higher education landscape is that just as we are developing some of the most promising models for teaching, learning, student engagement, and the use of technology, we are simultaneously facing dire budgetary circumstances. Whether we are able to maintain and advance quality teaching and learning in this environment is a challenge that almost all of our colleges and universities will need to address.

Alan E. Guskis is distinguished university professor and president emeritus of Antioch University, co-director and senior scholar of the Project on the Future of Higher Education at Antioch University. Mary B. Marcy is co-director and senior administrator of the Project on the Future of Higher Education. The authors retain the copyright for this article. The Yearly Teacher at avuskin@antioch.edu and mmarcy@antioch.edu.



As financial pressures increase, there is a considerable danger that promising innovations in teaching and learning will be marginalized or lost. Under such circumstances campuses typically reduce any activity that is not seen as being at the core of academic life—and even some that traditionally have been seen as essential to it.

While attention to increasing revenue will remain necessary, the additional dollars that campuses will likely be able to raise will not be sufficient to assure quality student learning and a decent faculty work life. To achieve these goals, we believe it will be necessary to fundamentally restructure the organizational and learning systems of our colleges and universities around the most promising innovations in teaching and learning. Major structural change, though painful, offers the greatest hope for creating vital campuses in a climate of restricted resources.

Recent trends suggest that higher education's current condition of fiscal stress is not a short-term problem. While the present recession will pass, the financial problems that affect us are long-term and structural. Ray Scheppach, the executive director of the National Governors Association (NGA), recently outlined the major systemic budgetary problems that afflict state governments as follows:

...the states' fiscal problems [are] only partly due to the cyclical downturn in the economy. Two longstanding structural problems—an eroding tax base and the explosion in health care costs—are the major causes. Both of these problems were camouflaged by the phenomenal economic growth in the second half of the 1990s. The recession unmasked the problems, but it was not the reason for the swift and steep decline in the state fiscal situation.... The bottom line is that the current problem is long-run and structural....

David Breneman, a leading economist of higher education, echoes this sentiment from the perspective of public higher education:

Increasingly, tax revenues are insufficient to support the myriad social services expected of state governments, including public higher education. The shift of many social-service obligations from Washington to the states has only amplified this problem. The late Harold A. Hovey, a former budget director in Illinois and Ohio, estimated in 1999 that the high level of economic activity was masking structural deficits in 39 states. His analysis, which many states ignored at the time, was prescient.

The financial challenges faced by our state governments are thus troubling and permanent. And they promise severe consequences for public institutions of higher education.

But it is not just public colleges and universities that face structural financial problems. Fund-raising at private institutions also has been down in the past two years, the result of the recession and a post-9/11 reality. While it is always difficult to

predict the future for equity markets, there are indications that the stock market—which has fueled many successful recent college campaigns—will not experience the sustained growth of the 1990s for some time to come.

Many private colleges and universities are already struggling financially, so the probability that future fund-raising might be flat or will increase only modestly for the more than 90 percent of non-wealthy institutions will only exacerbate their problems. Simply stated, costs are continuing to escalate beyond our ability to generate tuition and fund-raising revenues to cover them.

In 1997, the Council on Aid to Education pointed out that the cost of higher education has grown substantially more than the rate of inflation for nearly three decades. Referring to both public and private institutions, it described the problem in this manner:

**While attention
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will not be sufficient to
assure quality student
learning and a decent
faculty work life.**

A sector whose costs grow faster than inflation for an extended period ultimately reaches the limits of available resources, as has been demonstrated in the health care industry...

In 1995 dollars, higher education will have to spend about \$151 billion in 2015 to serve future students if costs continue to grow at current rates. Assuming that public appropriations to higher education continue to follow current trends, government funding will be about \$47 billion in that year. Tuition, grants, and endowment income will account for another \$66 billion. In other words, the higher education sector will face a funding shortfall of about \$38 billion—almost a quarter of what it will need.

If these financial problems are indeed long-term and structural, how can our colleges and universities respond creatively? Most institutions to this point have reacted

by making incremental changes in the hope that they will ride out a cyclical downturn. While some of these short-term measures no doubt will provide temporary budget relief, fewer inflation-adjusted dollars from governmental sources, combined with marketplace limits on tuition levels and private fund-raising for almost all campuses, will still eventually lead to significant budget shortfalls.

What will a college or university look like that does not make significant changes in how it educates students under these circumstances? What impact will ongoing budget reductions have on the quality of faculty work life and student learning? If we were creating a college or university today, given what we know about likely fiscal, technological and societal realities, what would it look like?

Generating answers to these questions is (literally) not an academic exercise because facing this future head-on is essential to maintaining the viability and quality of our higher education institutions. And, given the importance of a college education for the citizens of a knowledge-based world, answers are critical to the future of our society.

TABLE 1. COMPARISON OF ASSUMPTIONS AND ACTIONS OF INSTITUTIONAL RESPONSES TO SEVERE FISCAL PROBLEMS: MUDDLING THROUGH VERSUS TRANSFORMING THE INSTITUTION AT THE UNDERGRADUATE LEVEL

	Muddling Through	Transforming the Institution
Assumptions About the Fiscal Reality	Fiscal realities are cyclical and therefore short-term. Thus, the response	Long-term problems require long-term solutions
Assumptions About Needed Change	Expense reductions are necessary and unavoidable. Changes in faculty and staff work loads will be necessary. Changes in campus operations in order to reduce costs will be sufficient. The number of students enrolling in the under graduate program will increase, but not significantly. Enrollment will be sufficient to offset losses in revenue. Large tuition increases are difficult to sustain without undermining campus values regarding access and diversity. Significant increases in fund-raising are needed but will not offset losses in revenue.	<ul style="list-style-type: none"> • Reorganizing how education is delivered is necessary to assure quality of student learning and faculty work life • Curriculum reorganization is needed to assure academic program survival with quality • Technology can improve campus effectiveness and reduce costs per student of teaching-learning process and administrative organization • Increased enrollment will lead to increased costs unless the educational delivery systems changed • Large tuition increases are difficult to sustain without undermining campus values regarding access and diversity • Significant increases in fund-raising are needed but will not offset losses in revenue
Actions to Be Taken	<ul style="list-style-type: none"> • Create a Clear and Coherent Vision of the Future (focus on student learning, quality of faculty work life, and reducing cost per student) • Transform the Educational Delivery System (consistent with vision of the future) • Transform the Organizational Systems (consistent with vision of the future) 	<ul style="list-style-type: none"> • Create a Clear and Coherent Vision of the Future (focus on student learning, quality of faculty work life, and reducing cost per student) • Transform the Educational Delivery System (consistent with vision of the future) • Transform the Organizational Systems (consistent with vision of the future)

TWO INSTITUTIONAL RESPONSES TO FISCAL CONSTRAINT

The instinctive reaction of most institutional leaders under constrained resource conditions, usually seconded by faculty and staff, is to assume that these difficulties constitute a short-term problem. The common perception is that state appropriations and fund-raising will bounce back in a year or two, then increase together with continuing tuition increases. As a result, the immediate response to an annual budget shortfall is to balance the budget by draining all available unspent dollars from existing accounts, making across-the-board budget reductions, and protecting faculty and staff positions.

But a rapid one-year turnaround in fiscal conditions is highly unlikely in the present environment. The result is that after a second and third year of reduced resources, institutional leaders tend to move into what we call a "muddling through" mode of operation. As described in Table 1, this approach accepts

the notion that fiscal realities are serious, but also assumes that they are cyclical and therefore short-term.

Institutional leaders acknowledge that expense reductions must be deep and selective. So fairly significant layoffs and early retirements are a prominent part of budget reduction and, wherever possible, vacated faculty positions are filled with instructional staff who teach more and are paid less.

Meanwhile, significant emphasis is placed on raising revenues from all sources—maximizing tuition, increasing enrollment, refinancing debt, establishing higher fund-raising goals and, in the public sector, pulling out all the stops to persuade state officials to increase appropriations.

Although these efforts are reasonable, their focus is on maintaining and protecting the existing educational delivery system and core administrative functions, while making incremental changes beyond the core. It is assumed that the educational delivery system *cannot* be changed. In parallel, it is

assumed that technology may improve teaching, but that it is always an added expense.

"Muddling through" is a time-honored practice for dealing with recurring fiscal problems in higher education. So in the face of the present fiscal constraints, one can almost hear people voicing familiar sentiments: "We have always been successful in the past and we will surely come out of this okay."

But in the present environment, responses that assume an eventual turnaround in fiscal conditions are difficult to justify. Projected future economic realities indicate a scenario very different from past projections. If this analysis is correct, then the "muddling through" approach, far from protecting institutions, may actually *undermine* the nature of the academic profession in the following ways:

- by requiring faculty members to take on increasing workloads;
- by reducing the number of faculty members who will enjoy the security associated with quality teaching and scholarly pursuits;
- by cutting salaries to the point where they are not competitive with alternative forms of employment;
- by causing the loss of the best faculty members, who either will leave the profession or will not join it; and
- by undermining our capability to deliver present curricula—whether traditional or innovative—with quality.

Over time, this will inevitably mean that academic offerings will be less and less challenging and that the quality of learning will be seriously diminished.

TRANSFORMING THE CAMPUS: THREE ORGANIZING PRINCIPLES AND SEVEN TRANSFORMATIVE ACTIONS

The alternative to "muddling through" is more profound and, we believe, a more hopeful way to meet these challenges.

Changing societal conditions force us to think in new ways and demand responses different from those we have followed in the past: College and university leaders must begin to transform their institutions. Here we outline how this might be done by describing a set of three organizing principles and seven transformative actions that can ultimately offer a more hopeful future for both the quality of student learning and the nature of faculty work (see Table 2).

These principles and actions are not meant to be implemented in a linear fashion. Rather, they represent three sets of overlapping change efforts that are systemically interconnected. While the first organizing principle—*create a clear and coherent vision of the future focused on student learning, quality of faculty work life, and reduced costs per student*—must underlie any fundamental reform process, elements of the other two can be approached in a number of different patterns: some in parallel, others sequentially.

The fiscal and administrative organizational systems of any institution probably should be addressed first after creating a clear vision of the future. Admittedly, few campuses will find

sufficient cost savings within this area to solve deep multi-year resource problems. But restructuring administrative systems is a wise initial step because doing so indicates to the entire campus the commitment of institutional leaders to addressing these challenges aggressively.

At the same time, beginning on the administrative side allows strategies to be tried out that will be important in undertaking further and more complex restructuring efforts in the educational delivery system. While adopting this approach may delay for a year or two the inevitable need to attack pedagogy and curriculum, it is imperative to begin the process of making some educational changes immediately. Major reform efforts take a long time to implement, and starting too late may miss immediate opportunities to contain rising expenses.

In starting to transform the educational delivery system—how students learn, how faculty teach, and the nature of the curriculum—it is important to move beyond the many often-successful individual program innovations that most institutions can boast of to institution-wide change. For example, re-designing large multi-section first-year courses by applying technology and restructuring faculty work has proved to be an effective way to increase student learning and reduce costs. But so far, these changes have been made only at the individual course level. Following these principles requires innovations like course redesign to be scaled up to include all courses that could benefit, leading to fundamental changes in the educational delivery system beyond the individual course.

Organizing Principle I: Create a Clear and Coherent Vision of the Future Focused on Student Learning, Quality of Faculty Work Life, and Reduced Costs per Student

The starting point of any major institutional change involves asking a very basic question:

Given what we know and the likely fiscal, technological, and societal realities of the future, if we were creating this college or university today to focus on student learning, what would it look like?

Initial answers to this broad question will likely be global in nature. But they lead eventually to the creation of a clear and coherent vision of the future focused on student learning, on the quality of faculty work life, and on reduced costs per student. This vision provides a starting point for comprehensively aligning and transforming academic programs and organizational processes and structures around a coherent set of goals.

Establishing such a vision quickly yields a set of pragmatic and strategic choices about what to pursue and what not to pursue. Developing alignment around a coherent vision of the future also gives the campus a clear identity in terms of which to rally its community and to position itself with prospective students and stakeholders.

Most current institutional vision or mission statements are broad, general, and overly elaborate. Their intent is usually to

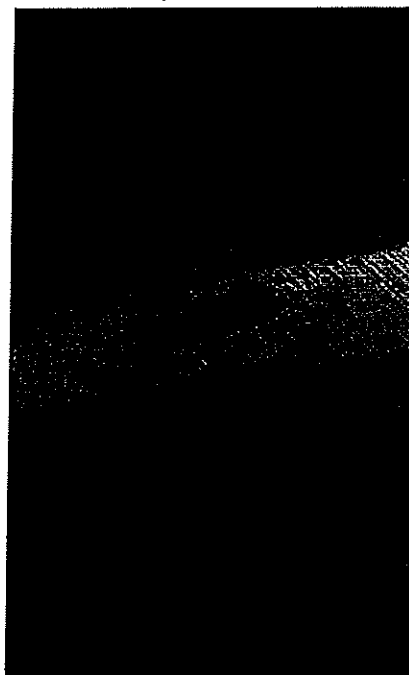


TABLE 2. CREATING A VITAL CAMPUS IN A CLIMATE OF REDUCED RESOURCES: ORGANIZING PRINCIPLES AND TRANSFORMATIVE ACTIONS

Organizing Principle I: Create a Clear and Coherent Vision of the Future Focused on Student Learning, Quality of Faculty Work Life, and Reduced Costs per Student		
	<p><i>Organizing Principle II: Transform the Educational Delivery System Consistent with Vision of the Future</i></p>	<p>Organizing Principle III: Transform the Organizational Systems Consistent with Vision of the Future</p>
Actions	<p>• Establish a faculty-led committee to develop a common student learning outcomes vision for the institution's degree programs and the role of faculty to include faculty, deans, and other educational professionals in processes of student learning with emerging technologies</p> <p>• Review and evaluate student learning from all sources</p> <p>• Audit and redesign administrative systems to reduce administrative budgets and curricular offerings</p>	<ul style="list-style-type: none"> • Utilize zero-based budgeting to audit and redesign the budget allocation process, involving faculty and staff as responsible partners. • Audit and restructure administrative and student services systems, using technology and integrated staffing arrangements to reduce costs. • Audit and redesign technological and staff infrastructures to support transformational change

TABLE 3. RELATIONSHIP BETWEEN THE PRESENT AND FUTURE EDUCATIONAL DELIVERY SYSTEM, IN TERMS OF INSTITUTIONAL LEARNING, PRODUCTIVITY, AND FACULTY WORK

Nature of Educational Delivery System	Instructional Learning Paradigm of Educational Delivery System	Method for Increasing Institutional Learning and Productivity
<i>Present</i> Focus on Faculty Teaching	<i>Student learning is based on faculty teaching activities in class rooms in a time-based educational format</i>	Increase faculty teaching time by additional classes or additional students in class Primary focus is on <i>faculty</i> productivity
<i>Future</i> Focus on Student Learning	<p><i>Student learning is based on student learning outcomes, quality of learning, and assessment of learning</i></p> <p><i>Use of emerging technologies to enhance student learning outcomes, irrespective of how or where learning occurs</i></p> <p><i>New institutional goals—high quality education, efficient delivery of education, and assessment of student learning</i></p>	Increases in student learning or enrollment occur in many arenas without increasing total faculty instructional time with students Primary focus is on student learning productivity through the assessment of student learning outcomes, irrespective of how or where learning occurs

state a broad philosophy of education common to those of many other colleges and universities, rather than creating a tightly drawn blueprint that enables concrete choices to be made among competing interests and alternatives. Following the latter path requires courageous leadership and the active participation of key members of the campus community. But without such a vision, serious fundamental reform is simply not possible—no matter how good an institution's leadership is or how inclusive its decision processes may be.

Organizing Principle II: Transform the Educational Delivery System Consistent with the Vision of the Future

The present educational system of courses, credits, and calendar-based systems of teaching and learning focuses by its very nature solely on how *faculty* work. As a result, all attempts to achieve efficiency and productivity within this system inevitably involve increases in faculty workload. As outlined in Table 3, the present educational delivery system is locked into the notion that creditable learning is primarily, and

often solely, the result of students' sitting in individual classrooms being taught by faculty members. Under these circumstances, increasing productivity can only mean increasing the number of classes taught or the numbers of students per class.

Since so much of any institution's budget is tied up in instructional costs (that is, in faculty time), a period of severe fiscal constraint generates an overriding need to reduce the faculty time spent per student or to hire inexpensive faculty who can teach more students at lower pay. Up to now, the latter has been the primary means institutions have used to reduce costs, often in episodic and unplanned ways.

But this strategy cannot be sustained. In the long run, as fiscal resources continue to decrease in real dollar terms, there will be a tendency not just to hire inexpensive faculty but to markedly increase *existing* faculty workload. From the point of view of both the quality of faculty work life and student learning, it is thus far better to begin instead to create alternatives to the present delivery system that reduce the amount of faculty time spent per student.

Doing so requires an educational delivery system that is built fundamentally upon the principle of recognizing and certifying student learning outcomes, wherever or however the learning occurs. The implicit assumption embedded in this approach is that the key productivity issue is not about how much faculty teach, but about how much students learn.

Students can learn in many ways, and campuses can create specific avenues to foster and recognize that learning. Some of the resulting learning environments will assuredly involve faculty members. But some will also involve librarians and student affairs staff, while others will harness community members and employers. These redesigned learning environments cannot be haphazard or unplanned in nature, but they can nevertheless be highly diverse. The key will not be the amount of time students spend in particular venues, but instead how they demonstrate their learning.

Transformative Action 1: Establish and Assess Institution-wide Common Student Learning Outcomes as a Basis for the Undergraduate Degree

Establishing the assessment of common institution-wide student learning outcomes as the primary basis on which to award a degree fundamentally changes how institutions approach student learning. Rather than being based on credits earned, seat time, and course grades, degree awards must be anchored in demonstrations of student learning consistent with the institution's educational goals as they are reflected in particular academic areas. Emphasizing mastery-based credentialing opens up new arenas for learning and provides an essential lever for other transformative changes that can lead to reduced costs per student.

This orientation to assessment encourages the integration of experiential and academic learning, as well as the integration of learning across academic disciplines. Continuous assessment of student work uncovers gaps in learning that

enable both the students and faculty to monitor academic success. Continuous assessment of learning outcomes also provides an entry point for the development of new instructional roles for faculty and other campus professionals.

Focusing on a common set of institution-wide learning outcomes acknowledges the fact that students can master abilities at different points in time in different academic arenas. Such an emphasis on mastery learning unlocks traditional constraints on how, when, and where student learning can take place.

Following this path, a campus can create alternative calendars that enhance learning options, and can create more effective and efficient instructional strategies like "Hi-Tech, Hi-Touch" learning communities, cohort-based accelerated learning formats, or technology-based individualized instruction. This emphasis on assessment and mastery also opens up the possibility that students with different learning styles can locate, or can be directed to, instructional strategies that are suited to their needs without changing the academic integrity of delivery.

Establishing and assessing institution-wide common learning outcomes encourages colleges and universities to continuously adjust what they do as they receive feedback about how well students are learning through various instructional strategies, curricular programs, or learning arenas inside or beyond the campus.

The information provided by assessment also gives faculty members and institutional leaders information about which areas are essential to maintain and enhance in alignment with the campus's vision of the future, and which are not essential and might be dropped. By itself, the assessment of common learning outcomes may not necessarily reduce costs. But it is an essential tool for ensuring academic quality and to

provide an informational foundation for other transformative actions.

Transformative Action 2: Restructure the Role of Faculty to Include Faculty Members and Other Campus Professionals as Partners in Student Learning, While Integrating Technology

Surviving major reductions in financial resources while maintaining the quality of faculty work life will require a comprehensive reconsideration of how current faculty work. At the same time, it will demand a much broader conception of how non-faculty campus professionals can contribute to student learning. We need to think carefully about how to maximize the use of *all* relevant staff in a systematic way by deploying full-time faculty (both tenure-track and non-tenure-track) and part-time faculty, by using librarians and student service professionals, and by involving community members and employers in promoting learning.

Traditional distinctions between faculty and staff roles have meant that faculty members spend most of their time preparing for or working in the classroom or conducting re-

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search. Meanwhile, other campus professionals who have close contact with students—like staff members in student affairs and the library—usually are not integrated directly into the educational delivery system. By enlisting other campus professionals as partners with faculty to help students achieve institutional learning outcomes, a wide range of diverse learning options can be developed.

Focusing on a clear set of student learning outcomes makes it easier to conceive of and implement new learning environments involving other campus professionals. Since students will be assessed on the basis of how well they can demonstrate what they have learned, the classroom need not be the only—or even the primary—venue in which learning takes place. Nor will direct contact with faculty members always be needed for legitimate student learning to occur.

Integrating technology into the core of the educational delivery system can also alter significantly how faculty teach and students learn. Restructured courses founded on integrated technology, for example, enable multiple vehicles for learning to be deployed, including content-based software, student-led problem-solving teams, learning laboratories with faculty or tutorial support, increased individual work through online or CD-Rom-based tutorials, and asynchronous learning protocols. Redesigned courses in the Center for Academic Transformation's Program in Course Redesign, for example, have led to increases in student learning, while yielding substantial cost savings (see Twigg in this issue, p. 22). Another restructured course format utilizes cohort-based intensive residencies that meet on a monthly or biweekly basis, complemented by continuously operating technologically linked learning communities.

Such formats have been shown to have considerable success in providing a flexible response to growing demands on student and faculty time, and can also help increase student retention. The key to success in all of these redesign initiatives involving technology is to focus on student learning, faculty workload, and cost reduction instead of on the technology itself.

Reconsidering how faculty work in the context of new technologies and the roles of other campus professionals leads us to conceive of new roles for faculty members themselves. Instead of the standard lecture-discussion teaching format, faculty members may engage in a diverse array of roles, including mentor, intensive discussion leader, lecturer for short periods of time, and assessor of student mastery.

As long as clear institution-wide and program learning outcomes are articulated and assessed, distributing faculty time consciously across these multiple roles can reduce the total amount of faculty time spent per student, and the work of all campus professionals can be linked more directly to student learning. As discussed in *Transformative Action 7*, moreover, a key to accomplishing such changes in the instructional role will be to establish and extend campus centers for teaching and learning that can help faculty members and other campus pro-

professionals to develop the skills they need to be effective facilitators of learning in these redesigned educational environments.

Transformative Action 3: Recognize and Integrate Student Learning From All Sources

The research on student learning tells us that students learn from *all* aspects of their college experience, including time spent with peers, in student activities, and in their out-of-school work and service lives. Yet our academic programs take advantage of very little of this out-of-class learning and we recognize even less of it through our credit structures. A learning process that more intentionally integrates and recognizes student learning drawn from a range of student experiences can ensure that student learning gained in non-classroom settings is focused, reflective, and consistent with established learning outcomes.

Service learning, co-op learning, student activities, and other forms of experiential learning have been shown to make positive significant contributions to student success. One way to financially capitalize on these positive gains is for a campus to build an intentional and comprehensive experiential-learning approach that refocuses current staff workload in areas like student affairs and student support services to more fully integrate the learning represented by these non-academic activities into the academic core.

Another avenue is to more deliberately harness the educational work that skilled community and employer supervisors of students do. Such individuals might be involved not only in guiding student work, but also in creating meaningful opportunities for students to reflect on their work and service experiences, or even in helping to assess student performance.

Capitalizing on student learning experiences occurring in many venues—with and without faculty and staff members—

provides opportunities to utilize human and technological resources more efficiently. But the validity of such experiences as educational ventures will be determined by the degree to which students are provided opportunities to reflect on their experiences—with the aid of peers, community members, faculty members, and/or other professionals—and the extent to which they can concretely demonstrate through assessment how the learning they gained through these experiences meets faculty-generated, institutionally approved educational outcomes. By following this pattern, a campus not only can reduce its expenses, but can at the same time offer a richer education for its students.

Transformative Action 4: Audit and Restructure Curricula to Focus on Essential Academic Programs and Curricular Offerings

A campus that has a clear and coherent vision of its future has the capacity to take stock of its entire curriculum and to make strategic choices about which programs are essential. It also has a place to begin when considering anew how essential programs should be designed and structured. The need for



such a "curriculum audit" reflects the manner in which most college and university curricula have evolved over the last four decades. As each discipline or specialty grows, new majors or minors are added, together with the continual development of new programs to meet particular faculty and/or student interests.

This natural course of development tends to hold true even at institutions that have undertaken major curricular reforms. A deliberate curriculum audit allows programs that are in alignment with the institutional vision of the future to be explicitly identified and supported, and programs that are not so aligned to be deleted. Achieving curricular alignment can thus free up a considerable amount of faculty time that can be deployed in support of restructured formats for educational delivery. At the same time, alignment reduces the overall size of the curriculum, diminishes costs per student, and maintains or increases program quality.

Furthermore, a curriculum audit of this kind provides the opportunity to identify

- programs that might benefit from collaboration with (or even from being outsourced to) other institutions;
- extremely large classes that can be redesigned to increase student learning, reduce faculty workload, and save resources; and
- extremely small classes that can be eliminated or offered less frequently or, if deemed important, that can be integrated or restructured in significant ways to reduce costs.

In short, a curriculum audit, together with the strategic decisions that follow, creates the possibility for greater programmatic coherence with a likely enhancement of learning at reduced costs per student.

Organizing Principle III: Transform the Organizational Systems Consistent with the Vision of the Future

Organizational systems in colleges and universities—like those in every other institutional form—are built to maintain present operations and to accommodate occasional incremental adjustments. Major changes in basic operating processes and procedures are likely to be resisted and are usually avoided. Organizational systems are built for stability and are very effective as long as the underlying assumptions on which they are based remain valid.

Established organizational structures and processes for higher education were built to educate and support residential, traditional-aged students drawn from relatively homogeneous backgrounds whose prior education prepared them to attend college in a pre-technology-based learning environment. Faculty members were the primary instruments for imparting knowledge and skills, and individual classrooms remained the province of individual faculty members—who were also solely responsible for evaluating student performance. Completing a bachelor's degree in this setting is determined by the accumulation of individual classroom credits, assessed by discrete faculty members through the traditional grading process.

To support this learning environment, an elaborate professional staff evolved, organized into units that housed specific "non-academic" functions like the registrar, the business office, information technology units, and so on. Much like academic disciplines on the educational side, national associations gradually established standards for performance in each of these professional areas, and this practice led to further specialization.

As the internal and external demands on each of these support functions increased with the introduction of computer technology, so did the need for even more staff and fiscal support. In the 1980s and '90s, as a consequence, the largest increases in campus personnel were experienced in non-academic areas.

One result of greater functional differentiation between faculty and non-academic staff—as well as among different offices within the non-academic area—was that each unit focused more intently on its own activities, while expecting the incumbents of all others to be totally successful in theirs.

For example, admissions staff were seen as solely responsible for bringing in students and were "to blame" if targets were missed. Student support staff, in turn, were responsible for student retention and for taking care of student problems. Faculty were expected to teach and to do research and not to worry about the budget, which would be handled by the financial office. And so on. One outcome of this growing specialization is a tendency to blame others when things go wrong, and not to take responsibility either for how resources are spent and generated or for overall student success.

Each of these incremental changes made sense at the time, and each was rooted in real institutional needs. But, as in the academic area, these actions were based on a particular set of assumptions about

how colleges and universities should be funded, about how particular professional practices should be discharged, and about immutable expectations regarding the use of professional time.

The problem today is not that people in professional staff roles of colleges and universities are failing to do their jobs. It is instead that the assumptions around which their work is structured are crumbling in the face of shortfalls in available funding, powerful changes in the academic area and its needs for support, changing student-body profiles, and the ever-increasing sophistication of computer technology.

But these new technologies themselves provide much of the potential to redesign routine administrative activities to substitute technology for staff. They also allow ready access to campus-wide information that can be harnessed collectively to improve administrative functions.

The tendency of administrators in colleges and universities—like everyone else—is not to challenge underlying assumptions but instead to make incremental adjustments to adapt to new conditions. But the current reality is that if we do not

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transform administrative work as well as restructure educational delivery, the costs of maintaining our colleges and universities will significantly outstrip our capability to generate resources.

Transformative Action 5: Utilize Zero-based Budgeting to Audit and Redesign the Budget Allocation Process, Involving Faculty and Staff as Responsible Partners

The most effective way to move a college or university in the direction of any desired future is to ensure that budgetary allocations are aligned with what the institution wants to accomplish. This may seem obvious, but it is not easy to do. Most institutions engage in incremental budgeting, adding to or reducing prior-year allocations to units depending on available resources. And even when a campus undertakes a new initiative, it is most likely supported by additional funds, with little serious reallocation of the base.

Building a zero-based budget structured around an institution's vision of the future is challenging, but it is essential in order to cope with continuing fiscal constraints while creating new structures. The challenge lies in questioning *all* institutional functions and services, then determining for each budget cycle which are most aligned with what the institution wants to create.

Questioning and challenging every institutional function and service—including those in the academic area—requires the involvement of faculty, staff, and administrators at many levels, not just higher-level administrators responsible for major institutional units. Enabling people to participate in, and to take responsibility for, decisions that affect their lives as members of a campus community is both a right and a practical thing to do. People can and will change when they know that they need to, when they understand the costs of not doing so, and when they believe that they themselves share the responsibility to create a more hopeful future.

But if people are ignorant of how money is allocated even in their own unit, and have no responsibility for what can and will happen to their unit's resources, they will automatically think that reductions and calls for reorganization in their own area may not be matched in other units. Under these circumstances, there will be a natural tendency to keep budgetary information secret and to hoard resources.

Ultimately, an institution's annual budget process represents the only concrete statement about how its structures and practices are aligned with its vision of the future. Where money is spent drives people's expectations about what they should and should not do.

If an institution's vision for the future is funded incrementally, using only the relatively few dollars saved from unfilled positions or from any windfall savings that are available, the message is clear to everyone: new initiatives consistent with the vision may be desirable, but they are certainly not essential. Business as usual rules the day. College and university leaders can always deliver pronouncements about their institution's future, but how the budget is allocated creates that future.

Transformative Action 6: Audit and Restructure Administrative and Student Services Systems, Using Technology and Integrated Staffing Arrangements to Reduce Costs

At most institutions, administrative and student support services are not usually audited in the context of an overall plan. Instead, they typically receive incremental increases or reductions in budget allocation based on available resources. Given the need to reduce expenses, however, campuses will need to redesign all of these services, together with the systems that support them. A first step here, as in the academic area, is to determine which services are essential and which are not, then reduce or eliminate the non-essential.

A second is to utilize technology to redesign and streamline support activities where possible, and to train staff to work together more effectively within these redesigned organizational environments.

A third is to consider outsourcing even basic administrative functions and services when these can be done more efficiently and effectively by others. Bookstore and food services on many campuses long have been outsourced, but more and more institutions are successfully outsourcing things like computing and counseling services as well.

Applying technology may result in significant efficiencies in an institution's administrative functions—but only if careful consideration is given to what technology can do well. As one of our colleagues put it, "Let robots do robotic work, and let humans do people work."

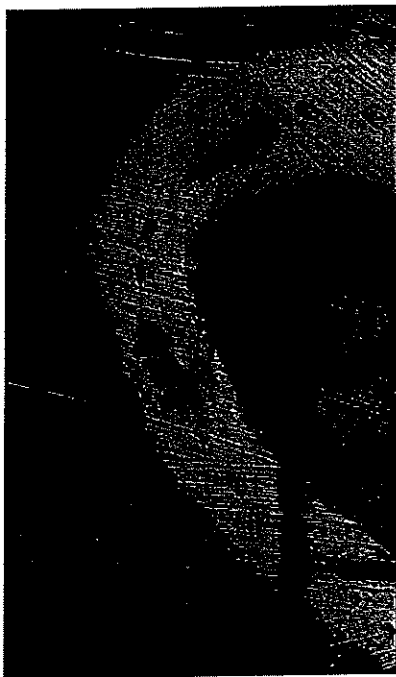
Many budgeting, accounting, and financial aid processes have been rendered more efficient through the use of technology. Technology that supports automated registration and grading is now common, and there are growing numbers of institutions where almost all students apply for financial aid online. These infusions of technology have yielded reductions in staff time and

have allowed students the chance to avoid long lines.

The challenge is to determine which services and functions are essential, then to redesign them around new technologies and delivery mechanisms to both reduce costs and improve service. The principal mistake to avoid is treating technology as an "add-on" to traditional structures. A critical part of the redesign of essential functions, moreover, will be to cross-train staff to operate as multi-functional teams that can offer more integrated, effective, and efficient services.

Transformative Action 7: Audit and Redesign Technological and Staff Infrastructures to Support Transformational Change

Developing a strong, efficient, and creative academic and administrative support infrastructure is critical to any institutional transformation. There are infrastructure needs associated with every transformative action that will require new investments in technology and personnel. While it may seem paradoxical to urge additional resource investments in such areas while reducing support in others, this is a practical fact of life that must be confronted in any fundamental reform.



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For example, faculty will need new skills to build a comprehensive approach to assessing institution-wide learning outcomes. Acquiring these abilities will require considerable faculty development and the expertise of knowledgeable professionals in this area. When faculty roles are restructured around learning outcomes and non-classroom-based relationships with students—like leading intensive small-group discussions outside traditional classrooms, facilitating student reflection on work experiences, or working as partners with others in the learning process—providing appropriate faculty development through Centers for Teaching and Learning becomes essential. Encouraging administrative staff to be cross-trained and to operate in an integrated fashion with others, instead of in separate departmental silos, will also require considerable initial training and ongoing support.

One area that should undergo significant internal restructuring—as well as assignment to a more prominent role in educational delivery—is the library. Rather than operating as a separate unit that provides access to locally owned information resources, the academic library is rapidly becoming part of an elaborate network of information provision and an essential portal for students and faculty to access global information resources.

The library of the future will need to become a true learning center for students and faculty, where available information-technology resources are centrally and efficiently integrated to further student learning and to facilitate faculty and staff transformation. A transformed library will constitute both the symbolic and concrete heart of a learning-centered campus.

Major investments in the necessary infrastructure to support transformation will make the already-difficult process of zero-based budgeting even more complex. The tendency in hard times has always been to cut costs in support and infrastructure first, including such functions as the library and the faculty-development center.

Even deeper and earlier cuts in traditional administrative functions will be needed in order to reallocate funds to develop needed infrastructure to support transformation. But these tough decisions will be easier to face when members of a campus community recognize collectively that current fiscal realities are not short-term, and when they have a voice in shaping their future.

CONCLUSION

We have argued that there is a pressing need to significantly restructure our colleges and universities—especially at the undergraduate level—and we propose some initial thoughts about how to do so. In making this case, we are fully aware of the pain that will likely ensue as administrative leaders and faculty embark upon this journey.

We propose such fundamental changes only because the alternative is even more painful, more damaging, and less hopeful. We do not believe that it makes sense to follow a path that leads to a slow and inexorable erosion of the nature of the academic profession as we know it, and of the quality of the educational programs and student learning that this profession has sustained.

As they embark on a path toward fundamental reform, faculty and institutional leaders need models of what a transformed and viable campus for the future might actually look like. In the months ahead, the Project on the Future of Higher Education will use the organizing principles and transformative actions outlined here to create concrete models of how institutions might be restructured in different types of college and university settings, and will explore the appropriate implementation processes that will be needed to make these changes.

In doing so, we recognize that there will be no single model that will fit all college and university circumstances. Each institution will have to come to terms with its own history, values, institutional settings, and resources in evolving an appropriate vision, and in implementing the transformed structures and processes needed to realize that vision.

Choosing to follow the path we have outlined demands a basic overhaul of our conceptions about how colleges and universities work and how they ought to be organized. These are tough choices in difficult times. But for the majority of young and middle-aged faculty who will remain at their institutions throughout their working lives, fundamental changes along the lines we suggest constitute the only way to preserve their opportunities for a meaningful and vital career, while sustaining engaged and substantive learning opportunities for students. □

Authors' note: Besides the authors, additional members participating in the Project on the Future of Higher Education include Michael Bassis, Edgar Beckham, Estela Mara Bensimon, Johnetta Cross Brazzell, Marie Eaton, Peter Ewell, Richard Guarasci, Deborah Lieberman, Kathleen O'Brien, William Plater, Eugene Rice, Barbara Leigh Smith, Carla Stoffle, and Carol Twigg.

Change



FACING *the* FUTURE

The Change Process in Restructuring Universities

BY ALAN E. GUSKIN

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There is a growing public acceptance that colleges and universities are not cost-effective, that our tuitions are too high, and that academic institutions must therefore restructure their operations, much as has happened in other sectors of American society. Within the higher education community itself, there is a new awareness of our inability to understand how to do more with less, especially in the delivery of education. What we know is how to do more with more and less with less. Yet, doing more with less is what we must do. While it may be surprising to some, today more than 200 colleges and universities are involved in programs to discuss the need for restructuring. Many are involved in Pew Roundtables both individually and in networks of institutions; the Council of Independent Colleges is involved in a 25-college network, also Pew funded, focused on restructuring faculty roles and rewards; the American Council on Education has developed a Kellogg-funded network of more than 20 colleges and universities dealing with the restructuring process. These projects include large and small, public and private colleges and universities.

ILLUSTRATION BY JOHN DYKES, SIS

Alan E. Guskin has been Chancellor of the five-campus Antioch University since July 1994, following a major restructuring of the university administration. Prior to that he served as President of Antioch University (1985-1994) and of Antioch College (1987-1994). From 1975 to 1985 he was Chancellor of the University of Wisconsin-Parkside. He has continued to teach and write throughout his careers as a Chancellor and President and currently holds the faculty position of Distinguished University Professor.

In a recent issue of the Pew Roundtable's *Policy Perspectives*, the authors assert that successful restructuring requires a partnership and shared purpose between faculty and administrators in which universities are more responsive to students and societal needs while maintaining the commitment to academic freedom and the unencumbered pursuit of knowledge.

Securing a more productive engagement between faculty and administrators begins with a tough discussion of what changes are needed and why. The impulse to deny the problem must be overcome, and the willingness to work together established as a precondition of purposeful action.

Their proposed change strategy, like that followed by the Roundtables and the other networks, is one of open dialogue between key players on a campus. To the extent there is an overall change strategy, the assumption seems to be that restructuring will occur and people will—or should—change because of the dire consequences of not changing; the idea seems to be that people will put aside their fears, anxieties, and prior beliefs and join the venture in a whole-hearted manner.

But asserting a need to change is one thing, producing it is another. I share the hope that change can occur through a rational, discussion-based project, but do not assume such an outcome, because discussion alone rarely produces significant change in an organization. The approach advocated here—and in much of the wider literature on organizational change—assumes a more dynamic, interpersonal, and political change process. This approach views the more rational, discussion-based process common to the Roundtables as one part—mainly the beginning—of a more elaborate strategic restructuring change effort.

In brief, the dynamic, strategic, political approach presented here accepts that there is a bright and dark side to human nature and how people behave in organizations, including colleges and universities; that people have real fears and anxieties about the future that take time to overcome; that some people like change and innovation and thrive on it, while others do not; that many people resist change for reasonable reasons and that others will resist

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change temporarily as they await examples of how others have made a leap they can follow. Further, this article assumes that restructuring requires not only a partnership between faculty and administrators (and often trustees), but also a deep concern for student learning and the educational outcomes necessary for a person to be an effective member of the future society.

The basic conceptions developed here emerge from my own experiences as well as the literature on organizational change efforts. The inspiration to write this article emerged from the questions and concerns I encountered throughout the country in talking about my two earlier *Change* articles (July/August and September/October 1994) with faculty members and administrators at over a dozen universities and colleges and at six national meetings. It has become evident to me that even when institutional and faculty leaders are committed to making significant changes or to restructuring, many do not understand the *process* of change necessary to achieve their goals and, therefore, either are immobilized or make unnecessary errors.

How can and does change occur? We know what it means to undertake incremental change; what does it mean to enter into an institutional restructuring process? How will we deal with people who resist changing? What is the role of faculty and administrators in actually

producing the change? How can we begin if the provost or president is non-committal regarding the need to change? How do we know that the processes we undertake will work and make a difference?

THE KEY IS STARTING

The key to changing a university or college is to *start* the process. There are many reasons to resist restructuring our institutions—not the least of which are the difficulty and pain. But there are societal forces at work that will eventually lead us to make systemic changes in our institutions, whether we like it or not. I believe there is enough creativity and skill in almost every college and university to successfully produce a restructured institution, if we commit ourselves to begin.

The challenge is summed up by Marjorie Kelly in her article in the July/August 1993 issue of *Business Ethics*, "Taming the Demons of Change." She writes:

Transformation of any sort—whether human or chemical or corporate—is a perilous passage at best, calling for a radical letting go, and an openness to the unknown. It's hard to imagine anything more frightening. And it's hard to find a more likely route to progress—for in letting go of the old form, we create the space for a new form that will work even better. It comes down simply to this: that we can't advance as long as we're holding tight to what no longer works. And we have to break the mold before a new form can emerge.

This exhortation to start sounds like a strange beginning to an article on change strategies for restructuring universities, yet I believe it is a core issue. We are too good at analyzing all the difficult issues involved in doing something—anything—and thereby immobilizing ourselves. If we look holistically at the world around us and allow our intuitive skills to roam a little, it will soon enough become obvious that we cannot continue to practice our academic profession with dignity and integrity without fundamental changes.

Heretical as it may sound, we must put brakes on our analytical abilities and take some leaps of faith. To quote Michael Hammer and Steven Stanton

from their book, *The Reengineering Revolution*:

The longer we analyze the current ways of operating the further we fend off that awesome day when we will have to change something. Analysis thus becomes a defensive maneuver to avoid making fundamental change.

How many times have we seen plans rejected because we've analyzed in depth their problems, only to be left with the status quo, which everyone agrees is less desirable than any of the rejected alternatives? At two institutions in which I've served, I've personally been associated with planning for changes in academic calendars that almost everyone agreed were not working well. Yet the proposed new calendars—each of which was much better than the existing one—were debated endlessly, their weaknesses highlighted, their potential benefits diminished. In one case, a faculty survey found 80 percent agreeing that the existing calendar was a hindrance to the academic program and student retention. Yet, it took three different planning groups over a four-year period to finally develop an acceptable plan, which then was passed by the faculty by only two votes!

In beginning the restructuring process, we must not ask ourselves what the detailed final outcome will look like; it is impossible to state with clarity what our restructured institution will look like 10 years from now. By starting the process and focusing on a number of basic goals, we can use the creativity and wisdom of people in our institution to develop—within the context of the institution's heritage—a vision of the future.

SOME BASIC ISSUES

Restructuring a college or university—or a school within a university—is a complex and difficult undertaking. If it were not so important to do so for the future education of our citizens and for people's quality of life inside and outside our institutions, I would not advise it. But do it we must.

To understand what's involved in such an effort, I'll first raise and discuss a number of basic issues; then I'll review steps in the change process itself. My "basic issues" include an understanding of why people resist change,

the essential role of leaders, the difference between structural and incremental change, and the impact of size and complexity on a restructuring effort.

Why People Resist Change

Many people will resist change, any change, and the more significant the change, the greater the resistance. For many, probably most, change is difficult, painful, and an uncertain leap into an unknown future.

James O'Toole explores this issue in depth in his recent book, *Leading Change*, in which he concludes that there are a number of reasons why people resist change, even when it is in their interest:

[First], resistance to change occurs when a would-be leader challenges the comfort of the group, the members' satisfaction with the established level of their power, prestige, privileges, position, and satisfaction with who they are, what they believe, what they cherish.

Individuals are what they believe, and groups are their cultures; hence to require a group to change its shared beliefs is to threaten its very existence....

Peaceful change thus requires acquiescence in upsetting the dominant world view...in effect, the collective eating of crow by those who have the power to resist change.

[Second], in almost all instances, the majority of haves [people who have the power] resist the call to reform, not so much because they fear change, but because they bristle at having the will of others imposed on them.... Thus a major factor in our resistance to change is the desire not to have the will of others forced on us.

It is not difficult to draw higher education parallels to O'Toole's analysis, especially when dealing with restructuring the faculty role in student learning or the academic calendar. In university life, those in power—the "haves"—are clearly the faculty and academic leadership. The cultural norms and belief system regarding student learning are built around an academic calendar: faculty are expected to teach courses to groups of students in classes usually offered a few times a week during a 12-to-16-

week semester or 10-to-12-week quarter. And, in doing so, faculty teach their discipline as learned in graduate school and thereafter.

This belief system is shared by those in formal leadership positions—almost all of whom were once faculty members—as well as by full-time faculty members throughout the institution. Changing this belief system will be difficult, not only because it represents a consensus on the campus and throughout almost all higher education, but because the overwhelming majority of faculty members and administrators find it hard to imagine viable alternatives. Moreover, academic leaders and faculty are particularly sensitive to anyone imposing their will on them—from the outside or inside.

The discomfort of those in leadership positions regarding the restructuring of the university is as great as or greater than that of the faculty: administrators believe in or accept the validity of the present system; they have become leaders by being able to manage successfully the present systems that will have to be overturned; and they have learned to be successful at creating change that occurs incrementally. Further, for many, the level of collaboration and the breakdown of some of the hierarchy that would be necessary to achieve a restructured university may undermine their conception of their role as leader.

Yet, I am not pessimistic about the future. Traveling around the country talking about these issues, I have been struck by the pain—and good sense—of many faculty members and administrators at numerous institutions. A number of years of little or no salary increases combined with the non-replacement of departing colleagues have been sobering: more students to teach, more courses to prepare, and a slow erosion of the faculty salary base. Faculty may be fiercely individualistic and, like everyone else, focused on their traditions, but they are very smart. And, most recognize that their future does not look good.

But Who Shall Lead the Change?

Over and over again, I have heard faculty moan hopelessly that their provost or president (as well as many of their colleagues) is not interested in making any



significant changes. Frustrated, upset, and sensing that things have to change, many faculty have bought into the notion—surprisingly common throughout higher education—that leaders alone are primarily responsible for leading change and fixing the problems. Isn't that the reason they earn the "big bucks"?

University administrators share this same understanding, but their experience—positive and negative—in producing small, incremental changes makes them leery of major structural change. They know that they need to act like leaders to deal with the expectations of the faculty and their board, so they look out at the faculty and exhort *them* to change.

The argument is that since most of the financial resources in universities are in personnel and related costs, and since most personnel costs are in the academic area, then what is needed is to reduce the number of faculty members and get those remaining to be more productive. However, since the only way to make faculty members more productive in the present educational model is to have them teach more students and courses, faculty naturally resist as best they can.

And, here we stand; administrators exhorting the faculty to make incremental changes that won't really meet the institution's needs, and faculty members resisting the exhortations but slowly losing ground as they are left with

fewer colleagues and less money. The conflict and anxiety increase.

The problems we are facing are not the result of inappropriate resistance by faculty or administrators; rather, they are systemic in nature. People in colleges and universities—faculty, administrators, students, and even trustees—act the way they do because the institutional systems of American higher education have supported and rewarded their present behaviors. In addition, creating alternative systems of rewards for faculty and students, or alternative uses of faculty time, or different approaches to facilitating student learning, have been overtly or covertly discouraged at all institutional levels by the organizational structures and systems.

My perspective in this article, and in my previous ones, is to encourage faculty and administrative leaders to face the future directly by being proactive in creating necessary changes in the most effective and least painful ways—rather than only reacting to the pressures from external agencies. Embedded in these writings is my belief that changes forced by a state legislature or severe financial realities will cause serious ruptures internally and could undermine an institution's sense of academic integrity and autonomy.

On other hand, I believe internally induced change will be less traumatic and, if effective, can maintain our integrity,

autonomy, and dignity. Further, except in very rare circumstances of extreme urgency, I believe internally induced changes in the academic area will not be effective if imposed on faculty by the administration or trustees. Even though strong administrative leadership is important, the entire structural change process must be based on a sense of collegiality between and among faculty, administrators, and trustees.

Importance of Leadership

The overall commitment of an institution's senior leadership team, or the chief executive or head of the unit being restructured, is an important element in achieving a successful restructuring effort. While such commitment is required in any successful change effort, it is more essential in the restructuring process because of the global nature of the change being implemented and the time it will take to be successful. Strong leadership commitment will be needed to maintain the focus of key players over a lengthy period of time, and to convince those resisting that the change is highly likely, thereby encouraging some to make the leap earlier rather than later. This strong commitment is also important in protecting and encouraging those deeply involved in the risky business of experimenting with and making the change.

Since resistance can occur at any level, commitment of the university leader or unit leader is essential in overcoming the inevitable foot-dragging or outright resistance of a member of the leadership group. In any restructuring effort, all senior administrators must either buy in or leave, and only the senior leader can make that happen. If one member of the senior leadership group is unchecked in his or her resistance, there is a significantly increased likelihood that the restructuring process will be resisted by the faculty members or administrators who are the most uncomfortable with the proposed changes. The senior administrator, in effect, confirms their discomfort.

Such resistance of senior- and middle-level administrative leaders is to be expected, given the fear that jobs will be lost and that years of effort will be restructured out of existence. There are good reasons for making the change, but it can be an overwhelming feeling

for those who have devoted a career to the old systems. In my July/August 1994 *Change* article on administrative restructuring, I indicate that in my own institution I had to force the resignation of a senior university vice president in order to assure the successful continuation of our restructuring process. Once that occurred, everyone understood the depth of my commitment and intention to persist over the long run.

Besides maintaining focus and overcoming administrative resistance, leaders often develop, or facilitate the development of, the vision that supports a restructuring process. They are also critical players on the restructuring coordinating team, especially since they are responsible for communicating to everyone a sense of urgency regarding the need for institutional change.

All this raises a critical issue concerning the length of terms for college and university leaders. Since restructuring an institution will take a minimum of four to five years, and more likely five to seven years, the revolving-door presidencies we see today can indeed undermine a restructuring process. This change in presidential leadership is further accentuated by the tendency of chief academic officers to serve five years or less.

This lack of leadership stability becomes particularly acute when we realize that most new presidents have never served in that role before and over 75 percent of them are chosen from outside the institution. These new leaders will need a year or two to learn their job and understand the subtleties of the institution. Hence, if a restructuring process is initiated, and if the president leaves in four to six years, it is likely that he or she will do so in the middle of the restructuring process. Given the stresses and struggles of any restructuring process, changes in leadership could well deal a significant blow to the success of the entire project.

While institutional leaders can be encouraged to stay longer, it is my observation that most successful presidents leave because of their difficult relationships with faculty and boards; the latter is especially true—and increasingly so—in the public sector. If institutions are to be successful in facing the future, then governing boards and faculty leaders will have to form

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healthier and more productive relationships with their institutional leaders, and to focus on enabling the president to be an effective institutional leader rather than viewing her or him as a hired hand or public figure to be attacked when mistakes are made.

***When Leaders Don't Lead:
Managing Leaders***

But, does this mean that without a wonderful, courageous leader all is lost? If this is so, are we concluding that because of the limited availability of such leaders, significant university restructuring will be rare?

In discussing the need for restructuring at a number of universities, I was often met with dedicated faculty and administrators who said with sadness that they were willing to enter into such a process but that their academic leaders and/or president were noncommittal. What could they do? I implored them not to give up, pointing out that the university is more their future than anyone else's, and that they had to develop strategies to induce their senior administrators to become leaders. The urgency of the next decade requires them to do so.

My observations over the last two decades have led me to conclude that while it is important for leaders to lead, it is also important for leaders to be managed. Universities are unique organizations where leadership is and must be shared; it is the very nature of our educational institutions that selected faculty members are expected to provide leadership at the top of the organization along with administrators, especially regarding the education of students.

By managing institutional leaders, I am not implying colluding against, controlling, or sabotaging them. Rather, managing leaders should be in the service of the larger institutional interests. Managing a leader takes sensitivity: it requires working with the leader rather than against him or her; it requires a sophisticated understanding of how organizations operate, how institutional decisions are made, how power is exercised in a university, and how chief executives and chief academic officers think.

We know that no leader is capable of leading by herself or himself. And no leader has the institutional base or experience to lead without the helpful guidance of those who desire her or him to be successful. While managing leaders sounds like an oxymoron, good, experienced presidents and provosts know how desirable it is to be managed by their senior administrators and others—including supportive faculty leaders—within the context of the president's and provost's leadership.

Underlying the actions involved in managing a college or university president or provost is my assumption that these chief administrators are most effective when they lead others in collaborative ways, that they need to have the best judgments of those they lead—collectively and individually—and that they must not be isolated or encouraged to work alone, no matter what their proclivities. A smart and effective president or provost will relish being managed, for it will enable him or her to provide leadership on the important issues that must be faced.

Just as we discover when we attempt to build political support in our communities for something we deeply believe in, we must accept that educational as well as political leaders are captives of pressure groups as much as or more than their own personal interests. A well-meaning community leader, therefore, will be responsive to pressures that enable him to be an effective leader in the service of community interests. In a similar vein, we need to believe that a noncommittal, well-meaning university president or provost can be persuaded by faculty and other administrative leaders to lead a restructuring effort for the benefit of their institution's future health.

What is needed is a set of incentives

that pressure the president or provost to act. This means that committed faculty members and administrators quietly build significant support among key faculty and administrative colleagues who are respected by the leadership, based on the assumption that the president or provost would act appropriately if he or she knew such support existed. The strategy is that the leader can be persuaded to take on the restructuring effort as a major part of his or her own agenda, based on the leader's judgment of the data presented, the institutional need, and the support the leader will have for acting.

The key perspective for faculty and other administrators to have in managing university leaders—and in being led by them—is that of wanting to provide the president and/or provost with the means and opportunity to lead rather than being upset and complaining that the leader is not leading. Replacing senior administrators who do not lead with someone else is no guarantee that real leadership will occur. I believe that, in most cases, a benign university president or provost can be helped to become an effective leader of a restructuring effort if the community pushes or cajoles him or her in that direction.

Managing leaders as well as being led by them should be seen as the legitimate and healthy functioning of a college or university by both faculty members and administrators. Such collaboration would bode well for implementing a restructuring process. The alternative—viewing a university as a basically hierarchical or authoritarian institution—is contrary to the interests and desires of faculty, and in the long run is not effective in any change effort requiring faculty to undergo significant restructuring of their work.

Restructuring vs. Incremental Change

Universities continually change one or another element in the academic program, in the way administrative units are organized, in the addition of a student service, and so on. Except in rare circumstances, the change—whether an addition or subtraction—is intended to be limited to the particular area involved, leaving untouched the basic underlying processes by which students learn and faculty teach, as well as the organization of the university itself.

Even when new computer systems are incorporated, the manner in which service is provided is rarely changed; rather, the service is provided faster, or new services are added. While many of these changes are helpful in providing more effective services and satisfying more people, the institution's underlying structures and processes remain the same. This is true even when organizational units—such as a department or school—are cut or rearranged, because the basic educational and administrative processes involved remain unchanged. Hence, these are called incremental changes.

Restructuring a university refers to changing basic underlying processes by which services are delivered, whether of an educational or an administrative nature. For example, restructuring the academic area or the role of faculty members refers to changing the way faculty work and students learn as well as changing the academic calendar and formats that determine the way students and faculty interact. Using computer technology in restructuring an administrative area means that the service will be delivered in new ways, usually involving people who work together in closer contact with those being served, and whose work is organized around the technological capacities of the computer.

In my previous *Change* articles on restructuring the administration (July/August 1994) and the work of faculty (September/October 1994), I proposed some ways to accomplish these changes in the administrative and academic areas.

Restructuring assumes that the underlying change occurs broadly throughout the unit being restructured. It assumes that all parts of a unit or organization are systemically interrelated, so that a change in one element will impact all the other parts of the unit or organization. Restructuring as a change process in higher education is very similar to what Hammer has called "reengineering" in the corporate sector.

Because incremental change does not noticeably affect the basic underlying processes of an institution or the underlying belief systems, it is often accepted after some discussion; it is also easy to conceive of because it is consistent with how people have practiced their professions. But incremental changes do not deal with the type of structural changes necessary for a future

of reduced resources, increased availability of and demand for powerful technologies, and the demand that a college or university be accountable for student learning outcomes.

William Massy and Robert Zemsky, in a recent EDUCOM white paper, "Using Information Technology to Enhance Academic Productivity," highlight the implications of restructuring in their discussion of how information technology can be used to achieve "more with less productivity enhancement." This enhancement

requires that technology replace some activities now being performed by faculty, teaching assistants, and student personnel. With labor accounting for 70 percent or more of current operating costs, there is simply no other way. Faculty will have to reengineer teaching and learning processes to substitute capital for labor on a selective basis. Failing to make such substitutions will return institutions to the more-with-more scenario.

Intelligent substitution will require much more attention to the processes by which teaching and learning actually take place. Faculty will have to invest time and energy in learning about what they do and why they do it, and then open themselves up to the possibility of doing things differently. Departments will have to understand teaching costs at the level of specific activities, not simply broad functional terms.

Size and Complexity Are Important

Sometimes a college or university may be too big to restructure as one whole, so that the appropriate unit for a restructuring effort is not the whole university but a school or college. While the entire institution, or major part, may ultimately be restructured, in such circumstances it is important to work with the individual unit or to unbundle the larger institution into smaller, manageable structures in which the student's entire education can take place.

Doing this will enable the restructuring of educational and administrative processes to occur. For example, it may be necessary to unbundle undergraduate education and all the faculty involved from graduate education. Or, as was experimented with in the late 1960s, it may be necessary to reduce

the undergraduate educational unit size even further, possibly creating colleges within colleges.

The key issue is that the student's entire education—or a significant part of it—takes place within that unit, and that faculty are directly tied to that unit so that their work can be restructured without the interference of colleagues not involved in the restructuring effort. It would be undesirable to have faculty members who are committed to new forms of teaching and learning in a newly restructured unit tied to a departmental structure that serves other goals—like traditional undergraduate education models or graduate education. In effect, one cannot ask faculty members to make the necessary changes in their work and to be judged by the reward systems of colleagues doing very different work.

In such restructuring efforts, there will be a good deal of criticism that the smaller size will lead to an increase in costs, since the centralized larger units are more efficient. While some services, such as libraries, can be more efficient and cost less when handled centrally—especially with the use of new electronic technologies—I believe that student learning and most administrative services are not among them.

The complexity of large universities creates inefficiencies and costs that can be avoided in restructured, less complex units in which people take greater responsibility for their actions and work is divided by function and not structures—for example, units serving the student's non-learning needs as an integrated whole rather than having the student deal with a myriad of offices built around the convenience of administrative units and institutional politics. The radical changes in computer technology offer much support for decentralized, autonomous activities following acceptable standards at reduced time and cost. The business literature is filled with such examples; so, too, is my experience.

The reduced complexity of smaller units leads to the possibility that faculty colleagues will be more supportive of experimentation. Also, this less complex environment could enable faculty work to be tied more closely to the effectiveness and productivity of the educational unit and thereby to financial, career, and psychological rewards.

In addition, smaller, less complex ed-

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ucational units provide an important environment for testing out new ideas as the restructuring process evolves. Since not all ideas work, it is wise to test them out in a smaller setting where adjustments can be made quickly with minimal costs. Wholesale implementation of new restructured processes should not be undertaken until these have been tested and shown to be beneficial. Therefore, these smaller environments become an important part of the phasing in of new restructured activities.

Finally, smaller and less complex educational units would increase the focus on the student as learner and the faculty member as facilitator of learning, and decrease the focus on those academic and administrative bureaucratic elements in large, complex units that create distance between faculty member and student, increase student dependency, and are costly in both human and financial terms.

THE CHANGE PROCESS

In the previous section, we focused on some of the key underlying issues involved in restructuring: the nature of resistance to change, the important role of leaders, the distinction between restructuring and incremental change, and the impact of size and complexity. But some of the most significant issues remain; namely, the components of an effective change process to restructure a college or university.

Jack Lindquist, one of the most insightful writers and leaders of organizational change in higher education, who unfortunately died prematurely in 1991, sums up four basic approaches to

changing attitudes and behavior in universities:

Some believe that humans are essentially rational, so reason and evidence should do the trick....

Others find that humans are social creatures...[so that] awareness, interest, trial, and eventual adoption [occur] through a process of social interaction and persuasion in which opinion leaders and reference groups are influences, perhaps as important as the rational soundness of the change message itself....

Still others believe that the main obstacles to change are not impressive messages nor social influences. Psychological barriers are the problem....

Yet another group maintains we are political animals at base, busy protecting and strengthening our vested interests.

As Lindquist points out, effective organizational change in higher education—especially the restructuring process we are dealing with—requires working in all four areas: the rational, social-interactional, psychological, and political. In doing so, we must use a change strategy that deals with developing, presenting, and discussing information based on theory, research, and generally accepted evidence; that focuses on opinion leaders and social networks by which people are influenced; that deals honestly with people's fears and anxieties; and that builds coalitions around people's interests, and utilizes the institution's leadership and governance structures.

Restructuring the administrative or academic area of a college or university is a major undertaking that will take at least four to five years. My own experience has been in the restructuring of a university administration and in major incremental change efforts in the academic areas of three institutions. While significant and difficult, these academic change efforts did not involve the type of restructuring I have proposed in my previous article on restructuring the role of faculty.

At present, while a growing number of institutions are beginning to discuss seriously the need to restructure and are beginning to invest heavily in classroom computer technology—

many of them quite creatively—I am not aware of any institution that has undertaken the restructuring of faculty work and the educational process. In fact, in discussions with individuals involved in the largest Roundtable restructuring efforts, I found considerable concern about the lack of any good existing models. But I am convinced many institutions will undergo the restructuring process in the next five to 10 years. And it is highly likely that any such restructuring of faculty work will follow a process similar to that of the administrative area and other major change efforts.

First, any restructuring effort will require the *development of a working consensus on the urgent need to restructure*. By a working consensus, I am referring to a consensus among the major administrative and faculty leaders of a college or university as well as many of the major opinion leaders on the faculty and the board of trustees.

Second, such a restructuring effort requires a *working consensus around a vision of the institution's future*.

Third, while key academic and administrative leaders are critical in creating this sense of urgency and vision, there are others throughout the institution—both faculty and administrators—who will want to be involved from the outset. *The leadership of the college or university should seek out those people who are supportive of the change effort and work with them.*

Fourth, the restructuring process takes a considerable amount of time to fully implement. *The restructured institution does not emerge whole at one time; rather, it is implemented in a series of phases that evolve over time.* These revolutionary changes require evolutionary processes.

Building a Working Consensus

Creating an institutionwide sense of urgency can be very hard work for those who sense the importance of starting the restructuring process. The reasons for the difficulty are many and only partly relate to a general resistance to any change. While many people sense something is amiss in higher education, they tend to blame others and/or look to them to change the conditions: for governments to grant more money, for administrators to somehow

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fix the problem, for faculty to be more productive, for more students to enroll or pay higher tuition, and so on.

It seems that both faculty and administrators have bought into a perspective common to people who work in large, central, planning-oriented organizational and governmental bureaucracies; namely, that somehow their work deserves support because they are doing it, irrespective of successful institutional performance or external needs. Activity becomes the norm, and if there are problems, then one should do more activity—more committee meetings, more fund-raising, more teaching—without fully understanding how it relates to helping the institution become more effective.

I believe this “activity” perspective occurs because the outcomes of present teaching and educational processes are, for the most part, unexamined—a perspective that is reinforced by the sanctity of the classroom and the autonomy and individualism of the faculty. As a result, it is extremely difficult for faculty members (or administrators) to make a clear connection between their work and institutional financial and academic performance.

Similarly, since incremental change is commonly understood and practiced when there are serious financial problems, many incremental changes are initiated based on assumptions that the decreases in financial support are temporary and good times will return in a year or two. Universities continue to cut departments, make significant cuts in all non-faculty positions or expenses, or make across-the-board faculty

cuts to deal with their financial problems, even though a careful analysis of the impact will show that these measures solve the problem only temporarily, while in the long term sharply undercutting the quality of faculty work life and reducing the access and quality of the education offered.

Developing a working consensus around the urgency to start the restructuring process requires that leaders in the faculty and administration *create a powerful initiating/coordinating group* that develops the institutional strategy for starting, and has the capability to fully implement the restructuring effort over time. Among the group's first acts is to seek out those people who understand the need to act, to encourage them to join in the effort, and to have them urge their colleagues to come forward. This consensus-building process will lead others to respond.

At the same time, it is important for the initiating/coordinating group to collect and present widely the good data and research that are disconcerting regarding the future and indicate the need to restructure. Such information can be a powerful prompt for initiating discussion about the need for internal change on a campus. Smart faculty and administrative leaders know how to use research and data to start the conversations that need to occur. In fact, the 200 colleges and universities involved in Pew Roundtables and the other discussion strategies are involved in using the literature, research and data—as well as local pain—to initiate this first step in the change process.

The institution's leaders must spend a good deal of time *communicating their sense of urgency* based on external and internal economic and social realities. People throughout the institution must be aware of the leadership's perception of the need to change and commitment to act. And they should know that many other influential people are joining the process.

At the same time, leaders of the restructuring process must understand that many faculty and administrators will not want to join the effort at the beginning—nor need they—and no significant accommodations should be made to them. It must be remembered that people join a change effort at a number of different stages; few remain resistors to the end.

The process, then, for creating a working consensus to face the urgent need to restructure a university requires articulate and strong institutional leadership; the participation and commitment of many of the key faculty, administrators, and trustee opinion leaders; a collaboration between these leaders in a coordinating/initiating group; continuing communication wherever possible about the urgent need to restructure based on the economic, social, and educational realities of the present and future; an appeal to supporters within the institution who agree with the sense of urgency; and the creation of an institutional context in which it is assumed that the restructuring process is essential for the future of the institution and has already begun.

Building a Working Consensus Around a Vision of the Future

While the beginning of the change process starts with an urgent need to face the future of the university, building the future requires a leap of faith. And institutional leaders must show that they have faith that a viable future will evolve.

As I have stated earlier, it is essential at this point that the key administrative and faculty players not get bogged down in detailed analyses of the likely outcomes of the transformational process, a style of inquiry and problem-solving process common to those of us in higher education. Too much analysis into a future we cannot possibly predict in detail will lead to an unnecessary waste of time, unending debates, and discouragement.

As we embark on planning the future, a powerful, overall set of directions is needed—a vision of the general outcomes of the restructuring process. This can be accomplished with enough detail and some excitement by asking two basic interrelated questions:

- 1) If we were going to create this university today given what we know and given the technology available, what would it look like?
- 2) Given the likely economic and social realities of the next decades, and what we presently know, how can we create a university—especially at the undergraduate level—that a) enhances student learning and student access; b) reduces university expenses and student costs to attend; c) makes faculty

work life a positive experience; and d) meets the needs of the larger society?

Answering these broad questions in a general way creates the “there” that we are headed toward—a vision of a desired future. It focuses the restructuring effort by clearly differentiating how the university presently operates from how, in broad terms, we would like it to operate if we could re-create it.

Obviously, this is a pragmatic change effort and not all our aspirations for the future can be realized. But focusing on a vision of the future enables people to think holistically about what they are undertaking, to make choices among options along the way, and to defend against the desire of individuals to return to the “here” as the ever-present difficulties emerge in the restructuring process.

John Kotter in a recent article in the *Harvard Business Review* on “Leading Change: Why Transformations Fail,” writes:

Without a sensible vision, a transformation effort can easily dissolve into a list of confusing and incompatible projects that can take an organization in the wrong direction or nowhere.... In failed transformations, you often find plenty of directives and programs, but no vision.... A useful rule of thumb: if you can't communicate the vision to someone in five minutes or less and get a reaction that signifies both understanding and interest, you are not yet done with this phase of the transformation process.

Creating a working consensus on the vision follows the same basic process as the development of a sense of urgency. In fact, the two processes should overlap a good deal, as the sense of urgency leads to asking the basic questions and developing an image of the future, which then reinforces the viability of acting on the sense of urgency. Institutional leaders and opinion leaders must seek out others throughout the institution to join the effort, but there should be no sacrifice of the vision in order to include resistors. It is essential to work with those who want to make the changes and assume that almost all the others will eventually participate as they see their interests affected.

At the same time, it is important to make sure that the vision is broad, there-

by permitting a great deal of flexibility in creating the future. This will allow many different members of the academic community to see how their interests can be taken into account in the implementation process. In fact, alternative models of work may be employed as faculty members and administrators take seriously a focus on student learning and reduced expenses.

The key issue will be maintaining a clear focus on the vision and broad directions as the change process evolves. This means that the restructuring implementation process will involve continuing iterations between the central coordinating/initiating group—that is, the “holder” of the vision and broad directions—and implementation teams that create the concrete meaning of this vision and its direction in the key educational and administrative areas of the institution. There is a great deal of room for creativity, but there can be no compromise with the overall vision and directions.

Working With Those Committed to Change

As emphasized above, it is essential that the leadership of the restructuring process focus on those who support the change effort rather than worrying about those who do not. It is common in higher education to let those who are in opposition determine the agenda of a change process, thereby forcing compromises that undermine the overall direction. This most often occurs because institutional leaders attempt to win acceptance from a governance group too early in the process, resulting in the need to co-opt the resistors to get their acquiescence or votes. I believe that a decision by the governance structures to move forward should occur relatively late in the process, when there is a general understanding of the need to change, there is a vision of the restructured institution, and there are many who support the effort.

The literature on the adoption of innovations, especially the work of Everett Rogers, indicates that relatively clear stages can be observed in the way people accept major changes in how they work and use new techniques and materials. Some people—the innovators—like to be involved in change activities and will be the first to adopt such innovations; others—the early adopters—need to see the innovators

lead, but they are right behind; still others will follow at a later point as the need becomes clearer and they see others' success. Then, there are the laggards who may resist to the very end, but they tend to be a small minority.

The key insight in this for university restructuring is that we must allow the process to evolve and must continually make the case for the changes by communicating through campus opinion leaders to a broader and broader audience. Further, as we seek to develop ideas for implementing the vision, we should involve greater and greater numbers of people in planning groups. An effective restructuring process requires that an institution's leadership initiate the change effort, yet it requires a broad collaborative effort for successful implementation. This broad collaboration occurs through implementation teams established to realize the vision.

Strategic patience and perseverance are essential ingredients of any major transformation effort. To quote James Collins and Jerry Porras from their recent book on successful businesses, *Built to Last*, "Luck favors the persistent." This is a secret ingredient in gathering support for the restructuring effort—to persist until the restructured university comes into being.

Phased Implementation Process

The restructured institution should not and cannot come into being at one time; as stated earlier, these revolutionary changes are implemented by an evolutionary process.

The restructuring process must be guided by a *powerful central coordinating group responsible for implementing the vision*, which includes the revolutionary changes. In order to accomplish this, the central group needs to create a number of *implementation teams* to work on specific parts of the restructuring effort; these teams reflect the evolutionary nature of the restructuring process. Examples of such implementation teams may include those responsible for:

1. the assessment of student learning outcomes;
2. integrating all student services into "one-stop shopping";
3. seeking out partnerships with other colleges and universities to reduce costs and increase learning opportunities;

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4. establishing faculty development training programs around the use of technology and new faculty roles, such as mentoring and small-group discussion skills;
5. creating demonstration projects that use technology to reduce faculty workload and enhance student learning;
6. developing new faculty roles; and
7. developing alternative academic calendar structures.

These teams will cut across traditional faculty and administrative lines, thereby taking the restructuring process deep into the institution and bringing many new people into the effort.

As previously stated, the primary function of the central coordinating group is maintaining the focus on the overall vision and strategy as more and more people and implementation teams participate; this will prove essential to the overall success of the restructuring effort. The central group also focuses on dealing with the political realities of the institution. Because this group contains the key administrative and faculty leaders, it has the capability to allocate scarce fiscal and human resources, to form implementation teams that build coalitions across campus, and to monitor the work of these teams. Further, because this central group maintains the calendar of the change effort, it can make the necessary adjustments to deal with unforeseen difficulties.

An important element in the implementation process is creating *early victories*. Because the restructuring process will take at least four to five years to complete, it is important that

people feel a sense of accomplishment along the way. Waiting to the end to feel some sense of success may be discouraging for too many and increase their resistance out of frustration or anxiety about the long-term outcome. But, as Kotter maintains, "Creating short-term wins is different from hoping for short-term wins. The latter is passive, the former active."

In developing the implementation teams, care should be given to seeking such early victories. In the examples presented above, it is possible to envision that "one-stop shopping" for students can occur early in the process. So, too, can establishing a faculty development process to help faculty with new skills, creating demonstration projects using new technologies, and some partnering with other institutions. On the other hand, creating new faculty roles, and inventing alternative academic calendars might well take a long time to achieve. Each institution will have a wide array of issues to deal with in a restructuring effort; focusing on some early victories will help create the context for later success.

It is important to establish *demonstration projects* to test out new ideas. Such projects can be fairly sizable, such as a group of faculty and students forming a small college within a college, or can be small, such as a few faculty testing out new ways to use technology to restructure the role of faculty members. These test sites will also determine whether those new ideas are worthy of broader dissemination within the institution.

Most colleges and universities are fortunate in having faculty members who are already experimenting with new methods of delivering educational services. It is important that these individuals be given the necessary support and independence to pursue these innovations.

Implementing small and large demonstration projects—some of which are successful—can create models of success. Knowing and seeing that their colleagues have successfully implemented new educational or administrative processes encourages those who are interested in the change effort but can't figure out what it looks like or what they can do.

The reality of any restructuring pro-

cess is that since we are dealing with the basic underlying processes, structures, and belief systems of the institution, the change cannot occur quickly; people just can't alter their belief systems overnight—nor should they. Hence, while difficult to develop, there is a need for a *clear, general time line* for the introduction of changes that are being planned. Adjustments in the schedule will, no doubt, be made at one time or another as new ideas and plans emerge or as difficulties occur, but these must be made with great care. People need to know when important changes in their work will be required, so that they can have some sense of control over their lives. Predictability and consistency are important elements in enabling people to adapt their work lives to new practices.

Finally, while there are other elements of the implementation process, it is important to highlight *five tools for success*:

1. Internal expertise should be used as much as possible. This approach will give more credibility to the change process, will reduce the number of mistakes and difficulties incurred as consultants learn about the institution, will avoid external consultants using "cookie-cutter" approaches to the institution, and will enable the faculty and administrators to have colleagues who will remain with them over the long haul. While some external support may prove helpful, an assessment of internal resources is essential. It is my impression that there is much more faculty and administrative expertise at most colleges and universities than is recognized.

2. Risk-takers should be supported. Those faculty members and administrators who are the innovators and early adopters should be supported in their efforts, as an indication to others of the seriousness of the restructuring efforts and to show the risk-takers that the institution supports their activities.

3. Link with other institutions going through the change process. Restructuring a college or university is a difficult undertaking, and it is especially nice to know that others are struggling in the same way; the mutual support and commiseration gained in this way cannot be over-estimated. Such networking may overcome the tendency of faculty

and administrators in a particular institution to believe that their problems are unique and the result of their lack of ability or the special nature of their own institution. By sharing experiences one institution may be helped to avoid sticky problems already solved by others. Further, faculty and administrators love to talk with colleagues and they may find it easier to share problems with those outside their institution than inside, as well as to accept help from outsiders.

4. Investing in faculty development will be necessary. The changes being asked of faculty members in restructuring their work lives will be extraordinary and will require them to function in ways they never conceived of and for which they were not trained. Significant support for faculty development will be necessary. By providing these dollars—especially in difficult times—the university indicates its commitment to the changes as well as respect for the difficulties that faculty are undertaking.

5. Investment in technology will be needed. New technologies will play a key role in the restructuring process and universities must be willing to invest in them. This does not mean a university must have all the bells and whistles of the most recent technological developments, but it does mean that the technology needed to restructure the work of administrators and faculty will be available.

FACING THE FUTURE

Restructuring will be one of the major

activities of many or most of the universities in the country over the next 10 years. The process by which these transformations take place will not be easy and will not be quick. As the planning and implementation process unfolds, many tough decisions will have to be made, some wrong turns will have to be redirected, technology will not work as expected, difficult people and situations will have to be overcome, and adjustments made in the timetable. And, people will grieve the loss of the past—people, structures, and processes—as they enter into the future, whether leaping or crawling.

As Kotter concludes his article on transformational change efforts:

In reality, even successful change efforts are messy and full of surprises. But just as a relatively simple vision is needed to guide people through a major change, so a vision of the change process can reduce the error rate. And fewer errors can spell the difference between success and failure.

As I have discussed in my two previous articles, powerful pressures will force major changes in how our colleges and universities are organized. The major issue for those of us in higher education to face is whether we—faculty, administrators, and trustees—are going to lead these change efforts or be forced into them by external agencies and groups.

We must face the future. *If it weren't necessary we shouldn't and wouldn't do it.* ☐

Restructure?! You Bet!



Each September, the *AAHE Bulletin* starts the year with a theme announcement and call for proposals for AAHE's National Conference on Higher Education, in March. For an opening comment on this year's theme, "Organizing for Learning," we turned to Alan Guskin, whose writings on the topic turn up repeatedly in footnotes and conference packets. Guskin's seminal works appeared in consecutive issues of *Change* four years ago: first a piece on "restructuring the administration" (July/August 1994), then — and only then — a follow-on article about "restructuring the role of faculty" (September/October 1994). We spoke with Guskin on July 24th.

An Interview With Change Expert Alan E. Guskin

by Ted Marchese

Marchese: Alan, your two *Change* articles in 1994 [see box on page 6], on how to restructure institutions and academic work, have been among our most discussed pieces in recent times. What feedback have you gotten?

Guskin: I've spoken at 30 campuses and more than 15 national and regional meetings, giving keynotes, consulting, and so on. And you know, Ted, I expected a lot more criticism. Here and there I get some negative reaction. But what I've heard is mostly positive, especially from faculty. There is unease out there, a feeling that something is amiss and that things will have to change in some way. People aren't sure what that means, but they're concerned about their future. And in a lot of places, too, they feel their leaders aren't on top of things.

Marchese: I'm wondering about differences between 1994 and 1998, though. In '94, all we heard about was recession, restructuring, and reengineering. I don't hear those words so much now, but instead about higher education's "good times": more students, state appropriations up 11%, record capital campaigns, student aid flowing again, new buildings going up . . .

Guskin: True, the talk about restructuring was more intense when you had three years of no salary increases in some places, but I don't see any fundamental change now. We shouldn't be fooled by short-term changes in the economy or by a few more dollars for financial aid. Faculty salary increases this past year were 2%–3% on the average, not much

of a gain given the salary losses earlier this decade. Yes, there are increases in enrollment, but no increases in the number of faculty in most cases. In fact, faculty find fewer full-time colleagues and more part-timers or non-tenure-track folk.

Marchese: Institutions, then, may be doing better, even as the people who work in them may be no better off.

Guskin: Right. The root problem, now as in 1994, is that the underlying expense structure in higher education is simply beyond the long-term capacity or willingness of society to fund. Even with more dollars coming in now, administrators read the numbers and look at the future and know that they still can't afford to replace all retiring full professors with like appointments . . . thus the "off-track" hires.

Marchese: And students?

Guskin: Aside from plant improvements and financial aid, what are they seeing in terms of better education? I don't see smaller classes, many more educational options, or more faculty contact being funded. One major change from 1994 is that students and the public now won't put up with the kind of tuition increases we put through earlier, which makes our underlying expense structure even harder to sustain.

Marchese: Let me take you back to your original articles, then, Alan. You predicted that the three pressures that would push us to restructure were costs, learning, and technology. Bring us up to date on these.

Guskin: We've talked about cost structures, but let me add this, Ted. Lots of the eye-popping successes we hear about today — the \$1-billion campaigns, and so on — are concentrated in a tiny number of wealthy research universities and a few elite liberal arts colleges. They'll not be touched for some time by most of what we're talking about, though they'll have their own issues. Most students aren't educated in those places but in primarily undergraduate institutions, in state and regional universities, in smaller colleges, in community colleges. Those are the places with unsupportable cost structures that face these

issues big time and can't raise tuition or fund-raise their way out of them.

The whole issue of student learning outcomes is just taking off, far more so than in 1994. Our publics are really taking this more seriously. And higher education is quite unprepared for it.

The third issue is technology, which is coming at us faster than ever, and now with a new twist: we're facing aggressive, for-profit competitors whose whole mode is technology based, and whose investments we'll have great difficulty matching.

Marchese: Alan, I'll come back to these competitors, but I want to stay with your arguments for restructuring. Rereading your original articles, and thinking back on lots of presidential statements, the bottom-line reason always seems to be financial.

Guskin: What I learned in my campus visits is that too much emphasis is put on cost issues. They are a major force, and you can't avoid them, but everywhere I go faculty respond negatively to the idea that we have to change or restructure because of "unsustainable cost structures." For them, that means cutting faculty. The whole thing turns into an administration-faculty fight, rather than an issue of what's best for the institution and all of us in it.

Marchese: And the argument you now make...?

Guskin: The key issue is the impact of the three forces on faculty themselves and the quality of their worklife. Faculty will join in that discussion. If nothing changes, as they indeed sense, they are going to find themselves fewer in number, with more and more duties they don't like, in ever more prescribed roles, with less and less room to do the things they were trained for. I believe that the major lever for

change lies in faculty thinking hard about their own future. If faculty, especially those who are young to early middle age, begin projecting their own professional future, then many of them will realize that the present academic structures will need to significantly change.

Marchese: For faculty, this is too important an issue to leave to administrators?

Guskin: Absolutely. We kid around about it, but you know administrators come and go. The average length of stay for presidents is five to seven years; for deans and VPs, it's less than five years. But a process that would bring fundamental, structural change takes five to 10 years. You look around a place and notice that it's faculty who stay at that institution. Administrators may lead, facilitate, or support a change process, but it ultimately goes nowhere unless and until it captures the imagination of faculty, especially the more creative risk takers. They and their colleagues who will follow them are the ones who will have to live with it.

When I talk about change, I don't get resistance from faculty at all. Quite the reverse. They are very attentive because they are already sensing that their role is getting clipped and changed. Too many of the most creative people are retiring early. The younger faculty are looking ahead and worrying a lot.

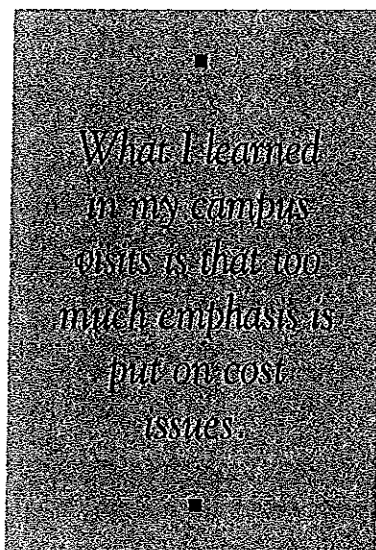
Marchese: Alan, we have a "new" factor in the picture, the emergence of well-heeled, for-profit competitors. We see established universities responding in kind, with for-profit arms created by administrative acts. What twist does this put on the picture?

Guskin: An interesting twist, because most of the for-profit ventures don't have a full, stable faculty. They don't invest in a faculty infrastructure, which by itself should give most faculty members pause. What these ventures do is live off the faculty of established colleges and universities and the fruits of their labors. At best, it's a symbiotic, and at worst a parasitic, relationship. The reason the for-profits make money is because they don't have to support a lot of faculty activity that doesn't pay off directly to the bottom line.

The other side is that these for-profit ventures are very student oriented, and they are challenging traditional higher education where I think we need to be challenged. Whatever their motives are, they've realized that if they're going to be successful, they have to really understand where students are and appeal to them.

Marchese: The for-profits pick off, of course, the cream of programs, the ones that will attract the most students and are the easiest to mount.

Guskin: That's okay, that's to be expected. But the key learning for us is that students, especially working adults, care about the time it takes to go from home to a facility, they care about scheduling, they want assured routes to a



degree, they care about responsiveness to their situations, and they're willing to pay a premium for that attention. So that's a good message for us to think about, instead of worrying about profit versus not-for-profit. Think about it for a minute: every nonprofit in the country lives off its profitable programs, by using low-cost, popular programs to fund the high-cost, less popular ones.

Marchese: Alan, whether there are hard times or new competitors, the advice we hear is "Know your own values, hold on to what's worth keeping." What is worth keeping?

Guskin: Whenever you're involved in any significant or transformational change, the key for me is the vision of where you're going. You don't change just to change, you change *for* something, *to* something. And whatever the vision of the future is, for any institution, it has to be grounded in the values of that institution and no other, or it has no meaning.

The problem is that most institutions haven't thought in depth about their real values. I don't mean the published mission statements. I mean what's the nature of their being, their underlying core values? For undergraduate institutions, the nature of their being should be student learning. But you have to dig deeper than that. What is the character of learning that we want for students? The best ways for that learning to occur? What should the degrees that we award signify?

Marchese: This is asking a lot. Most faculty and administrators don't think of themselves as scholars of the teaching-learning process or of the organizational structure of universities.

Guskin: In the end, though, if you hope to conceive of an academic organization that can achieve a different order of results for learners, at an affordable cost and with a decent worklife for faculty, you have to look at the institution's core processes, which brings you to teaching and learning. Most faculty up to now, as you say, haven't been scholars of the teaching-learning process. They spend very little time thinking or reading about it, so they wind up with a paucity of ideas for dealing with it. Over and over again faculty will justify lecturing, not because they've thought about it in any depth but because it's what they've always seen and assumed to be the role of a faculty member. Once you assume that learning means 20, 30, 40, or more students in a classroom three times a week with a faculty member up front lecturing, you've locked yourself into the present system. You'll never create an effective, affordable, faculty-attractive college.

Marchese: Alan, my short sense of what you're saying is that the answers to the three challenges you see facing us — costs, outcomes, technology — lie within a deeper examination of how we think about teaching and learning.

Guskin: Yes. And I put special emphasis on the learning side. If we were clearer about the kind of learning we want and how it can be brought about, we'd see that students can learn in many different places, with different people and on their own, and we'd leverage *all* of those toward the outcomes we wanted and not assume that the only creditable learning results from faculty teaching in classes. I don't believe you can solve any of the three problems within our present delivery system.

Marchese: To paraphrase an old saying, that system is perfectly set up for the learning outcomes it achieves . . . and for what it costs.

Guskin: It's based on the whole financial structure of the past, not on who we are and what we have to do now and in the future.

That's the problem.

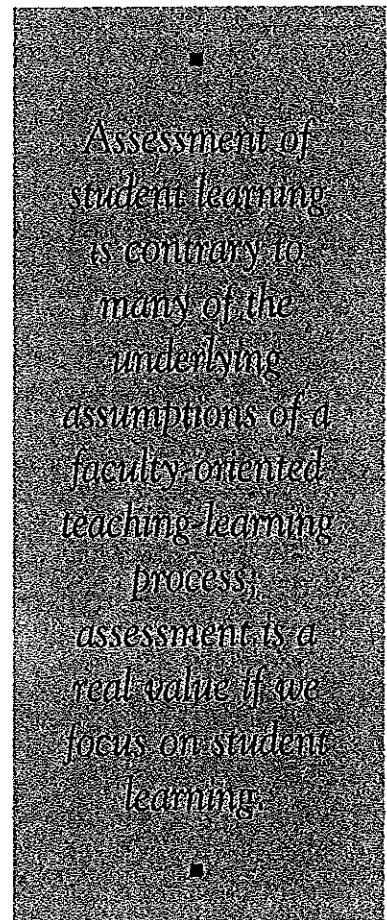
Marchese: As the CQI folks say, "It's the system, stupid!"

Guskin: A major problem I run across in my travels is that most people on campus don't understand how to manage a change process, and they especially don't understand the concept of *systemic* change. It was realizing this that led me to write the article on the change process ["Facing the Future," *Change* magazine, July/August 1996; see box on page 6]. Most of our people in leadership positions have learned in a trial-and-error way how to do their work, without any in-depth conceptual tools or thought about organizations as systems. They add a program here, fix another there, but it's all incremental and disconnected, so there's no real change in overall

performance or costs. All the tinkering never gets to how the system itself is organized or to root assumptions about core processes. But you'll never get a different order of result without significant or transformational change, and for that you have to think systemically.

Marchese: That's what AAHE means by "organizing for learning." There are no good guys and bad guys, just powerful systems and unexamined assumptions.

Guskin: People are doing the work they do because that's what we've asked them to do. The practice of faculty-bashing upsets me. It's just untrue that the overwhelming majority of faculty are "lazy" or "resistant to change." Faculty are doing what they've been trained and asked to do, often for long hours and modest salaries.



Marchese: Alan, let's turn a corner here. We've been talking about problems: How about your solutions?

Guskin: Most of them are not new. We have to focus on student learning outcomes and build our undergraduate programs to produce more learning at less cost. Basically, we have to move from a faculty-teaching focus to a student-learning focus. If we do that in a systemic way, then many of the innovations of the last decade will be more powerful — interdisciplinary problem-focused learning, cooperative learning, service-learning, learning communities, and so on. This will mean changes in how we use time (the calendar) and changes in how students use technology.

One major entry point in restructuring our undergraduate institutions is enabling faculty to project how the present academic processes and structures (and those costs) will continue to diminish the quality of their worklife. Another entryway is through assessment, which raises the right questions and provides evidence to boot. I know you'll tell me, Ted, that assessment is struggling. But that's no mystery: where are the rewards for it? Assessment of student learning is contrary to many of the underlying assumptions of a faculty-oriented teaching-learning process; assessment is a real value if we focus on student learning.

Marchese: Whew . . . that's a lot of ground to cover.

Guskin: It's the sense of denial about all this that alarms me, Ted. Physicians said the same thing that faculty are saying now: "We're professionals, we understand, trust us." But people don't buy that anymore. The doctors dug in their heels about any proposal for a more affordable health care system. They got blown out of the water.

Marchese: In just a handful of years, private medical practice has all but vanished. You hear doctors saying, "This isn't the profession I committed my life to; I'm retiring as soon as I can."

Guskin: You can hear that on campuses now, too. You know, there was probably no more powerful profession than medicine. Who would have believed that the freedom of diagnosis and patient care would be taken away from doctors? And here it's happened. And faculty are nowhere near as powerful as a group as doctors were. If we resist this whole movement to become more efficient and effective and concerned about learning outcomes, we'll get blown away, too. That's my biggest fear, that faculty and institutions won't make the adjustments they have to make, that the quality of faculty worklife will deteriorate, the best people will leave or not enter, and this wonderful system of higher education we have will be torn apart.

Ironically, when changes are forced on us they'll be in the name of students, but what will be undermined more than anything else will be genuine student learning.

Marchese: Alan, a last word.

Guskin: I think we have to build a sense among senior faculty that they have a responsibility to the next generation of faculty, a responsibility to create a profession that allows younger people to experience the joys and accomplishments of the professoriat that we have enjoyed over the past 40 years. If our senior people bail out, which more than a few are tempted to do, I think that's very unfortunate. Because most senior faculty, people in their early sixties, can have enormous influence within their institutions, and they have to be party to any larger change in faculty worklife. So we as leaders — faculty and administrators alike — have to convince those senior people that before they retire, they have a responsibility to pass on to the younger generation a better environment, that they must have a sense of stewardship for academic life.

Marchese: Alan, thank you very much.

For Further Reading

Guskin, "Change magazine articles are available from AAHE Fax/Access service, 510/271-8164.

■ "Reducing Student Costs and Enhancing Student Learning: The University Challenge of the 1990s: Part I — Restructuring the Administration," *Change*, July/August 1994, seven pages. Fax/Access item 17.

■ "Reducing Student Costs and Enhancing Student Learning: The University Challenge of the 1990s: Part II — Restructuring the Role of Faculty," *Change*, September/October 1994, nine pages. Fax/Access item 18.

■ "Facing the Future: The Change Process in Restructuring Universities," *Change*, July/August 1996, 11 pages. Fax/Access item 19.

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On Being a Pragmatic Idealist: A Social Psychologist's Reflections on his Role as a University President

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These reflections by a social psychologist on his role as university president focus on three major themes: a) factors in successfully facing and turning around institutional crises; b) a conceptual framework for understanding organizational crises; and c) a discussion of ways the public and personal side of the presidency, including such matters as self-role distinctions and the author's values, impact his work. These concepts are illustrated by the author's leadership experiences as the president of Antioch University. The paper concludes with a discussion of the skills university presidents will need in order to be successful in the next century. The paper presents the author's conceptual analyses both of the organizational functioning of universities and of the role of institutional presidents.

The first eight months of 1985 was a terrible time for Antioch University. The very future of the institution was in doubt. It was during this period that I was interviewed by Antioch's Board and Search Committee and accepted their offer to become University President, a few days after my 48th birthday and the first day of spring.

I was embarking on a major journey, from a decade as chancellor of a dynamic, young campus in the University of Wisconsin system to the presidency of one of the more famous private institutions of higher education, albeit one that had fallen on very tough times. I felt ready. How many people get the opportunity to rebuild an important institution, especially one whose values I admired, and which had initiated so many innovations in educating students?

I assumed the position of 17th President of Antioch University in

September, 1985, moving to the same office space that Horace Mann had occupied 132 years earlier. It was the same office used by Arthur Morgan, who, in the 1920s, rebuilt Antioch after it nearly closed, and by the three illustrious educators who followed him as Antioch's President: Algo Henderson, management theorist Douglas McGregor, and Samuel Gould. As a friend and higher education leader told me as I was making my decision to accept the offer to become the president of the university, "Antioch is a very important institution; if you save it you'll be a hero, if you fail nobody will blame you!"

In the following three sections I reflect on my role as chief executive officer (CEO) of Antioch and the role of university presidents generally from the perspective of a social psychologist. As I discuss these issues, I attempt to extract some conceptual understanding of both

the organizational functioning of universities and the role of the CEO. I also reflect on the personal side of being a university president.

Facing the Crisis: Rebuilding Antioch University

Antioch has survived some of the most difficult and painful experiences of any college or university in this nation. From the heights of the early 1960s, when it was considered one of the best and most innovative liberal arts colleges in the country, to the depths in 1979, when it was nearly bankrupt and reeling from a poorly managed nationwide over-expansion of educational centers in the late 1960s and early 1970s.

When I became president in September 1985, a decade and a half of demoralization caused by financial mismanagement, inadequate administrative systems and a lack of stewardship had taken its toll on the creative energy of the University's faculty. A fragile organizational structure had led to an insularity and risk-aversiveness that undermined the very practices that exemplified Antioch's legacy. In 1985, Antioch seemed to lack the will as an institution, and the money, to survive. The University was literally spinning out of control and, it turns out, was less than 12 months from closing.

Although I was not aware of all the University's difficulties when I assumed its presidency, I was knowledgeable about enough of them to make people wonder why I took the position. For me the challenge was both awesome and exciting, a chance to save an important institution.

Only once, for a very short period during my first three weeks, was I fearful about the consequences of my coming to Antioch. At the time I told absolutely no one about my concerns. I walked the campus and thought about Antioch's

prospects; I now fully understood the desperate conditions. I decided to "go for it" and told a colleague; "we're not going down with a whimper; if we don't make it, we go down in flames." We needed to move quickly to turn around the institution. A number of major decisions quickly followed.

First, it was necessary to bring a semblance of order to basic financial and administrative systems that were out of control (in the next section I refer to these pressures that tear at the institutional fabric as "centrifugal" forces.) Decisions were made to solve the primary financial problems, which not surprisingly meant being vigilant about collecting tuition and preventing budget overspending. In addition, all administrators were put on notice that they would be held accountable for inappropriate actions, including not following University policies, especially regarding financial matters. These actions produced an immediate mark of success and gave people some sense of hope about the future.

Second, it was essential to recreate a sense of direction for the University as a whole, that Antioch was one integrated institution rather than a series of distinct, geographically dispersed units (in the next section I refer to these as "centripetal forces" that push against the centrifugal forces, thus creating a balance between these two pressures.)

1) Developing a clear vision for the University was an early and critical element for Antioch's future success. Between 1970 and 1985, Antioch had grown from a single campus in Ohio to as many as 35 throughout the country in 1975, and by 1985, after several crises and a great deal of cutting, to eight degree-granting educational centers in five different geographic areas. These included three locations in California, Seattle, Philadelphia, the District of

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Columbia, and New Hampshire, as well as Antioch College in Yellow Springs, Ohio. A new vision had to be built which reached back to Antioch's legacy and focused on rebuilding the original campus, as well as developing University-wide fiscal integrity and academic quality. This was essential for both practical and symbolic reasons.

2) It was necessary for me to take charge of the institution by almost immediately closing one marginal degree-granting center (two were closed later), forcing the resignation of a campus head who overspent his budget, and making decisions that led two senior administrators to leave. If Antioch was going to be one University, everyone had to know someone was leading it.

3) Because the Office of the University President had little respect, it was important to rebuild it by focusing on Antioch's institutional values, symbols and organizational integrity.

Since it was determined that the underlying problems of the University did not relate to finances (as everyone had thought) but to human resources, creating the means for people to develop a sense of hope was essential. Only a sense of hope could overcome the demoralization, the sense of loss of the institution's wonderful past, and the despair that made it almost impossible for people to pull themselves together.

Creating this hope required people to believe that someone was in charge, that a leader really cared about them and would not abandon them, and that the University would survive. As in all such institutional crises, the focus on a strong leader was essential; in such situations people need a human being to identify with in order to give them confidence that real actions will be taken. Even an institution like Antioch, with its emphasis on collegiality and egalitarianism, needed a strong leader.

Within 24 months, internal and external observers felt that the institution had been turned around; there was a sense of security, a hopefulness about the future, and surplus budgets each year. Now, in 1999, Antioch is financially sound, academically strong and on the threshold of exciting educational developments.

My first two to three years as president were very successful and exhausting. There were good people around me but not enough of them, and some were inexperienced in senior university administration. Too much was dependent on my ability to maintain an intense physical and psychological pace.

But there was a great deal of fun and exhilaration too. To friends, I compared the situation with the excitement I imagine one would feel skiing on ice down the edge of a circling mountain road with steep cliffs over the edge. You know that one error of any significance will send you down the cliff, but you really don't think about that. Rather, you have an intense clarity of focus, attention, goals and direction. You have to use every skill, every ounce of concentration, every muscle, to be successful. You don't look back. You know you can do it. Negative thoughts just do not enter your mind. I experienced exhaustion and tiredness only when I stopped. When I was working, deciding, reacting, planning, I felt exhilaration.

Psychologist Mihaly Csikszentmihalyi has written and studied these types of experiences extensively. In his important book, *Flow: The Psychology of Optimal Experience* (1990, p. 43), he writes:

"They are situations in which attention can be freely invested to achieve a person's goals, because there is no disorder to straighten out, no threat for the self to defend against. We have called this state the flow experience, because this is

the term many of the people we interviewed had used in their descriptions of how it felt to be in top form. 'It was like floating,' 'I was carried by the flow.'...Those who attain [this state] develop a stronger, more confident self, because more of their psychic energy has been invested successfully in goals they themselves have chosen to pursue.

Flow helps to integrate the self because in that state of deep concentration, consciousness is usually well-ordered. Thoughts, intentions, feelings, and all the senses are focused on the same goal...

When we choose a goal and invest ourselves in it to the limits of our concentration, whatever we do will be enjoyable. And once we have tasted this joy, we will redouble our efforts to taste it again. This is the way the self grows... Flow is important both because it makes the present instant more enjoyable, and because it builds the self-confidence that allows us to develop skills and make significant contributions to humankind."

I didn't rationally choose to take all the risks I did. Some, even many, of these risks were taken based on my intuitive sense of what had to be done. There were many surprises. I used every skill I had learned in the previous decade as chief executive of a university, and then some. I stretched, I grew as a leader and person. I was excited, happy and exhausted. At some level I knew that I was integrating my analytic and intuitive skills in a powerful way. I had a deep feeling of peace in the context of tumult and change. On and off, these feelings lasted for a good deal of the first three years.

But in the summer of 1987, I did wonder how long I could continue. I didn't really know, but I jumped in for the duration, having the hope and confidence that it would continue to work out.

An Evolving Conceptual Framework of Organizational Crises: A Social Psychologist's Reflections

As my work evolved at Antioch, I struggled to understand what was happening and what we were doing to become once again successful. I also wondered how I could justify the role I was playing as a strong and highly visible leader, someone to whom others sometimes referred as heroic. I believed deeply in a more collaborative style, even wrote about it and practiced it in my years as Chancellor of the University of Wisconsin-Parkside. But at Antioch I was a forceful, intense leader, recreating a necessarily powerful presidential role, making challenging and sweeping decisions on institutional life-threatening matters. This was an institution known for its strong sense of egalitarianism, its tendency to reject authority and leadership, yet it not only accepted my leadership in the first three years, but embraced it.

What emerged from my reflections about Antioch in the late 1980s and early 1990s—as well as from other institutions I worked in, observed and read about—is a conceptual framework based on competing and dynamic organizational forces: the centrifugal forces that tear at the fabric of many colleges and universities (and many other institutions) and the centripetal forces of integration that push against these centrifugal pressures. The centrifugal forces represent the interests of individuals and groups, as well as the chaotic pressures of inadequate resources, unpredictable markets and internal conflict; centripetal forces represent the holistic, systemic and integrative pressures, including the institution's values, strategic directions and administrative systems.

All institutions, but especially col-

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leges and universities, have to deal with centrifugal forces that can push an institution into a chaotic condition; examples include student markets, a lack of resources, competitive forces, the changing nature of the workforce, geographically dispersed units, student dissatisfaction or rebelliousness, the sense of faculty autonomy, and the natural tendency toward territoriality of work units. A college or university must keep these pressures in balance and focused on clear goals and directions, in order to ensure some sense of stability and security within the entire institution. Sometimes there is so much anxiety regarding these forces that the leadership of the organization attempts to over-control them.

I have concluded that in successful institutions the centrifugal and centripetal forces interact with each other and create a dynamic, pulsating balance—a creative tension, not necessarily calm, that releases a great deal of creative energy. A good example of this creative tension is the fact that innovation is in itself a centrifugal force. Without the ability to express oneself and one's ideas, there can be little creativity and risk-taking. Yet doing so creates uncertainty and unpredictability, and could imbalance an organization. In such creative situations a balance is maintained when this self-expression occurs within the context of an institution's underlying purpose and a focus on realistic goals and directions.

At such times, people in these institutions feel a deep sense of alignment between their own sense of meaning and the institution's legacy. I also began to realize that when such a dynamic creative tension exists, the chief executive can maintain a collaborative leadership style that is both strong and participative. However, when the centripetal forces fall apart or are weak, the centrifugal forces can run wild, causing an institution to

spin out of control. Under such circumstances, crisis and chaos reign and strong leadership is necessary to rebalance the institution.

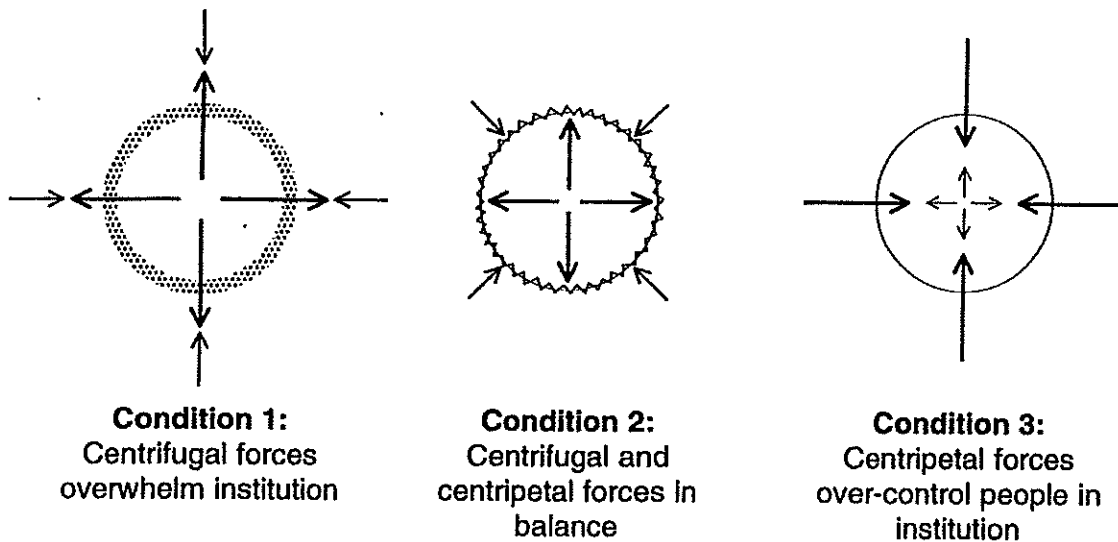
Figure 1 depicts the interaction of centrifugal and centripetal forces in three different conditions: when centrifugal forces are too strong and overwhelm an institution, when the centrifugal and centripetal forces are in balance, and when the centripetal forces are too strong and over-control the people in an organization.

Under the first condition, chaos is created. This leads to an organizational climate marked by extremely high levels of uncertainty, low morale and very little risk-taking. Under the middle condition, the balance of these forces leads to creative tension, which creates a climate with clear strategic directions and high morale, in which people identify with the whole institution and are encouraged to take risks. Under the third condition, the centripetal forces create an overbearing, control-oriented, usually highly bureaucratic environment with low levels of uncertainty that discourages risk-taking and leads to boredom and a depressive atmosphere.

This conceptual framework, I believe, explains what happened at Antioch between about 1970 and 1985. In extending this framework to other universities, I found that my experience as Chancellor at the University of Wisconsin-Parkside from 1975 to 1985 presented the opposite extreme from Antioch. There I found a young university, only seven years old, so severely over-controlled from an extreme exercise of centripetal pressures, that the centrifugal forces that allow people to express themselves and take risks in order to gain personal and professional meaning were squashed into submission. The centripetal forces so overwhelmed the institution and the people within it that when I arrived most of them seemed

Figure 1

Interaction of Centrifugal and Centripetal Forces



moribund, even depressed, and unable to act in their own interests.

In 1985, Antioch needed a strong leader to reinstitute the institution's centripetal forces in order to develop balance and order and lead the institution out of its chaotic spin. The conditions required decisive action, not a highly collaborative, participatory leadership style. However, such a strong leadership style can only be successful for the limited time necessary to develop the creative balance, and figuring out when and how to evolve into a more collaborative style is no mean feat—for the leader or followers.

What is most surprising was how quickly we were able to secure Antioch's survival and set it on its course for rebuilding. What led to Antioch's turnaround, I believe, was the reinstitution of strong centripetal forces, combined with the reduction of the debilitating aspects of the centrifugal forces.

This rebalancing of the centrifugal and centripetal forces released enormous creative energy and a sense of hope throughout the entire institution. At its

core, the turnaround recaptured Antioch's legacy.

Over time, the very strong leadership efforts to create and maintain centripetal forces were less necessary, and although the institution still struggled it was also gaining strength and doing a good deal of creative work. The University as a whole—which today includes four campuses for adult learners in four states and the College in Ohio—also experienced enhanced collaborative leadership and the eventual development of a "federal" organizational structure, which enhances the autonomy of each campus while integrating the University.

There are many other good examples of turnarounds in colleges and universities that, I believe, can be best explained using this creative tension framework. Turnarounds are not magic, nor are they based solely on having strong leaders. Rather, they are an organizational state based on leaders and managers working with people in organizations to re-institute the balance between centripetal and centrifugal forces.

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In summary, as centrifugal forces take over, an institution begins to spin out of control. In turn, as the centrifugal and centripetal forces move into dynamic balance (creative tension), people participate in more campus-wide and university-wide events and gain a sense of meaning in their work, leading them to openly identify with the institution's values and key symbols; they take more risks, are more creative, have more energy, and require less control to keep the balance and creative tension in place. Both the creative tension and the lack of balance tend to be self-reinforcing activities in the life of an organization.

The Personal Side of the University Presidency

Although all individuals who work at a university (or any other institution) must deal with the articulation of their personal interests and specific institutional role, for the CEO of an organization the boundaries between public and private roles are especially difficult to maintain. Both sides seem to continually overlap, sometimes causing difficulty for the individual and the institution.

In this section, I reflect on three issues—from my own experience and observations of others—that relate directly to the responsibilities of being a university president: the decision to become Antioch's president, the struggle to maintain self-role distinctions, and the role of my personal values in carrying out my responsibilities as chief executive.

Deciding to Become President of Antioch

In ways that are difficult to fully explain, yet essential to properly understand, the passion behind my work—joining Antioch and committing myself to

rebuilding it—felt like a spiritual venture. Some new faculty and administrators talk about their arrival at Antioch as accompanied by a sense of coming home. I felt that way also—as if I could finally be myself, and express my values and commitments as President and as a person without fear of hurting or compromising the institution, something I had not been able to do for 10 years as Chancellor at the University of Wisconsin-Parkside.

Throughout my tenure at Antioch, people often asked me why I chose to take the career risk and accept the Board's invitation to become President. Most of the time, I responded in a manner easily understood. This was an incredible and unique challenge to rebuild one of the important educational institutions in the country.

Almost a decade and a half later, it is still difficult for me to explain fully why I chose to take the position at Antioch; in a sense, I felt personally compelled at a very deep level to do so. My former wife was opposed to my accepting this position, as were most of my friends and a good number of my professional colleagues. At times, even I wondered why I was doing it. I held a good position and, although I was ready to leave Wisconsin, I had excellent prospects for other university presidencies and was about to be interviewed for two of these positions. I also was giving up a leadership role in the public sector of higher education—not only the likelihood of the leadership of another state university, but the high probability of becoming the board chair of a major national association of universities. I had time; I could be patient and wait for the right position. But, then, this wonderful, downtrodden institution was beckoning. Reflecting on my decision to go to Antioch, Joe Kauffman, a friend and consultant to university presidents, said with humor and understanding: "Guskin,

you're still a Peace Corps Volunteer." (Joe knew that I was a Peace Corps Volunteer in the first group to go to Thailand from 1961 to 1964.)

When I arrived at Antioch I felt surprisingly at ease. The experimental college at the University of Michigan, the Residential College, where I had begun my career as an educator in the late 1960s, was modeled after Antioch—especially in its community governance, small, intimate student-oriented classes, and its focus on empowering students. In 1985, I probably did not remember, or did not know, that my mentor Ted Newcomb, a well-known social psychologist and professor at Michigan, had been chair and a long-time member of Antioch's Board of Trustees. He had been the key planner of the Residential College where he and I had taught from 1968 to 1971.

Now, 15 years later, I was being hired to rebuild Antioch, to save the institution that had begun to unravel when Ted had been Antioch's Board Chair. He died just three months before I was appointed President of Antioch in March, 1985, but his wife called and through her tears of joy for my appointment, told me that Ted would have loved my becoming President of Antioch. Maybe I really was coming home, spiritually.

Private and Public Lives: Self-Role Distinctions

The complex interactions between the private and public lives of university presidents are often unspoken and quietly endured—especially with regard to their family members. As a president there are enormous expectations and pressures to merge one's role and self. People are rarely interested in the university president's personal needs, and often perceive both the president and his family as part of the presidency. Indeed, the presidential

spouse has often been seen as a partner in the presidency. A president is a president whether shopping with his or her child in a supermarket, eating alone in a restaurant, or struggling with personal or family issues.

I knew all about people's expectations of the university presidency, and had often talked about it with colleagues and given lectures on it. Still, when the hypothetical becomes real, it is no less personally surprising. I too was subjected to the same pressures, especially the demand to over-identify with Antioch.

The toughest issue for most college presidents is the struggle against such over-identifying with the college or university being led. I struggled mightily to keep the private-public/self-role balance and resist the pressure to over-identify. What ultimately enabled me to deal with these pressures was an uncanny ability to distinguish between me as a person and my role as a president. I don't know where I learned this, but I am sure that the fact that I do think like a social psychologist provided conceptual reinforcement for some natural tendencies.

My "mantra" as president, which I repeated over and over again to myself and others, was that I (Alan Guskin) was personally not the president and the president was not me personally. When people criticized the president, I never took it as a personal statement about me, even when it was meant that way. By not personalizing these matters, I did not feel the need to respond quickly or personally. This allowed me time to reflect, to consult with colleagues, and to make a more measured response, or simply to not respond at all. One of the biggest problems leaders have to avoid is getting emotionally involved and even upset because they feel people are attacking them personally, when they are really talking about the person acting in the role of chief

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executive. This depersonalization is not always easy to do, and sometimes I succumbed to emotional reactions.

It is hard to overestimate the pressures on college and university presidents to over-identify with their institutions and to merge the public role with their personal identities. First, there are the language and symbols of the presidency. Most presidents live in the president's house, which is maintained by the physical grounds staff and is often a place for institutional parties, with and without the president's attendance. Private space is really public space, and vice versa. Further, people sometimes use the term "first lady" to refer to a male president's wife. In some institutions, especially with the chief executive title of chancellor, people tend to use the title in place of his or her first name, e.g., "The Chancellor."

Second, there is a social psychological phenomenon in which those people who surround the president, and many other significant people with whom he or she interacts, continually relate to the chief executive as if he or she has intimate knowledge of all institutional activities and has the wisdom to make decisions in any and all areas. Senior administrators, and almost all others, know that this cannot possibly be true of any human being, and it is not good for the institution or for senior administrators when people act in this manner. Much of this behavior is unintentional, but it still has a considerable impact on the president.

A related interpersonal pressure, also *sub rosa*, that can undermine a president's realistic sense of self occurs when people show inordinate deference in everyday activities to the person who serves in the president's role. Respect is appropriate (for the president and everyone else), but the extraordinary deference accorded the CEO in most undertakings becomes, in effect, a major pressure to treat the presi-

dent as if he or she is not a person but only a public role, as if the symbolic role of president represents the entire person. The result, all too often, is that the president is deferred to on one hand, and avoided on the other; who would want to risk a personal relationship with such a powerful symbol?

The sense of public "kingship" that emanates from these behaviors toward the president can become especially dangerous if he or she begins to believe and actually desire such treatment. With deference and presumed omniscience comes a sense of invulnerability that sometimes causes university presidents (and other chief executives) to undertake surprisingly risky personal behaviors that, assuming they are psychologically healthy people, are difficult to understand.

It would be desirable for the president to avoid being seduced by these tempting situations. But such resistance requires reflection and an understanding of what is happening in these complex and, at times, subtle interactional situations; the lack of time and conceptual tools makes such reflection difficult for many.

Personal Meaning and the University Presidency

Maintaining my balance throughout the incredibly difficult times between 1985 and 1989, when very sensitive and painful institutional decisions had to be made at the University and College levels, was an intense personal challenge. I had come to Antioch to make a difference and through Antioch to have an impact on American higher education, thereby giving my professional career and personal life a deep sense of meaning. I indeed received heavy doses of meaning, along with many other feelings.

I think of myself as someone who at a core level wants to help heal organiza-

tional and societal wounds, to create an environment that educates students on how to live meaningful lives, and to help others to do so by changing the oppressive conditions of their social environments. But in the process of creating such an educational environment, I had to make many decisions that created pain and conflict for others.

Rebuilding Antioch constituted a mission to recapture a wonderful legacy, to make this visionary institution whole again, so that future generations of students could learn and grow and create a better society. But it also challenged me to be clear about my own personal values.

When a colleague once asked me to list the major personal values that infuse my work, I responded without hesitation: a sense of compassion for others, a sense of humility with regard to my actions, and the courage to follow both while staying focused at all times on rebuilding Antioch and recapturing its legacy. These personal values created many struggles over the years as I tried to deal with the need to close campuses, to be tough regarding leadership transitions, to be firm on important commitments that dealt with my integrity as president and the basic values and strategic directions of the University, and to be the person whose decisions sometimes necessarily hurt others.

The most complex issue that a leader with my values must face is the necessity that humility and compassion for others be placed in the context of the leader's role, not in the context of one's personal relationship with another individual. Showing too much concern for an individual, to the detriment of the other people in an organization, is not the compassion of a leader but of an individual, and may actually indicate a lack of courage as a leader.

To act in a way that reflects compassion for all the people in the organization

as a whole, while understanding that such actions may be detrimental to specific individuals, takes, I believe, considerable courage. Others usually will not see the leader as compassionate or humble in such circumstances. However, being compassionate as a leader does not mean disregarding the needs of an individual employee. To be compassionate requires one to be as gentle and fair as possible to the individual employee within the context of the whole.

To write it down on paper is easy, but to actually live under the pressure and pain induced by people who are protecting themselves or their friends and associates is a difficult undertaking. However, that was my work life for two decades.

Humility as a leader poses similar dilemmas. Being an effective leader, especially in an institution like Antioch, which, to ensure its survival, had to be transformed, requires forceful leadership. How can one be focused, forceful and humble at the same time?

For me, humility is not passivity or even necessarily gentleness in a situation requiring decisiveness; it isn't wondering whether you are right or wrong and spending great amounts of time mulling over a decision. Humility as a leader means, for me, that you are open to the possibility that you may be wrong, but you recognize that your role requires you to act. Such humility means facing the reality that others may reach conclusions different from yours because they have different ways of approaching an event based on real and legitimate experiences and knowledge.

Martin Buber, the great Jewish philosopher and theologian, "teaches that, in classic Hasidism, humility is built around the notion that each person is unique and, therefore, precious. Humility is not being in the presence of people who are better than we are, but simply being in

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the presence of people, any people, for they are all unique as we are" (Kushner, 1991, p.51). This notion of humility based on the perception of people as inherently equal makes a great deal of sense to me.

Effective leaders are assertive, not withdrawn; they cannot be indecisive if they are to be effective, nor can they look back and think about other ways they could have acted. But it seems to me that the courage to respect the legitimacy of differences in the process of making a decision, and afterwards, is important for effective leadership.

For me, the values and acts of compassion, humility and courage are integrated and have given meaning to my professional and personal lives. To act without compassion can lead to abuse; to act without humility can unintentionally lead to dictatorial behavior; and to act without courage can lead to inconsistency, indecisiveness and unpredictability.

Conclusion: The University Leader at the Turn of the Century—Personal Attributes, and the Need for Reflection and Conceptual Skills

I remember in graduate school when a fellow social/organizational psychology student at the University of Michigan asserted that one had to study organizational psychology in order to be an effective institutional leader. Having finished three years of the social psychology doctoral program five years earlier, I had just re-entered the program after spending two and a half years as a Peace Corps Volunteer in Thailand and another two and half years as a senior administrator in VISTA and the War on Poverty. I could not fathom the certainty of my colleague's words. Powerful cross-cultural experiences such as those I had received

had bred personal humility and made me suspicious of such conceptual certainty.

Today, as I reflect on my 22 years as a chief executive of two universities and the importance of my conceptual skills in understanding the dynamics of organizational leadership, conflict and change, I often think about that interaction over 30 years ago. Clearly, I believe, these conceptual skills are very important, but they are far from sufficient to explain effective leadership.

As my own understanding of organizational leadership evolved over the years from my own experiences and close observation of others, I have come to believe with increasing clarity that effective leadership is a function of the interaction of a leader's personality, abilities and intellectual skills with the specific institutional environment in which he or she serves. At the same time, I have observed that there are individual leaders whose personality allows them the flexibility to adjust and be effective within a number of different organizational settings, and there are others who can function effectively in only one type of environment—e.g., a situation requiring a "command and control" leader or one requiring a softer, highly collaborative one. Not surprisingly, I have also observed individuals whose personalities make them ineffective in all leadership positions, and have seen institutional conditions that undermine even the best of leaders.

While the matching game through which college and university presidents are selected continues in its curious way, the level of societal and institutional uncertainty and unpredictability continues to increase in intensity. I believe this puts a premium on the personal flexibility and conceptual and decision-making skills of presidents. Given these societal and institutional conditions, my belief is

that the most effective organizational leaders, especially those in higher education, will have the following types of personal attributes:

--an ability to focus, and remain focused, on the important strategic goals and directions of the institution;

--a propensity for working with and relating to others;

--a focused intensity at work, along with strategies for dealing in a healthy, non-accusatory manner with anger and frustration;

--an ability to take non-judgmental (non-blaming) approaches while still expecting and requiring high levels of performance;

--a sense of being intellectually able without feeling smarter than others;

--courage in making decisions, especially difficult personnel decisions, in a timely manner; and

--a willingness to accept failure and mistakes for himself or herself and others as a natural part of effective leadership at all levels.

Beyond these personal attributes, the increasing uncertainty of the environment within and without universities requires that effective leaders reflect continually on their actions and the work of their institutions, especially their direction and the alignment of institutional values and actions. While much of this reflection would be done alone, it might also be desirable to involve trusted colleagues in these moments of deep review; such involvement could provide valuable feedback to the leader, a more objective assessment of institutional reality and the potential for mentoring of subordinates.

Reflection provides personal sustenance as well as the potential for a more dispassionate view of the organization as a whole. It also enables a CEO to integrate into his/her "state of mind" or leadership perspective an understanding of

how his/her actions impact others and how he/she might act in the future. However, without a conceptual understanding of how organizations operate, why people behave the way they do, and the impact of external forces on institutional functioning, reflection has the potential to focus on the idiosyncratic and discrete elements of a particular institution, or the leader's own personal experiences. Conceptual tools—whether from organizational and social psychology, the management literature or other related areas—enable the leader to transcend a single organization or personal experiences to consider those of a wide array of similar and even different institutions.

Reflection of this kind increases the potential that a leader will not personalize events and will seek alternative options to his or her own predilections. Such reflection in this broader context also encourages chief executives to take a step back before acting in order to take a deep, reflective breath.

This, of course, describes a highly idealized situation. Unfortunately, too many circumstances require quick responses which often are the result of the leader's personality and state of mind when acting under pressure, rather than of reflective conceptual thought. However, continuous reflection—whenever possible and sometimes with others—along with good conceptual tools, can lead to a deeper understanding of organizational and human functioning and can be assimilated into the chief executive's state of mind. This can allow the intellectual and intuitive to become integrated.

Clearly, some people without any training or education in conceptual areas involved in organizational leadership have a deep intuitive understanding of the critical human and organizational issues that transcend their own experience. However, this natural understanding

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tends to be quite rare. For the more typical CEO who has the attributes of courage, human compassion, and humility, along with good interpersonal and intellectual skills, a good set of strong conceptual tools (which may be acquired in a number of ways) about how organizations function and change and how people interact in such settings is important. Together, these values, interpersonal abilities, and intellectual skills are likely to significantly enhance an individual's potential for successful presidential leadership—assuming, of course, that the external and internal conditions of the institution are conducive to such success.

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OF KENNEDYS AND KINGS

Making Sense of the Sixties

HARRIS WOFFORD

FARRAR · STRAUS · GIROUX *New York*

WOFFORD, Harris, (1926 -)

Senate Years of Service: 1991-1995

Party: Democrat



WOFFORD, Harris, a Senator from Pennsylvania; born in New York City, April 9, 1926; graduated from University of Chicago, 1948; graduated from Yale and Howard University Law Schools, 1954; admitted to the District of Columbia bar in 1954 and commenced the practice of law; legal assistant, U.S. Commission on Civil Rights 1954-1958; associate professor of law, Notre Dame Law School 1959-1960; coordinator of civil rights section of John F. Kennedy's 1960 presidential campaign; special assistant to President Kennedy and chairman of the Subcabinet Group on Civil Rights 1960-1962; assisted in the formation of the Peace Corps, serving as special representative to Africa and subsequently as associate director 1962-1966; president of the College at Old Westbury (State University of New York) 1966-1970, and Bryn Mawr College 1970-1978; practiced law in Philadelphia 1980-1986; chairman, Pennsylvania State Democratic Party 1986; Pennsylvania secretary of labor and industry 1987-1991; appointed on May 8, 1991, to the United States Senate as a Democrat to fill the vacancy caused by the death of Henry John Heinz, III; elected in a special election to the remainder of the term on November 5, 1991, and served from May 9, 1991, to January 3, 1995; unsuccessful candidate for reelection in 1994; CEO, Corporation for National Service (Americorps), 1995-2001; chairman and then co-chairman of America's Promise: The Alliance for Youth 2001-2004; is a resident of Washington, D.C.

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OF KENNEDYS AND KINGS

Communist led Kennedy into a political situation which called for a constructive proposal like the Peace Corps.

Meanwhile, in Ann Arbor, the students who had been most stirred by Kennedy's Peace Corps remarks were taking steps to show that their response was serious. In the aftermath of the emotional surge caused by Kennedy, many of them had listened to a long, thoughtful campus talk on the same theme by Chester Bowles. After hearing Bowles, two graduate students, Alan and Judy Guskin, wrote a letter to the editor of the *Michigan Daily*, asking readers to join in working for a Peace Corps. The Guskins' phone rang day and night with offers of help. Professor Hayes, who was writing a memorandum on the idea for the Kennedy staff, called to ask what they were up to. About 250 students and some faculty members attended a meeting and organized themselves into a group they called "Americans Committed to World Responsibility." Petitions designed as an answer to Kennedy's questions, saying that signers would volunteer if a Peace Corps were formed, spread faster and more spontaneously than anyone had thought possible.

The editor of the *Michigan Daily*, Tom Hayden (later leader of Students for a Democratic Society, and husband of Jane Fonda), had listened to Kennedy at the Student Union and followed the development of the student organization with amazement. It had been an era in which few young people had been politically active, and in which graduate students particularly were known for their political apathy. (That year Hayden's paper won a journalism award for its imaginative coverage and support of the Peace Corps movement.) Democratic National Committeewoman and UAW official Mildred Jeffrey learned about the student response from her daughter Sharon, who was studying at the university. An active colleague in our Civil Rights Section and one of those who brought Michigan Democrats into the Kennedy camp before Los Angeles, Millie Jeffrey decided to put the students in touch with the candidate's staff. The first staff man she called showed little interest, but she persisted. By then nearly a thousand Michigan students had signed the petitions, and she wanted Kennedy to know the hopes he had aroused among young people. She finally reached Ted Sorensen, who liked the idea of a major speech on the subject, and promised to tell Kennedy about the Ann Arbor petitions.

During these same hectic days Nixon was being urged to propose a Peace Corps. The Michigan students had been challenged to be nonpartisan by two popular faculty members, Elise and Kenneth Boulding, who were critical of Kennedy's cold war stances. If it was the Peace Corps, not Kennedy's candidacy, to which the students were devoted, they

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should press the idea with the Republican candidate, too, said the Bouldings. Reluctantly—because by then their loyalties were in fact dual, to the Peace Corps idea and to a Kennedy victory—the Guskins and their chief colleagues agreed that their appeal should go to Nixon, too.

Soon after that, Nixon's train came through Ann Arbor, and the case for a Peace Corps was said to have been made to him by a university professor working in the Republican campaign. Senator Jacob Javits had already been urging Nixon to take up the plan, to no avail. As a congressman in the early 1950s, Javits had called for the United States to enlist a million young people to serve overseas in an "army of peace." The Michigan students were advised in late October that Nixon had rejected the proposal; the field was clear for Kennedy. Fortunately, Kennedy did not know this; at this time a memorandum by a member of the Kennedy staff reported rumors that Nixon was on the verge of proposing an overseas volunteer program for college graduates. That warning was a further spur to Kennedy to move out front with the idea before his opponent did.

On November 2 the Guskins were notified that at the Cow Palace in San Francisco that evening Kennedy was going to make a major address on the Peace Corps idea. Following it, the Senator would like to meet some of the Michigan students. Could they come to Toledo and deliver their petitions when he stopped on his way back to Washington? So in San Francisco, six days before the election, to a large and enthusiastic audience, Kennedy formally promised that if elected he would form a Peace Corps to supplement America's inadequate efforts in foreign aid with the talent of young volunteers who "could work modern miracles for peace in dozens of underdeveloped nations." As inspiration for the idea, he cited the work of Dr. Tom Dooley in Laos. For evidence that America was "full of young people eager to serve the cause of peace in the most useful way," he described the response of students at the University of Michigan.

Nationwide attention by the news media indicated that the proposal was making a strong impact. While Kennedy flew eastward, Judy and Al Guskin and other Michigan students drove in a caravan to meet him at the Toledo airport. As the students presented their petitions, Kennedy grinned at the long scroll of names, and sensed the students' discomfort when he started to put the petitions in his car. "You need them back, don't you?" he asked. He had guessed right; it was before the era of Xerox and they had not copied the names and addresses.

"How serious are you about a Peace Corps?" one of the students mustered the nerve to ask him. Al Guskin recalls Kennedy replying gaily, "Until Tuesday we'll worry about this country. After Tuesday—the

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world!" Sorensen or Richard Goodwin joked, "You'll be the first to go—that's a promise!" Some of them were; Judy and Al Guskin were among the first Peace Corps Volunteers sent to Thailand in 1961.

Almost everywhere Kennedy went in the last week of the campaign, he was asked about the Peace Corps, and in his election eve broadcast he repeated the proposal. Sargent Shriver and all of us in the Civil Rights Section were then working day and night to spread the story of Kennedy's call to Mrs. King among black voters, but our spirits had been lifted by the Cow Palace talk. On the civil rights front, we could not be sure whether the King affair would win him more votes than it lost him. We had no doubt, however, that the Peace Corps proposal would increase the turnout of young people for Kennedy, and there was no sign it would lose him any voters.

Like the call to Mrs. King, the Peace Corps turned out to be good politics—some say it surely won Kennedy more than the 120,000 votes that were his margin of victory, and thus ranks as one of the factors that made a difference. Also, like the King call, it was not the product of methodical calculation. In his 1961 book *The Peace Corps*, Charles E. Wingenbach says that "the evidence indicates that it was deliberately timed for maximum political appeal." What evidence? Sargent Shriver's later account of the Peace Corps' origin, in his 1964 book *Point of the Lance*, was much closer to the truth. Shriver concluded that the Peace Corps would probably "still be just an idea but for the affirmative response of those Michigan students and faculty. Possibly Kennedy would have tried it once more on some other occasion, but without a strong popular response he would have concluded that the idea was impractical or premature. That probably would have ended it then and there. Instead, it was almost a case of spontaneous combustion."

Fires go out, and campaign promises are often forgotten. Among the many task forces the President-elect formed before the inauguration, there was none on a Peace Corps. One of his Cambridge academic advisers, Max Millikan, director of the Center for International Studies at MIT, was asked to report to him on the idea, but in a note to Millikan's MIT colleague Walt Rostow, Kennedy indicated he was not sure it made sense. If Kennedy was cooling to the concept, or placing it far down on his list of priorities, people were not letting him or his staff forget it. Press Secretary Pierre Salinger found that the President-elect received more mail on the Peace Corps than any other subject. Over thirty thousand Americans wrote to support the idea. A Gallup poll released before the inauguration found that 71 percent of the American people favored a Peace Corps, and only 18 percent opposed it.

